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MID-TERM EVALUATION

of the UNDP-AF-Government of PNG Project

“Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of PNG”

(PIMS 4452)



Source: Map from the RMSI study.

Final Report

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List of Abbreviations and Acronyms

AF	Adaptation Fund
APR	Annual Progress Report
ATWG	Adaptation Technical Working Group
AWP	Annual Work Plan
AWS	Automated Weather Station
CBO	Community Based Organization
CC	Climate Change
CCA	Climate Change Adaptation
CCDS	Climate Compatible Development Strategy
CDR	Combined Delivery Report
CO	Country Office
CSR	Corporate Social Responsibility
DFAT	Department of Foreign Affairs and Trade (Australia)
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
DSP	Development Strategic Plan
EWS	Early Warning System
GHG	Greenhouse Gas
GoPNG	Government of Papua New Guinea
M&E	Monitoring and Evaluation
MTDP	Medium Term Development Plan
MTE	Mid-Term Evaluation
NCCC	National Climate Change Committee
NEC	National Executive Council
NGO	Non-Governmental Organization
NIM	National Implementation Modality
NPC	National Planning Committee
NPD	National Project Director
NPM	National Project Manager
NWS	National Weather Service
OCCD	Office of Climate Change and Development
PCCC	Provincial Climate Change Committee
PM	Project Manager
PMU	Project Management Unit
PNG	Papua New Guinea
PPR	Project Progress Report
PSC	Project Steering Committee
SMART	Specific, Measurable, Attainable, Relevant and Time-bound
TOR	Terms of Reference
UNFCCC	United Nations Framework Convention on Climate Change
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
USD	United States Dollar
VPC	Village Planning Committee
WMO	World Meteorological Organization
WPC	Ward Planning Committee
WWF	World Wildlife Fund

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DISCLAIMER

This report is the work of an independent consultant and does not necessarily represent the views, or policies, or intentions of the United Nations Development Programme (UNDP) and/or of the Government of Papua New Guinea (PNG).

1. Main Conclusions and Recommendations¹

1.1. Background - Introduction

This report presents the findings of the Mid-Term Evaluation (MTE) of the UNDP-supported-AF-financed Project “*Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of PNG*”. This mid-term evaluation was performed by an Independent Evaluator, Mr. Jean-Joseph Bellamy on behalf of the UNDP.

The impact of climate change-related hazards in Papua New Guinea (PNG) has been increasing in intensity and frequency. Due to climate change impacts, the country’s economy, environment and people are becoming more vulnerable and are at risk of not meeting basic human development needs. Climate change puts at risk the achievement of the goals set out in PNG’s major development plans. Flooding in the coastal areas is one of the most important climate change related hazards in the North Coast and the Islands Region. It is estimated that nearly 500,000 people in 2,000 coastal villages are vulnerable to climate-induced flooding risks. Similarly, in the hinterland areas, climate change-related inland flooding is the most pressing hazard with the largest potential for widespread damage. It is considered that food security is seriously at risk for more than one million people in vulnerable parts of the highlands and lowlands, due to recurrent and increasingly intense El Niño and La Niña events.

Furthermore, there are also some unsustainable use of natural resources that are further increasing vulnerability to climate change such as inappropriate land use practices, due to intensified farming systems that accelerate land degradation; unsustainable logging practices resulting in adverse environmental impacts due to deforestation; destructive fishing practices and harvesting of corals for cultural purposes, which destroy natural barriers (reef and mangroves); environmental impacts of large-scale mining operations; and increase in population and the need for income to meet basic necessities, which have led to unsustainable fishing practices that further contribute pressures on coastal and inshore marine resources.

As a response to these challenges, the government formulated and adopted in March 2010 its “*Climate Compatible Development Strategy (CCDS)*” and established the Office of Climate Change and Development (OCCD) as well as the National Climate Change Committee (NCCC). However, three main barriers have been hindering the government’s ability to put in place an effective and systematic mechanism to support the vulnerable population to adapt to the uncertainties of climate change:

- Insufficient technical resources and human capacity to apply pertinent information on climate change and make informed decisions about livelihood development and protection options for affected communities;
- Ineffective policy and legal instruments to implement climate change adaptation and disaster risk reduction policy frameworks;
- Absence of awareness, education and advocacy of climate change impacts and practical adaptation measures.

Thus, the government of PNG through the OCCD with the support of UNDP and financial resources from the Adaptation Fund (AF) formulated this project to “*Enhance Adaptive Capacity of Communities to Climate Change-related Floods in the North Coast and Islands Region of PNG*”. The project is to enable the government of PNG to systematically assess vulnerability of these coastal and riverine communities to develop the necessary institutional and individual capacity at national, provincial, district, and local level to enable decentralized and well-informed decision-making. The project needs to support the development of guidance on climate resilient coastal and inland protection, land-use planning, and early warning relevant to the PNG context to assist planners, decision-makers and practitioners understand climate risks when making development and investment decisions. Project interventions at the community level seek to address specific vulnerability characteristics of two distinct geographic areas which are: i) selected coastal and island communities of the Northern and Island Coastal Provinces of East Sepik, Madang, Morobe, New Ireland and Northern, which face coastal flooding risks; ii) selected river communities in Northern Coastal Provinces exposed to inland flooding risks.

¹ Conclusions and Recommendations are in Chapter 1 with a brief background section. It is structured as an Executive Summary and a stand-alone section presenting the highlights of this final evaluation.

It is a project supported by UNDP and the Adaptation Fund (AF), and the Government of PNG. It is funded by a grant from the AF of USD 6,018,777, a cash contribution from UNDP of USD 100,000 and an in-kind contribution of USD 220,000 from the Government of PNG. It started in October 2012 and will end at the end of October 2016 (4 years). The Office of Climate Change and Development (OCCD) is the Executing Entity and has overall responsibility for the management of the project. A national Project Management Unit (PMU) composed of a National Project Director (NPD), a National Project Manager (NPM), a Project Administrative and Finance Assistant, a Project Associate, and Technical Specialists implements the project. A project steering committee (PSC) is responsible for making management decisions for the project; it is co-chaired by the Executive Director of OCCD and the UNDP Resident Representative and includes Provincial Representatives.

The objective of the project is to strengthen the ability of coastal and riverine communities in Papua New Guinea to make informed decisions about and to undertake concrete actions to adapt to climate change-driven hazards affecting their specific locations. This objective was to be achieved through four outcomes (and 11 outputs):

1. Reduced exposure and increased adaptive capacity of coastal communities to flood-related risks and hazards in 8 communities and 3 cities of the 11 provinces of the North Coast and Islands Region;
2. Reduced exposure and increased adaptive capacity of 8 riverine communities of the 4 provinces (East Sepik, Oro, Morobe and Madang Provinces);
3. Strengthened institutional capacity at national and sub-national levels to integrate climate change-related risks into sectoral policies and management practices;
4. Strengthened awareness, education and advocacy to promote ownership of adaptation and climate change-related risk reduction processes at national and sub-national levels.

This mid-term evaluation report documents the achievements of the project and includes five chapters. Chapter 1 presents the main conclusions and recommendations; chapter 2 presents an overview of the project; chapter 3 briefly describes the objective, scope, methodology, evaluation users and limitations of the evaluation; chapter 4 presents the findings of the evaluation. Lessons learned are presented in Chapters 5 and relevant annexes are found at the back end of the report.

1.2. Conclusions

Project Strategy

a) The project has been very relevant for PNG.

It is a direct response to national priorities and needs and well aligned with national policies, strategies and institutions in place to address climate change. It supports the government to address flooding risks in both coastal and inland areas. It is part of the national agenda to adapt to climate change and it is executed by the national agency mandated by the government to tackle climate change. The design of the project was done in PNG with a good participation of stakeholders; it ensured that the project was a response to these national priorities and it also developed a good country ownership from the outset of this project. It is a well justified project. Limited information on coastal and inland flooding risks and vulnerability of communities living in these areas was available at the outset of the project. This was translated in the need for the project to conduct extensive vulnerability assessments of the targeted communities before any adaptation actions could be implemented.

b) The project is a coherent logic model with clear targets but it did not take into account enough the complexities to work at the provincial and local government levels as well as in remote communities.

The Strategic Results Framework identified during the design phase of this project presents a good set of expected results with a satisfactory and logical “chain of results”. Project resources have been used to implement planned activities to reach a set of expected outputs (11), which would contribute in achieving a set of expected outcomes (4), which together should contribute to achieve the overall objective of the project. This framework also includes - for each outcome - a set of indicators and targets to be achieved at the end of the project and that are used to monitor the performance of the project.

However, the specificities of the level of decentralization of governments in PNG and the complex logistics to work at all these levels were not really taken into account in the project document, including in the project strategy. When considering the greater autonomy of provincial and local governments, the fact that transportation from one province to another is mostly done by plane, and that security measures need to be followed strictly to ensure security of project staff, the result is a complex context to implement a project of this nature in PNG that is costlier and more time consuming. These realities were not really taken into account in the formulation of the project.

Progress Towards Results

c) The progress of the project so far has been moderately unsatisfactory but delivery of the project noticeably accelerated since 2014.

Without any time extension, the review found that many project targets won't be achieved by October 2016. This is mostly due to numerous delays since the outset of this project – mostly management delays to establish an effective PMU with a full time Project Manager (PM). One particular indicator is the level of project disbursements whereby only 3% of the AF grant were used during the first 15 months as opposed to 31% of the elapsed time.

However, it was also noted that the delivery of project activities has noticeably accelerated since 2014, which should be translated into good developmental results and contribute to “*strengthen the ability of coastal and riverine communities in Papua New Guinea to make informed decisions about and to undertake concrete actions to adapt to climate change-driven hazards affecting their specific locations*”.

d) Irregular project management set-up has been a barrier to the implementation of project activities and the development of a shared vision of the project.

From October 2012 to October 2013, no PM was in place; from October 2013 to October 2014, a PM was hired but resigned after one year; since October 2014, UNDP appointed a UNDP Officer to head the project as Interim Project Manager on a part time basis. Additionally, the implementation of the project was also adversely affected by the one-year suspension of the Director of the Adaptation Division at OCCD – who has been the NPM. In parallel to this, the project procured some office equipment for a PMU to be housed at OCCD; however, problems with internet and power access at OCCD have also affected the set up of this PMU. For all these reasons this PMU is not operational yet and project management activities have been completed from a project office based at UNDP. This management history has not been conducive to engage and work with government entities and other project stakeholders. Despite the fact that the current set up certainly helped the implementation of the project to move forward, a full time PM and a PMU housed at OCCD is required when considering the task at hand. It is the main barrier for the implementation of project activities. Discussion with UNDP during this review indicates that the UNDP Officer may be appointed full time on this project as of January 2016.

As a result of this irregular management set up and the political turmoil surrounding OCCD, there is a lack of a clear shared vision about what the project is trying to accomplish among project stakeholders. Very few people have a decent knowledge about the project and its strategy. It is particularly true at the provincial level where provincial stakeholders have very limited views on what the project is trying to achieve overall and even less knowledge on the kind of sustained results that are anticipated to be achieved by the end of the project. For instance, NGO grantees are conducting awareness activities in some communities, including the development of excellent community-based Disaster Risk Management (DRM) plans. However, numerous questions remain on how these plans will be sustained/ institutionalized and implemented and more importantly how these plans will be replicated in other communities in PNG.

Project Implementation and Adaptive Management

e) The management arrangements planned at the outset of the project were adequate but the management issues have not been addressed efficiently since the outset of the project.

The implementation modality of the project to allocate, administer and report on project resources is the

NIM (National Implementation Modality) with UNDP country office support; that is project activities are carried out by the project team in partnership with OCCD and reporting to UNDP as per established guidelines. Overall, roles and responsibilities were clearly identified and accepted, including the need to follow administrative procedures from UNDP and the government of PNG. A PSC was established and met four times since the inception of the project. Five Provincial Climate Change Committees were also supposed to be established to oversee and coordinate the implementation of project-supported activities at the provincial level but also at the local government and community level.

However, no documented analysis and decisions to address the management issues (no full time PM and no operational PMU at OCCD) faced by the project can be found in the PSC meeting minutes. The PSC does not seem to have been very effective in identifying the PMU/PM issue and addressing it. It may also be due to the fact that 3 PSC meetings happened during the first period of the project with no PM in place and that the last PSC meeting was only held recently after the evaluation mission in PNG in October 2015. In addition, at the provincial level, the anticipated coordination mechanism has not been working effectively and provincial stakeholders are not engaged enough in project activities to have a good understanding of the project strategy and how it is to be implemented. The result is an implementation that is too “piecemeal”.

f) The strong engagement of stakeholders during the formulation of the project did not continue during its implementation.

Since the setting up of OCCD in 2010, there was a strong consultation and engagement of stakeholders in addressing climate change risks and identifying solutions to adapt in PNG. This process led to a good consultation process to formulate this project and ensure that the project responds to national priorities. However, there is a major difference between this strong engagement of stakeholders at the formulation stage and the engagement of stakeholders today in implementing the project, including the level of interest to participate in project activities. The project is still very relevant for PNG, however, there is a low level of stakeholder awareness about the project, its objective and its achievements. Very few people have a vision about the project objective.

g) Work planning is not very efficient and the disbursement of the AF grant is slow but there is a net change since 2014 and particularly in 2015.

Since inception of the project, work planning has not been very efficient; only between 6 to 20% of the annual budgeted amounts were actually disbursed during the first 2.5 years. However, this situation seems to have improved in 2015 whereby the current expenditures (up to end of October 2015) represent already 56% of the annual budgeted amount in the work plan and it is expected to rise further before the end of 2015 with payments due for hard commitments made recently.

This inefficient work planning has been translated into very slow disbursements, particularly during the first 15 months of implementation. The project expended only \$176,000 during the first 15 months or less than 3% of the AF grant versus 31% of its timeline (15 months out of 48 months). Despite a significant increase in expending the project budget since 2014, the overall financial picture reveals that less than 36% of the budget has been expended so far versus an elapsed time of 77%. As of November 2015, there is a remaining budget of 3,861,400 representing about 64% of the AF grant, which, based on the historical disbursement profile of this project, will not be expended by October 2016.

h) The M&E plan to monitor the performance of the project is moderately satisfactory.

The set of indicators is not fully Specific, Measurable, Attainable, Relevant and Time-bound (SMART). Most indicators are specific, easily measurable, attainable and time-bound. However, they are not totally relevant at the outcome and objective level of the project. They do not measure enough how effective the project is in developing the capacity of stakeholders. The project indicators are mostly quantitative indicators, which are known as not depicting the status of something in more qualitative terms. Degree of capacity developed are often better captured by qualitative indicators. For example, how much a coastal community is able to adapt to climate change-driven hazards may not be measurable in strict quantitative terms, but they can be graded based on qualitative findings. A mix of both types of indicators would be more suited for the measurement of the performance of this project offering quantity and quality information about

project achievements.

i) Communications with stakeholders have not been enough and/or have not been very effective.

There are not enough project feedback mechanisms among stakeholders at the national, provincial and local levels and also at the beneficiaries – coastal and inland communities – level. There is a lack of a clear shared vision about the project and what it is trying to accomplish, which contributes to the weak engagement of stakeholders and interest in project-supported activities.

Sustainability

j) The prospect for the long-term sustainability of project achievements is good.

The strong commitment of the government of PNG to sustainably address climate change and its social, economical, environmental and financial impacts has been evident through several initiatives. This clear intention is reflected in the country's Climate Compatible Development Strategy and the establishment of the National Climate Change Committee as well as the Office of Climate Change and Development. The project has been a direct response to government priorities in the climate change adaptation area. It is anticipated that the government will continue to implement Climate Change Adaptation (CCA) activities in the foreseeable future and, therefore, project achievements should be sustained in the medium-term and used as demonstrations to be replicated throughout PNG.

1.3. Recommendations

Based on the findings of this mid-term evaluation, the following recommendations are suggested.

Recommendation 1: It is recommended to extend the project by one year (time extension) to September 2017.

Issue to Address

As of the end of October 2015, there is a remaining budget of 3,861,400 representing about 64% of the AF grant. If we consider the original timeline with end of September 2016 as the closing date for the project, the assessment indicates that this remaining budget will not be expended during the remaining period of 11 months. Taking as a benchmark the disbursement of the first 10 months of 2015, the project would need 30 additional months to expend the remaining budget. Considering this remaining budget and the overall progress of the project, particularly the fact that October 2016 appears too early for the project to end while ensuring sustainable achievements, it is recommended to extend the project by another year to the end of September 2017.

So far, the project has spent \$2,157,377 or 36% of the AF grant. A large portion of these expenditures were allocated to assessments, studies and strategy such as a communication strategy. A lot of valuable information has been produced so far but little use of this information has been made. In the coming months, this body of knowledge will also be increased with the outputs of the two ongoing assessments: vulnerability assessment in the 5 provinces and information needed to inform the design of a functional EWS. Closing the project in October 2016 would prevent the use of this information for implementing concrete actions to address impacts of coastal and riverine flooding in the 5 provinces, including planning activities but also flooding mitigation activities. A one-year extension would provide an opportunity to value this initial investment on assessments.

Recommendation 2: It is recommended to address the PMU/PM issue as soon as possible to ensure an operational PMU housed at OCCD and led by a full time PM.

Issue to Address

The implementation of the project has accelerated significantly since 2014. The timing also corresponds to the presence of a PM since 2014. However, a first PM was hired in October 2013 but resigned from her position in October 2014 after only one year. In order to help the implementation, a UNDP Officer has been appointed to the project on a part time basis since July 2014. It certainly helped the implementation of the

project to move forward but considering the task at hand, a full time PM is required for the remaining period of the project. Discussion with UNDP indicates that this Officer will be, possibly, appointed full time on this project as of January 2016.

A PMU has also been through different phases and, at the time of this evaluation, there is still no PMU operational housed at OCCD as planned at the outset of the project. During the initial phase of the project, some funds were expended for the purchase of some office equipment for a PMU at OCCD. In the meantime, OCCD – due to limited budget – was not able to provide electricity and internet access to the PMU. As a result, the PMU was moved to the UNDP office where it still is currently, while empty desks are waiting at OCCD. The current set up is not conducive to engage and work with government entities and other stakeholders. It is recommended that UNDP and OCCD address this issue as soon as possible and appoint/hire a full time PM and settle the PMU at the OCCD office for the remaining period of the project.

Recommendation 3: It is recommended to create a project executive committee consisting mostly of one representative from UNDP, OCCD, and the PM to regularly review the progress of the project and use adaptive management when needed.

Issue to Address

Considering the need to increase the participation of stakeholders and the national ownership of the project, it is recommended to create an executive committee consisting mostly of one representative from UNDP, OCCD, and the PM to regularly monitor the implementation of the project, decide the allocation of project resources and address any management issues faced by the PMU to implement project activities. Decisions taken by this committee should be properly documented in minutes of meetings. This small executive committee would provide a management approach to use adaptive management where and when needed and will report to each PSC meetings.

Recommendation 4: It is recommended to limit any further assessments and studies and focus on the implementation of concrete actions addressing risk of coastal and riverine flooding in the 5 provinces.

Issue to Address

The project has been conducting several assessments and studies to assess and analyze climate change risk in both coastal and inland areas. It accumulated a large amount of knowledge but so far it hasn't been used much in term of addressing these risks. Currently, two large assessments are still underway to assess the vulnerability to climate change in the 5 provinces and to collect the information needed to inform the design of a functional EWS for PNG. Considering the short remaining timeline, it is recommended that the project focuses on the implementation of concrete actions to address impacts of coastal and riverine flooding in the 5 provinces, including planning activities but also flooding mitigation activities. The implementation model through NGOs has been working well. Based on their respective performance, the work performed by those NGOs with a good track record should be expanded, which will contribute to enlarging the reach – more beneficiaries - of the project.

Recommendation 5: It is recommended to revive/strengthen the Provincial Climate Change Committees in the 5 provinces as a mechanism to re-engage provincial and local stakeholders.

Issue to Address

The review indicates that, since the setting up of OCCD in 2010, there was a strong consultation and engagement of stakeholders in addressing climate change risks and identifying solutions to adapt. This process led to a good consultation process to formulate this project and ensure that the project responds to national priorities. However, when reviewing these consultations that took place before the start of this project and the level of stakeholder engagement today, there seem to be a major difference in the level of interest to participate in project activities. The project was and still is very relevant for PNG, however, there is a low level of stakeholder awareness about the project, its objective and its achievements.

Provincial Climate Change Committees were part of the anticipated management arrangements of the project identified during the formulation of the project. These committees were tasked with the coordination of project-supported activities at the provincial level but also at the local government and community level.

However, this coordination mechanism is not working effectively. There is a need to revive and support these provincial committees during the remaining part of the project. The project needs to increase the participation of provincial stakeholders in order to develop a greater ownership of project-supported activities that are mostly implemented at the provincial, local government and community levels. It is recommended to increase the engagement of provincial and local government stakeholders through the revival of provincial climate change committees.

Recommendation 6: It is recommended to create, publish and disseminate five (5) hazard profiles (one per province) using the information contained in the RMSI study.

Issue to Address

A detailed analysis of climate hazards was conducted in the five pilot provinces resulting in a comprehensive hazard profile for these five provinces with maps, identification of the most vulnerable areas and several recommendations to minimize impacts of climate change. This study – conducted by RMSI – contains a large amount of critical information for DRM and Disaster Risk Reduction (DRR). It is recommended to “cut and paste” this information into five separate comprehensive hazard profiles (one per province) and disseminate these profiles in the respective provinces.

Recommendation 7: It is recommended to review the project approach for mangrove reforestation and conservation.

Issue to Address

The project document included an extensive analysis on mangrove conservation, including OCCD’s work on mangrove and the central part of mangrove conservation as solutions to climate change adaptation for coastal areas. A significant project budget was also allocated to mangrove reforestation and conservation including mangrove nurseries. However, the work undertaken so far with WWF does not seem to be as successful as anticipated. A complete review of the project approach for mangrove reforestation and conservation is needed before committing additional resources to this area.

Recommendation 8: It is recommended to follow up with activities to strengthen community disaster risk management capacity in the identified 33 climate-risk hotspot communities.

Issue to Address

Under the ongoing analysis of climate vulnerabilities and risks undertaken in the five pilot provinces, 33 climate-risk hotspot communities have been identified in these provinces and community risk assessments are being completed in these communities. These assessments, which should be ready by the end of 2015, will provide the project and the government with critical information on what to do and where to address the most pressing needs to tackle impacts of climate change in these 33 communities. This is an opportunity for the project to expand its reach at the community level in both coastal and inland areas through concrete actions identified by these communities to adapt to and mitigate the risks of flooding.

Recommendation 9: It is recommended to increase communication at the provincial and local levels through various media and also to increase the presence of the project at these levels with a more participative approach in project decision making through more project stakeholder meetings.

Issue to Address

The current implementation approach of the project is too “piecemeal” and lack a clear shared vision about what the project is trying to accomplish. A strategy exists with specific targets identified during the design phase of the project but very few people have a decent knowledge about the project and its strategy, particularly at the provincial level. For instance, NGO grantees are conducting awareness activities in some communities, including the development of excellent community-based DRM plans. However, numerous questions remain on how these plans will be sustained, institutionalized and implemented and more importantly how these plans will be replicated in other communities in PNG. In order to develop a more common vision on the project, it is recommended to increase communication at the provincial and local levels through various media such as flyers, bulletins, emails and other traditional communication means and also to increase the presence of the project at these levels with a more participative approach in project

decision making through more project stakeholder meetings².

Recommendation 10: It is recommended to review the set of indicators used to monitor the progress of the project and add a few capacity-based indicators to better measure the capacities being developed.

Issue to Address

The review indicates that the set of indicators is not fully SMART. Most indicators are specific, easily measurable, attainable and time-bound. However, they are not totally relevant at the outcome and objective level of the project. They do not measure enough how effective the project is in developing the capacity of stakeholders. It is recommended to add a few qualitative indicators to measure the development of these capacities; particularly at the objective level. It was also noted that the capacity assessment conducted on the project did not focus on identifying capacity-based indicators to measure project progress; it focused on assessing the capacity of targeted communities and identify capacity development activities to be implemented to raise the capacity of targeted communities.

Recommendation 11: It is recommended to prepare an exit strategy for the project to ensure an orderly disengagement of project support and maximize the sustainability of project achievements.

Issue to Address

It is recommended to prepare an exit strategy six months before the end of the project to prepare for the withdrawal of project resources and set some guidance for the sustainability of project achievements and the scaling-up and replication of these achievements. This exit strategy should also include a process to document the accomplishments of the project and the way forward to replicate these results.

1.4. Ratings and Achievement Summary Table

Below is the rating table as requested in the TORs. It includes all the required performance criteria rated as per the rating scales presented in the TORs. Supportive information is also provided throughout this report in the respective sections.

Note: An important caveat to consider when reading these ratings is that there are based on the assumption that the project will be completed in October 2016. They do not take into consideration the above recommendation for a one-year time extension, which should allow the project to catch up on the delivery of its activities and achieve more of its targets.

Table 1: Rating Table

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results		
Objective Achievement:	Moderately Unsatisfactory	With the expertise of several NGOs contracted by the project to conduct some community-based adaptation awareness, planning and activities, some progress is made at the local level. However, with the current timeframe the project is running out of time to support the development of sustainable climate change adaptation plans at the provincial levels including the institutionalization of results achieved at the community level. Besides some interesting work being done at the village level by several NGOs, very limited progress has been done to develop provincial climate change
Outcome 1 Achievement:	Moderately Unsatisfactory	
Outcome 2 Achievement:	Moderately Unsatisfactory	
Outcome 3 Achievement:	Moderately Unsatisfactory	

² The recommended activities could be part of implementing the communication strategy of the project. However, this strategy focuses on raising awareness about climate change issues. This recommendation focuses on communicating basic information about the project at the provincial and local levels, to disseminate the vision of the project in the targeted areas.

Measure	MTR Rating	Achievement Description
Outcome 4 Achievement:	Moderately Unsatisfactory	adaptation plans. Additionally, the target of installing tidal gauges and AWS and ensuring the sustainability of this equipment will require a time extension. The delays occurred during the first 15 months of implementation affected negatively the overall timeline of the project and without a time extension many targets will not be achieved.
Project Implementation & Adaptive Management	Moderately Unsatisfactory	The issues of setting up a PMU housed at OCCD led by a full time PM have hampered the progress of this project affecting greatly its performance. As of October 2015 the project has spent only 36% of its approved budget versus 77% of its elapsed time.
Sustainability	Likely	The strong commitment of the government of PNG to sustainably address climate change and its social, economical, environmental and financial impacts should ensure the long term sustainability of project achievements. The project has been part of the climate change adaptation agenda in PNG and it is anticipated that the government (OCCD) will continue to implement CCA activities in the foreseeable future. Therefore, project achievements should be sustained in the medium-term and used as demonstrations to be replicated throughout PNG.
Other Assessment Criteria		
Attainment of outputs and activities	Moderately Unsatisfactory	Management issues were translated into major delays in delivering project activities. However, delivery of activities accelerated greatly since 2014 and the overall delivery of the project is expected to improve greatly over the remaining period of the project.
Cost-effectiveness	Moderately Unsatisfactory	Due to delay in delivering project outputs, the cost-effectiveness of the project has not been satisfactory. However, following the acceleration of delivery of project activities, the cost-effectiveness of this project will improve over the remaining period of implementation.
Coverage	Moderately Satisfactory	Once the project will focus more on the implementation of CCA activities to plan and mitigate flooding risks, the coverage of the project will be satisfactory.
Replicability	Moderately Likely	If the project continues to deliver activities as observed in 2015, more achievements will be observed and replicable in other parts of PNG. It will be particularly true once the project will focus less on assessments and studies and more on implementing CCA activities.
Stakeholders participation	Moderately Satisfactory	The project enjoyed a strong stakeholder engagement during its formulation; however, following this first phase of implementation, the project needs to re-engage stakeholders through more meetings and more communications.
Country ownership	Moderately Satisfactory	Linked to stakeholder engagement, country ownership should follow the re-engagement of stakeholders.
Acceptability	Satisfactory	The project is very relevant for PNG and its climate change adaptation agenda. It is a key instrument used by OCCD to implement CCA activities.
Financial Planning	Moderately Satisfactory	Financial planning during the first 3 years of implementation were completely inadequate for the implementation of a project of this size. However, much progress has been made since and a net improvement has been seen in 2015.
Monitoring and Evaluation	Moderately Satisfactory	Despite a set of adequate quantitative indicators to measure the performance of the project, a few qualitative indicators are missing to measure the progress made at the objective level, providing more quality information on the capacities being developed.

Measure	MTR Rating	Achievement Description
Impact in Disaster Risk Management	Moderately Satisfactory	So far, the project has produced a good body of knowledge on flooding risks in both coastal and inland areas, which can be used in disaster risk management. More valuable information will also be available in the coming months from 2 ongoing assessments and also from the implementation of CCA activities in communities.

2. CONTEXT AND OVERVIEW OF THE PROJECT

1. Papua New Guinea (PNG) is a Pacific, tropical and mountainous island nation lying on the Eastern half of New Guinea Island. PNG is a country of exceptional ethnic and biological diversity. The population of approximately 6.3 million people speaks more than 840 distinct languages. The country harbours hundreds of endemic species over its 462,840 sq. km mass. 80% of the population lives a traditional rural subsistence lifestyle that is supported by the biological richness and diversity of the forests, inland waters and coastal seas. 85% of the country's labour force is absorbed by the agricultural sector. The agricultural sector accounts for 32.6% of GDP, with industries and the service sector accounting for 36.8% and 30.6%, respectively. Mineral deposits, including copper, gold, and oil account for nearly two-thirds of export earnings.

2. The impact of climate change-related hazards in PNG has been increasing in intensity and frequency. Further impacts from climate change include the loss of food gardens due to extensive flooding (both in coastal and riverine areas) combined with extended periods of drought. The rising sea level is causing some of PNG's islands to be gradually submerged. Salt-water intrusion is affecting groundwater particularly in the islands and in coastal areas, threatening domestic water supplies and agriculture. With the onset and multitude of climate change impacts, the country's economy, environment and people are becoming more vulnerable and are at risk of not meeting basic human development needs. Climate change puts at risk the achievement of the goals set out in PNG's major development plans.

3. Flooding in the coastal areas is one of the most important climate change related hazards in the North Coast and the Islands Region as settlements – and provincial economic centers - are usually located along the coasts, particularly the provincial capitals of East Sepik (Wewak), Madang (Madang), Morobe (Lae), and West New Britain (Kimbe). Similarly, in the hinterland areas, climate change-related inland flooding is the most pressing hazard with the largest potential for widespread damage. The lack of water impoundments and/or water reticulation schemes serves to increase the vulnerability of the largely agrarian communities. It is estimated that nearly 500,000 people in 2,000 coastal villages are vulnerable to climate-induced flooding risks. It is also considered that food security is seriously at risk for more than one million people in vulnerable parts of the highlands and lowlands, due to recurrent and increasingly intense El Niño and La Niña events. Furthermore, there are some unsustainable use of natural resources that are further increasing vulnerability to climate change such as inappropriate land use practices, due to intensified farming systems that accelerate land degradation; unsustainable logging practices resulting in adverse environmental impacts due to deforestation; destructive fishing practices and harvesting of corals for cultural purposes, which destroy natural barriers (reef and mangroves); environmental impacts of large-scale mining operations; and increase in population and the need for income to meet basic necessities, which have led to unsustainable fishing practices that further contribute pressures on coastal and inshore marine resources.

4. As a response to these challenges, the government formulated and adopted its “*Climate Compatible Development Strategy (CCDS)*” in March 2010. At the same time, the Cabinet also established the OCCD as well as the NCCC, who take full and exclusive responsibility of climate change and environmental sustainability in PNG. The OCCD then created four Technical Working Groups: REDD+, Adaptation, Consultations, and Low-carbon Growth. However, three main barriers have been hindering the government's ability to put in place an effective and systematic mechanism to support the vulnerable population to adapt to the uncertainties of climate change:

- Insufficient technical resources and human capacity to apply pertinent information on climate change and make informed decisions about livelihood development and protection options for affected communities;
- Ineffective policy and legal instruments to implement climate change adaptation and disaster risk

reduction policy frameworks;

- Absence of awareness, education and advocacy of climate change impacts and practical adaptation measures.

5. Thus, the Government of Papua New Guinea (GoPNG) through the OCCD with the support of UNDP and financial resources from the Adaptation Fund (AF) formulated this project to “*Enhance Adaptive Capacity of Communities to Climate Change-related Floods in the North Coast and Islands Region of PNG*”. The project aims to enable the GoPNG to systematically assess vulnerability of these coastal and riverine communities to develop the necessary institutional and individual adaptive capacity at national, provincial, district, and local level to enable decentralized and well-informed decision-making. In order to strengthen the enabling environment for such decentralized planning, preparedness and response, climate change adaptation measures need to be anchored in key national and subnational plans and strategies. The project needs to support the development of guidance on climate resilient coastal and inland protection, development, land-use planning, and early warning relevant to the PNG context to assist planners, decision-makers and practitioners understand climate risks when making development and investment decisions. Project interventions at the community level seek to address specific vulnerability characteristics of two distinct geographic areas which are: i) selected coastal and island communities of the Northern and Island Coastal Provinces of East Sepik, Madang, Morobe, New Ireland and Northern, which face coastal flooding risks; ii) selected river communities in Northern Coastal Provinces exposed to inland flooding risks.

6. The overall objective of the project is to strengthen ability of coastal and riverine communities in Papua New Guinea to make informed decisions about and to undertake concrete actions to adapt to climate change-driven hazards affecting their specific locations. In particular, the project will improve the resilience towards occurrences of coastal and inland flooding events in the North Coast and Islands Region of Papua New Guinea. The key impact indicator associated with this objective is the reduced vulnerability of communities to coastal and inland flooding as well as improved government’s institutional and human capacity to address climate change impacts.

7. It is a project implemented by the GoPNG and supported by UNDP and the AF. It is funded by a grant from the AF of USD 6,018,777, a cash contribution from UNDP of USD 100,000 and an in-kind contribution of USD 220,000 from the Government of PNG. It started in October 2012 and will end at the end of October 2016 (4 years). The OCCD is the Executing Entity and has overall responsibility for the management of the project. A national PMU composed of a NPD, a NPM, a Project Administrative and Finance Assistant, a Project Associate, and Technical Specialists implements the project. A PSC is responsible for making management decisions for the project; it is co-chaired by the Executive Director of OCCD and the UNDP Resident Representative.

8. The objective of the project will be achieved through four outcomes:

- **Outcome 1:** Reduced exposure and increased adaptive capacity of coastal communities to flood-related risks and hazards in 8 communities and 3 cities of the 11 provinces of the North Coast and Islands Region;
- **Outcome 2:** Reduced exposure and increased adaptive capacity of 8 riverine communities of the 4 provinces (East Sepik, Oro, Morobe and Madang Provinces);
- **Outcome 3:** Strengthened institutional capacity at national and sub-national levels to integrate climate change-related risks into sectoral policies and management practices;
- **Outcome 4:** Strengthened awareness, education and advocacy to promote ownership of adaptation and climate change-related risk reduction processes at national and sub-national levels.

3. EVALUATION FRAMEWORK

9. This mid-term evaluation - a requirement of UNDP & AF procedures - has been initiated by UNDP PNG Country Office, which is the Commissioning Unit and Implementing Entity for this project. This evaluation provides an in-depth assessment of project achievements and progress towards its objectives and outcomes.

3.1. Objectives

10. The mid-term evaluation assessed the performance of the project since the beginning of its implementation and the progress towards the achievement of the project objectives and outcomes as specified in the Project Document. More specifically and as per the TORs (*see Annex I*), the evaluation:

- Assessed the overall performance against the project objective and outcomes as set out in the project document including the project's Result and Resources Framework and other related documents;
- Included both the evaluation of the progress in project implementation, measured against planned outputs set forth in the Project Document in accordance with rational budget allocation and the assessment of features related to the process involved in achieving those outputs, as well as the initial and potential impacts of the project
- Assessed early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results;
- Addressed underlying causes and issues contribution to targets not adequately achieved;
- Identified weaknesses and strengths of the project design and come up with recommendations for any necessary changes in the overall design and orientation of the project by evaluating the adequacy, efficiency, and effectiveness of its implementation, as well as assessing the project outputs and outcomes to date;
- Made detailed recommendations – as needed - on the work plan for the remaining project period;
- Identified lessons learnt and best practices from the project, which could be applied to future and other on-going projects.

3.2. Scope

11. As per the TORs, the scope of this evaluation covered the following elements:

- a) Assessed whether the project design is clear, logical and commensurate with time and resources available;
- b) Summarized all project major components undertaken to date and progress made towards achieving its overall objectives;
- c) Assessed the project performance in relation to the indicators, assumptions and risks specified in the logical framework matrix and the project document;
- d) Assessed the scope, quality and significance of projects outputs produced to date in relation to expected results;
- e) Analyzed the extent of cooperation on engendered and synergy created by the project in each of its component activities;
- f) Assessed the functionality of the institutional structure established and the role of the Project Steering Committee, Project Management Unit, Implementing Partner, the Technical and Advisory Support Teams and working groups;
- g) Identified the extent possible, quantify any additional outputs and outcomes beyond those specified in the project document;
- h) Identified any programmatic and financial variance and/or adjustments made during the first two years of the project and an assessment of their conformity with decisions of the Project Steering Committee and their appropriateness in terms of overall objectives of the project;
- i) Evaluated the project coordination, management and administration provided by the PMU, including:
 - Organizational/institutional arrangements for collaboration among the various agencies and institutions involved in project arrangements and execution;

- Effectiveness of monitoring mechanisms currently employed by project managers in monitoring on a day to day basis the progress in project execution;
 - Administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project and present recommendations for any necessary operational changes; and
 - Financial management of the project, including the balance between expenditures on administrative and overhead charges in relation to those on the achievement of substantive outputs.
- j) Assessed the extent to which project outputs to date have scientific credibility;
- k) Assessed the extent to which scientific and technical information and knowledge have influenced the execution of project activities;
- l) Measured the degree to which the overall objectives and expected outcomes of the project are likely to be met;
- m) Identified lessons learned during project implementation;
- n) Recommended any necessary corrections and adjustments to the overall project work plan and timetable for the purposes of enhancing the achievement of project objectives and outcomes.
12. The evaluation also assessed the project along four main aspects of the project:
- **Project Strategy**
 - Reviewed the project design
 - Analyzed the Result and Resources Framework (log-frame) including the intended outputs and their corresponding targets and planned activities)
 - **Progress Towards Results**
 - Assessed progress towards outcomes against its intended targets
 - **Project Implementation and Adaptive Management**
 - Reviewed project management arrangements
 - Reviewed project work planning
 - Reviewed project finance and co-finance
 - Reviewed project level monitoring and evaluation systems
 - Reviewed stakeholder engagement
 - Reviewed project progress reporting
 - Reviewed project communications
 - **Sustainability**
 - Validated whether the identified risks are the most important and up to date.
 - Assessed the risks to sustainability in term of financial risks, socio-economic risks, institutional framework and governance risks, and environmental risks.

3.3. Methodology

13. The methodology used to conduct this mid-term evaluation complies with international criteria and professional norms and standards; including the norms and standards adopted by the UN Evaluation Group.

3.3.1. Overall Approach

14. The evaluation was conducted in accordance with the guidance, rules and procedures established by UNDP and AF, including the UNDP Evaluation Policy and the United Nations Evaluation Group (UNEG) Standards and Norms for Evaluation in the UN System. The evaluation was undertaken in-line with principles such as: *independence, impartiality, transparency, disclosure, ethical, partnership, competencies/capacities, and credibility and utility*. The process promoted accountability for the achievement of project objectives and promoted learning, feedback and knowledge sharing on results and lessons learned among project's partners and beyond.

15. The Evaluator developed evaluation tools in accordance with UNDP and AF policies and guidelines to ensure an effective project evaluation. The evaluation was conducted and findings were structured around five major evaluation criteria; which are also the five internationally accepted evaluation criteria set out by the Development Assistance Committee of the Organization for Economic Co-operation and Development. There are:

- *Relevance* relates to an overall assessment of whether the project is in keeping with donors and partner policies, with national and local needs and priorities as well as with its design.
- *Effectiveness* is a measure of the extent to which formally agreed expected project results (outcomes) have been achieved, or can be expected to be achieved by the end of the project.
- *Efficiency* is a measure of the productivity of the project intervention process, i.e. to what degree the outcomes achieved derive from efficient use of financial, human and material resources. In principle, it means comparing outcomes and outputs against inputs.
- *Impacts* are the long-term results of the project and include both positive and negative consequences, whether these are foreseen and expected, or not.
- *Sustainability* is an indication of whether the outcomes (end of project results) and the positive impacts (long term results) are likely to continue after the project ends.

16. In addition to the UNDP and AF guidance for project evaluation, the Evaluator applied to this mandate his knowledge of evaluation methodologies and approaches and his expertise in climate change adaptation and more generally in environmental management issues. He also applied several methodological principles such as (i) *Validity of information*: multiple measures and sources were sought out to ensure that the results were accurate and valid; (ii) *Integrity*: Any issue with respect to conflict of interest, lack of professional conduct or misrepresentation were immediately referred to the client, when needed; and (iii) *Respect and anonymity*: All participants had the right to provide information in confidence.

17. The evaluation was conducted following a set of steps presented in the table below:

Table 2: Steps Used to Conduct the Evaluation

<p><u>I. Review Documents and Prepare Mission</u></p> <ul style="list-style-type: none"> ▪ Start-up teleconference/finalize assignment work plan ▪ Collect and review project documents ▪ Elaborate and submit <u>Inception Report</u> ▪ Prepare mission: agenda and logistic 	<p><u>III. Analyze Information</u></p> <ul style="list-style-type: none"> ▪ In-depth analysis and interpretation of data collected ▪ Follow-up interviews (where necessary) ▪ Draft and submit <u>draft evaluation report</u>
<p><u>II. Mission / Collect Information</u></p> <ul style="list-style-type: none"> ▪ Mission to PNG for the Evaluator ▪ Interview key Stakeholders and conduct field visits in 3 Provinces ▪ Further collect project related documents ▪ Mission debriefings / Presentation of key findings 	<p><u>IV. Finalize Evaluation Report</u></p> <ul style="list-style-type: none"> ▪ Circulate draft report to UNDP-AF and relevant stakeholders ▪ Integrate comments and submit <u>final evaluation report</u>

18. Finally, the Evaluator signed and applied the “*Code of Conduct*” for Evaluation Consultant (see Annex 2). The Evaluator conducts evaluation activities, which are independent, impartial and rigorous. This mid-term evaluation clearly contributed to learning and accountability and the Evaluator has personal and professional integrity and was guided by propriety in the conduct of his business.

3.3.2. Evaluation Instruments

19. The evaluation provides evidence-based information that is credible, reliable and useful. Findings were triangulated through the concept of “*multiple lines of evidence*” using several evaluation tools and gathering information from different types of stakeholders and different levels of management. To conduct this evaluation the following evaluation instruments were used:

Evaluation Matrix: An evaluation matrix was developed based on the evaluation scope presented in the TOR, the project log-frame and the review of key project documents (*see Annex 3*). This matrix is structured along the five evaluation criteria and includes all evaluation questions; including the scope presented in the guidance. The matrix provided overall directions for the evaluation and was used as a basis for interviewing people and reviewing project documents.

Documentation Review: The Evaluator conducted a documentation review in Canada and in PNG (*see Annex 4*). In addition to being a main source of information, documents were also used as preparation for the mission of the Evaluator in PNG. A list of documents was identified during the start-up phase and further searches were done through the web and contacts. The list of documents was completed during the mission.

Interview Guide: Based on the evaluation matrix, an interview guide was developed (*see Annex 5*) to solicit information from stakeholders. As part of the participatory approach, the Evaluator ensured that all parties view this tool as balanced, unbiased, and structured.

Mission Agenda: An agenda for the mission of the Evaluator to PNG was developed during the preparatory phase (*see Annex 6*). The list of Stakeholders to be interviewed was reviewed, ensuring it represents all project Stakeholders. Then, interviews were planned in advance of the mission with the objective to have a well-organized and planned mission to ensure a broad scan of Stakeholders' views during the limited time allocated to the mission.

Interviews: Stakeholders were interviewed (*see Annex 7*). The semi-structured interviews were conducted using the interview guide adapted for each interview. All interviews were conducted in person with some follow up using emails when needed. Confidentiality was guaranteed to the interviewees and the findings were incorporated in the final report.

Field Visits: As per the TORs, three (3) provincial visits were conducted during the mission of the Evaluator in PNG; it ensured that the Evaluator had direct primary sources of information from the provincial level and implementing partners at the provincial level. It gave opportunities to the Evaluator to observe project achievements at the provincial level and obtain views from stakeholders at this level.

Achievement Rating: The Evaluator rated project achievements according to the guidance provided in the TORs. It included a six point rating scale to measure progress towards results and project implementation and adaptive management and a four point rating scale for sustainability. It also included ratings – using a five point rating scale - on the following items: attainment of outputs and activities; cost-effectiveness; coverage; impact; sustainability; replicability; implementation approach; stakeholders participation; country ownership; acceptability; financial planning; monitoring and evaluation; and impact on disaster risk management.

3.4. Limitations and Constraints

20. The approach for this mid-term evaluation was based on a planned level of effort of 25 days. It comprised a two-week mission to PNG to interview key stakeholders, collect evaluative evidence; including visits to stakeholders in three provinces where the project support activities. Within the context of these resources, the independent Evaluator was able to conduct a detailed assessment of actual results against expected results and successfully ascertains whether the project should meet its main objective - as laid down in the project document - and whether the project initiatives are, or are likely to be, sustainable after completion of the project. The Evaluator also made recommendations for any necessary corrections and adjustments to the overall project work plan and timetable and also for reinforcing the long-term sustainability of project achievements. Finally, the report also contained lessons learned and best practices, which could be further taken into consideration during the development and implementation of other similar projects in PNG, in the region and elsewhere in the world.

4. EVALUATION FINDINGS

21. This section presents the findings of this mid-term evaluation adhering to the basic structure proposed in the TOR and as reflected in the UNDP project evaluation guidance.

4.1. Project Strategy

22. This section discusses the assessment of the project strategy – including its relevance - and its overall design in the context of PNG.

4.1.1. Project Design

23. As presented in chapter 2, flooding in the coastal areas is one of the most important climate change related hazards in the North Coast and the Islands Region as settlements are usually located along the coasts. It is estimated that nearly 500,000 people in 2,000 coastal villages are vulnerable to climate-induced flooding risks. Similarly, in the hinterland areas, climate change-related inland flooding is the most pressing hazard with the largest potential for widespread damage. The impact of these flooding risks are also compounded by the unsustainable use of natural resources such as inappropriate land use practices, unsustainable logging practices, destructive fishing practices and harvesting of corals for cultural purposes, environmental impacts of large-scale mining operations; and increase in population and the need for income to meet basic necessities.

24. The government response to these challenges has been to formulate and adopt a “*Climate Compatible Development Strategy (CCDS)*” in March 2010. At the same time, Cabinet established the OCCD as well as the NCCC, which were tasked to be fully responsible for climate change and environmental sustainability in PNG. The OCCD then created four Technical Working Groups to establish agendas that would address these challenges: REDD+, Adaptation, Consultations, and Low-carbon Growth.

25. However, three main barriers have been hindering the government’s ability to put in place an effective and systematic mechanism to support the vulnerable population to adapt to the uncertainties of climate change:

- Insufficient technical resources and human capacity to apply pertinent information on climate change and make informed decisions about livelihood development and protection options for affected communities;
- Ineffective policy and legal instruments to implement climate change adaptation and disaster risk reduction policy frameworks;
- Absence of awareness, education and advocacy of climate change impacts and practical adaptation measures.

26. The project was designed by the GoPNG through the OCCD with the support of UNDP and financial resources from the AF to “*Enhance Adaptive Capacity of Communities to Climate Change-related Floods in the North Coast and Islands Region of PNG*”. The project was a direct response to these climate change related challenges. It was formulated to provide support to the government of PNG to systematically assess vulnerability of these coastal and riverine communities, to develop the necessary institutional and individual capacity at national, provincial, district, and local level, and to enable decentralized and well-informed decision-making taking into account climate change. Furthermore, considering these challenges, the interventions of the project were to address specific vulnerability characteristics of two distinct geographic areas: i) selected coastal and island communities of the Northern and Island Coastal Provinces of East Sepik, Madang, Morobe, New Ireland and Northern, which face coastal flooding risks; and ii) selected river communities in Northern Coastal Provinces exposed to inland flooding risks.

27. The review of these challenges and the government response confirms that the project is a direct response to national priorities and national needs. The project has been supporting the development of guidance on climate resilient coastal and inland protection, development, land-use planning, and early warning relevant to the PNG context to assist planners, decision-makers and practitioners in understanding climate risks when making development and investment decisions.

28. The project is fully relevant in the context of the policy, planning and institutional frameworks in place in PNG. It is part of the development strategy for PNG, which includes the following relevant parts:

Papua New Guinea Vision 2050:

29. In December 2007, the National Executive Council (NEC) of Papua New Guinea, on advice from the National Planning Committee (NPC), made a decision to develop a framework for a long-term strategy — “*The Papua New Guinea Vision 2050*” — that should map out the future direction for the country and reflect the aspirations of the people of PNG. Vision 2050 embraces the five national goals and directive principles that are enshrined in the constitution of PNG (1975) and is underpinned by seven Strategic Focus Areas, which are referred to as pillars: i) Human Capital Development, Gender, Youth and People Empowerment; ii) Wealth Creation; iii) Institutional Development and Service Delivery; iv) Security and International Relations; v) Environmental Sustainability and Climate Change; vi) Spiritual, Cultural and Community Development; and vii) Strategic Planning, Integration and Control.

30. Under the fifth pillar “*Environmental Sustainability and Climate Change*”, 12 actions are described; a few of these actions can be seen as guidance for this project. They include: i) Assist the majority of Papua New Guineans to become resilient to natural and human disasters and environmental changes; ii) Develop mitigation, adaptation and resettlement measures in all impacted provinces by 2015; iii) Provide 100 percent of weather and natural disaster monitoring systems in all provinces; iv) Integrate environmental sustainability and climate change studies in primary, secondary and national high school curricula; and v) Establish an Institute of Environmental Sustainability and Climate Change.

31. The national *Development Strategic Plan (DSP) 2011-2030* operationalizes all pillars including the climate change and environmental sustainability pillar. The DSP and the *Medium Term Development Plan (MTDP) (2011-2015)* strives to make certain that the Nation “Adapts to the impacts of Climate Change and Contribute to the Global Efforts to Mitigate Green House Gases”. The Interim Action Plan on Climate Change (*see below*) incorporates these important national development plans and subsequently promotes a climate compatible development.

Disaster Risk Reduction and Disaster Management - National Framework for Action (2005-2015):

32. This framework – based on international best practices in disaster management - was developed in 2005 to outline proactive measures for disaster risk reduction in PNG. It provided a set of 6 guiding principles to reduce and manage disaster risks, including: i) governance, organizational, institutional, policy and decision-making frameworks; ii) effective, integrated and people-focused, early warning systems; iii) knowledge, information, public awareness and education; iv) planning for effective preparedness, response and recovery; v) analysis and evaluation of hazards, vulnerabilities and elements at risk; and vi) reduction of underlying risk factors. It also provided guidance for the National Disaster Center.

33. This framework, through its guiding principles, was to build capacity of PNG government and its communities by accelerating the implementation of disaster risk reduction and disaster management policies, planning and programmes to address current and emerging challenges through:

- Development and strengthening of disaster risk reduction and disaster management, including preparedness, response, relief and recovery systems;
- Integration of disaster risk reduction and disaster management into national sustainable development planning and decision-making processes at all levels; and
- Strengthening effective partnerships between all stakeholders in disaster risk reduction and disaster management.

National Disaster Mitigation Policy:

34. The National Disaster mitigation policy focuses on reducing disaster risk throughout the country through establishment of appropriate institutional and legislative mechanism and people centered early warning system. The policy provides a mechanism for shaping disaster mitigation and vulnerable reduction efforts as well as emergency response and reconstruction. Knowledge, public awareness and education to improve disaster awareness, planning for effective preparedness and recovery and identification of risks and

hazards are key elements of existing disaster management strategies and policies.

Interim Action Plan for Climate-Compatible Development (August 2010):

35. Faced with increasing climate change impacts in 2010, the NEC recognized that economic development must be combined with climate change mitigation and adaptation measures. It endorsed the main elements of a national CCDS in its Decision 55/2010 in March 2010, which were “translated” into the Interim Action Plan in June 2010. This Interim Action Plan was a practical step taken in 2010 to realize a 50% decrease in PNG’s emissions by 2030, which was set out in the “Vision 2050” document. It also reflected the integration of PNG’s climate-change objectives into its MTDP.

36. This Interim Action Plan includes five adaptation initiatives which were prioritized based on the highest benefits and to be implemented in the short to medium term. They include three initiatives to address coastal flooding focusing on warning and protecting flood-prone coastal communities: i) coastal early warning system; ii) community-based mangrove plantation; and iii) coastal engineering protection. They also include two initiatives to address inland flooding focusing on protecting inland communities most at risk from river flooding: i) inland early warning system; and ii) Lae flood protection. When reviewing this Interim Action Plan, it indicates how well the project was a response to national priorities.

National Climate Compatible Development Management Policy (August 2014):

37. This relatively new policy (2014) is to build a climate resilient and carbon neutral pathway for climate compatible development in PNG. It was developed to drive and stimulate climate-compatible development while addressing critical gaps such as i) the rapid increase in extreme weather events, rising sea levels, floods, landslides and malaria, and their knock-on social economic effects in recent years; ii) the increasing greenhouse gas (GHG) emissions from all economic sectors in particular the land-use, land-use change and forestry sector, despite the fact the country can reduce these emissions through more sustainable forestry and agricultural practices; iii) the significant challenges to human development and service delivery, especially in rural areas, where our rich cultural, biological and environmental resources are under threat as never before; and iv) the lack of effective dissemination and utilization of “clean” technology and “adaptive” standards; and poor coordination of climate-related policies, which hamper sustainable development.

38. This policy sets some principles and some policy themes to guide the responses to climate change at various levels of government and sectors. It also sets the roles and responsibilities of the government at the national and sub-national levels.

Office of OCCD:

39. The NEC approved the creation of the Office of Climate Change and Development (NEC Decision 54/2010). This Office, known as OCCD, is the coordinating entity for all climate change policy and the Designated National Authority under the UNFCCC. It replaced the Office of Climate Change and Environmental Sustainability. The mandate of the OCCD is derived from the NEC Decision, which specifies:

- That the NCCC and the OCCD as its secretariat take full and exclusive responsibility for all policies and actions under Pillar Five of the Vision 2050, concerning Climate Change and Environmental Sustainability;
- That the OCCD engages and involves all stakeholders to build a common vision and pathway on action to tackle climate change;
- That the OCCD works in close collaboration with and in support of other departments and agencies to achieve these goals.

40. It was tasked with five immediate activities:

- Formulate the climate change policy and legislation;
- Conduct a national and provincial consultation on climate-compatible development and REDD+;
- Launch immediate Fast Start Actions including ‘readiness activities’ for REDD+ and pilot projects for different approaches for mitigation, adaptation and low carbon growth;

- Prepare the final version of PNG's National CCDS
- Determine financing requirements of Fast Start Actions and scale up and establish an overall investment plan, which can form the basis for international negotiations of REDD+ support.

41. The OCCD is mandated to act as the Secretariat to the NCCC. It is composed of three divisions: REDD+ and Mitigation; Adaptation; and MRV and National Communication. The Adaptation Division is primarily responsible for the formulation of adaptation plans, policies, programs and projects. Furthermore, the division is responsible to identify and coordinate programs and projects that support the development of PNG specific adaptation solution that protect the country's assets and people against the risks of climate change. The division is also tasked with the identification and sourcing of funding for larger projects, coordinate the implementation of these projects in cooperation with other government or non-government implementing agencies and monitor the progress of all pilot programs.

42. OCCD also created three technical working groups; i) REDD+; ii) Low Carbon Growth; iii) Adaptation; and iv) Consultation. The Adaptation Technical Working Group is one of the four working groups. It meets monthly and is composed of different stakeholders from the Government of PNG, Development Partners, NGOs, Churches, and the private sector.

43. As the focal point for climate change in PNG, OCCD is the national executing agency for this project. The review indicates that the project is well aligned with OCCD mandate and its corporate plan, particularly with its Adaptation division. It is the proper partner to implement this project in PNG.

44. Regarding the inclusion of gender considerations in the design of the project, the review found that the project was to support gender participation and that women and youth were to be given a greater role in building community resilience to the climate hazards. The project was also to seek the institutionalization of gender sensitivity in disaster management to be in line with the implementation of MDGs, the 2005 Hyogo Framework for Action, the PNG Vision 2050, the Development Strategic Plan 2010-2030 and the Medium Term Development Plan 2011-2015.

45. Among the risks identified at the formulation stage, it was found that there was a risk with the adoption of best practices and adaptation measures what would not be gender sensitive – i.e. that they could increase inequity between men and women or change the social roles of men and women in a way that reduces self reliance. This risk was mitigated with the plan to conduct training on gender analysis for the project team and use guidelines during the selection of adaptation measures and identification of best practices. Finally, it was also recognized that gender considerations were relevant at the activity-level (for example adequate involvement of women in the decision making regarding community adaptation projects) and as such, gender considerations would be addressed by specific milestones that have been integrated into the project implementation schedule.

46. In conclusion, the design of this project is very relevant for PNG. It is a direct response to national priorities and needs. It supports the government to address flooding risks in both coastal and inland areas. It is part of the national priorities to adapt to climate change and it is executed by the national agency mandated by the government to tackle climate change. The design of the project was done in PNG with a good participation of stakeholders; it ensured that the project was a response to these national priorities and also it developed a good country ownership from the outset of this project. It is a well justified project. In the meantime, this project is also a pioneer in supporting the government to address flooding risks and as such, did not benefit much from other relevant projects in PNG. Limited information on coastal and inland flooding risks and vulnerability of communities living in these areas was available at the outset of the project. This was translated in the need for the project to conduct extensive vulnerability assessments of the targeted communities before any adaptation actions could be implemented.

4.1.2. Results Framework / Log-frame

47. The Strategic Results Framework identified during the design phase of this project presents a good set of expected results. No changes were made during the inception phase. The review of the objective and outcomes indicates a satisfactory and logical “*chain of results*” – Activities → Outcomes → Objective. Project resources have been used to implement planned activities to reach a set of expected outputs (11),

which would contribute in achieving a set of expected outcomes (4), which together should contribute to achieve the overall objective of the project. This framework also includes - for each outcome - a set of indicators and targets to be achieved at the end of the project and that are used to monitor the performance of the project. This Strategic Results Framework has been used as a “blueprint” on a day-to-day basis by the implementation team; it is used as an implementation guide.

48. As discussed in the previous section, the project has been addressing the risks linked with coastal and inland flooding in PNG. The aim of the project is to increase the ability of coastal and riverine communities in PNG to undertake concrete actions to adapt to climate change-driven hazards affecting their specific locations; including a strong focus on being able to make informed decisions about these risks and how to mitigate them. The review of this Strategic Results Framework indicates that this project is well aligned with national priorities and its logic is appropriate to address clear national needs.

49. The logic model of the project presented in the *Strategic Results Framework* is summarized in table 3 below. It includes one objective and four outcomes and eleven outputs. For each expected outcome, targets to be achieved at the end of the project were identified.

Table 3: Project Logic Model

Expected Results	Targets at End of Project
<p>Project Objective: To strengthen ability of coastal and riverine communities in Papua New Guinea to make informed decisions about and to undertake concrete actions to adapt to climate change-driven hazards affecting their specific locations.</p>	<ul style="list-style-type: none"> ● By the end of the project at least 8 coastal communities are protected through adaptation measures against coastal flooding scenarios, with attention to the special concerns of women as participants and beneficiaries. ● Eight (8) riverine communities are protected through adaptation measures against inland flooding, with attention to the special concerns of women as participants and beneficiaries ● At the end of the programme, adaptation to climate change is managed, monitored and planned at the provincial level in the targeted provinces and supported by a framework of policies and plans including disaster preparedness and response plans, coastal zone management plans
<p>Outcome 1 - Reduced exposure and increased adaptive capacity of coastal communities to flood-related risks and hazards in 8 communities and 3 cities of the 11 provinces of the North Coast and Islands Region:</p> <ul style="list-style-type: none"> ● Output 1.1: Coastal early warning systems established for observation, data collection and information management and dissemination in the North Coast and Islands Region ● Output 1.2: Coastal flood preparedness and response plan and systems established in the North Coast and Islands Region ● Output 1.3: Support system for community-led mangrove reforestation and conservation projects ● Output 1.4: Integrated coastal adaptation measures implemented to protect 8 communities in East Sepik Province, Oro Province and New Ireland Province 	<ul style="list-style-type: none"> ● By the end of the project, 8 communities are protected from coastal flooding through adaptation measures that were put in place in a community-led way with the agreements/compacts agreed on by communities to preserve the mangrove forests ● At least 6 tidal gauges and at least 6 AWS and 10 voluntary weather stations established at strategic locations, meet WMO standards and contribute to the monitoring and early warning system. ● One AWS will have been installed in each target 8 communities. ● At least four provinces will have a comprehensive disaster preparedness and response plans for coastal flooding in place and will have conducted dry run tests. ● For three provincial capitals of Lae, Madang and Wewak suitable coastal engineering measures for adaptation are identified and addressed through respective planning and funding. ● 33 community-led mangrove conservation and/or reforestation projects, covering about 100 hectares are supported through the support network and nurseries ● Eight (8) regional nurseries operate sustainably supplying the requirements of the target sites and replication areas ● Before the end of the project, sufficient resources are allocated by government for the continued operations of the nurseries beyond the life of the project.
<p>Outcome 2: Reduced exposure and increased adaptive capacity of targeted 8 river communities of</p>	<ul style="list-style-type: none"> ● By the end of the project, eight communities are protected from inland flooding through adaptation measures that were

Expected Results	Targets at End of Project
<p>the 4 provinces:</p> <ul style="list-style-type: none"> ● Output 2.1: Inland flooding early warning systems established for observation, data collection and information management and dissemination in the provinces of the North Coast and Islands Region ● Output 2.2: Inland flood preparedness and response plan and systems established in the North Coast provinces ● Output 2.3: Integrated riverbank protection measures implemented to protect 8 communities in East Sepik Province, Oro Province and Morobe and Madang Provinces 	<p>put in place in a community-led way.</p> <ul style="list-style-type: none"> ● At least 6 AWS and at least 20 voluntary weather stations established at strategic locations, meet WMO standards and contribute to the monitoring and early warning system. ● One AWS will have been installed in each target 8 communities. ● At least four provinces will have a comprehensive disaster preparedness and response plan for inland flooding in place and will have conducted dry run tests.
<p>Outcome 3: Strengthened institutional capacity at national and sub-national level to integrate climate change related risks into sectoral policies and management practices with focus on flooding:</p> <ul style="list-style-type: none"> ● Output 3.1: Output 3.1: Climate change related risks and resilience from coastal and inland flooding integrated into coastal zone management related polices, legal and planning frameworks at the national and sub-national levels ● Output 3.2: Policy makers and planners at the national, provincial and district offices, institutions and extension services systemically trained to implement climate-sensitive policies and plans 	<ul style="list-style-type: none"> ● At the end of the project, all major development plans in the targeted provinces reflect climate change and adaptation considerations and coastal zone management policies are developed for the most populated areas (especially Wewak, Kavieng, Madang, Lae) ● At the provincial level, there is a strong link between all climate change officers/focal points and the communities in their respective provinces and the officers are equipped with the resources and capacity to identify and manage adaptation needs in the province ● Increased (at least 20%) number of women participating in capacity building activities at national and subnational level
<p>Outcome 4: Strengthened awareness and ownership of adaptation and climate change-related risk reduction processes at national and sub-national level:</p> <ul style="list-style-type: none"> ● Output 4.1: Lessons learned and best practices generated, captured and distributed to other communities, civil society, policy makers in government and globally through appropriate mechanisms ● Output 4.2: Climate change awareness and education programmes carried out to build next generations' resilience to climate change 	<ul style="list-style-type: none"> ● 75 % of the risk-affected population is exposed to awareness raising activities and materials. ● The topics of climate change and adaptation are introduced in PNG's school curricula and university academic programmes and teachers are equipped with the required knowledge and material ● By the end of the project agreements on continuation of awareness raising and adaptation activities (especially replication) through contributions from Corporate Social Responsibility programmes and private sector participation are reached (including projects under infrastructure tax credit schemes) and make resources available for the community-led adaption in at least 10 further communities (estimated \$500,000)

50. It is a coherent model with clear targets that was developed to “*strengthen ability of coastal and riverine communities in Papua New Guinea to make informed decisions about and to undertake concrete actions to adapt to climate change-driven hazards affecting their specific locations*”. A more detailed list of outcomes and their indicative activities is presented in Annex 8.

51. However, the Evaluator also noted that the state of decentralization of governments in PNG and the functioning of these levels of government were not really taken into account in the project document, including in the project strategy. When considering the greater autonomy of provincial and local governments, the fact that transportation from one province to another is mostly done by plane, and that security measures need to be followed strictly to ensure security of project staff, the result is a complex context to implement a project of this nature in PNG that is costlier and more time consuming. The decision to work in 5 different provinces does not seem to have sufficiently taken this reality into account. More discussion on the effect of this context on the implementation of this project is presented in Chapter 4.3.

52. In conclusion the review of the project strategy and the national context for this project indicates that this strategy is a direct response to national priorities and needs. It contributes to the effort of the government to tackle climate change and is a logical implementation step within the climate change policy and action plan being implemented in PNG.




4.2. Progress Towards Results

53. This section discusses the assessment of project results; how effective the project is to deliver its expected results and what are the remaining barriers limiting the effectiveness of the project.

4.2.1. Progress Towards Outcomes Analysis

54. As presented in Sections 4.1, the project was implemented through four (4) outcomes. The implementation progress is measured through a set of 20 indicators and 21 targets. On the next page is a table listing key deliverables achieved so far by the project against each outcome and their corresponding targets. Additionally, a color “*traffic light system*” code was used to represent the level of progress achieved so far by the project, as well as a justification for the given rating (codes)³.

55. An important caveat to consider when reading these ratings is that they are based on the assumption that the project will be completed in October 2016. They do not take into consideration the recommendation for a one-year time extension, which should allow the project to catch up on the delivery of its activities. If the delivery continues at the current level the project should achieve (yellow code) more of its targets by October 2017.

	Target achieved
	On target to be achieved
	Not on target to be achieved

³ This analysis and ratings have been conducted with the assumption that the project will terminate in October 2016 as per its official ending date.

Table 4: List of Delivered Results

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
<p>Project Objective: To strengthen ability of coastal and riverine communities in Papua New Guinea to make informed decisions about and to undertake concrete actions to adapt to climate change-driven hazards affecting their specific locations.</p>	<ul style="list-style-type: none"> By the end of the project at least 8 coastal communities are protected through adaptation measures against coastal flooding scenarios, with attention to the special concerns of women as participants and beneficiaries. 	<ul style="list-style-type: none"> 4 coastal communities have been selected for the implementation of the coastal adaptation measures. Through a community based approach climate hazards, vulnerabilities and risks are being mapped in order to develop appropriate mitigation planning. The consultation process involves women and other vulnerable sections of the communities to ensure that their views are incorporated into the planning and decision making process. The PMU is working with World Vision International to identify and implement coastal risk reduction/adaptation measures in additional four communities. 	<p style="background-color: yellow;"></p>	<ul style="list-style-type: none"> With the expertise of several NGOs contracted by the project to conduct community-based adaptation awareness, planning and activities, this target should be met by the end of the project.
	<ul style="list-style-type: none"> Eight (8) riverine communities are protected through adaptation measures against inland flooding, with attention to the special concerns of women as participants and beneficiaries 	<ul style="list-style-type: none"> 14 riverine communities have been identified for the implementation of the river protection measures. Through a community based approach climate hazards, vulnerabilities and risks are being mapped in order to develop appropriate mitigation planning. The consultation process involves women and other vulnerable sections of the communities to ensure that their views are incorporated into the planning and decision making process. 		<p style="background-color: yellow;"></p>
	<ul style="list-style-type: none"> At the end of the programme, adaptation to climate change is managed, monitored and planned at the provincial level in the targeted provinces and supported by a framework of policies and plans including disaster preparedness and response plans, coastal zone management plans 	<ul style="list-style-type: none"> Completed a capacity assessment of OCCD, National Disaster Centre, National Weather Service and other key government agencies institutions and selected pilot provincial, district and local level governments on planning, formulation, management, implementation and monitoring and evaluation of climate change adaptation initiatives A detailed analysis of climate hazards was conducted for the five pilot provinces resulting in comprehensive hazard profiles with maps, identification of the most vulnerable areas in the 5 provinces and several recommendations to minimize impacts of Climate Change (CC). A detailed analysis of the climate hazards, vulnerabilities and risks is being undertaken for the five pilot provinces. The recommendations of the report will form an important component of all disaster risk management and climate change adaptation policies and plans (with budgets) in the Provinces. The assessment report will be available end of 	<p style="background-color: red;"></p>	

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
		2015.		
<p>Outcome 1 - Reduced exposure and increased adaptive capacity of coastal communities to flood-related risks and hazards in 8 communities and 3 cities of the 11 provinces of the North Coast and Islands Region</p> <ul style="list-style-type: none"> ● Output 1.1: Coastal early warning systems established for observation, data collection and information management and dissemination in the North Coast and Islands Region ● Output 1.2: Coastal flood preparedness and response plan and systems established in the North Coast and Islands Region ● Output 1.3: Support system for community-led mangrove reforestation and conservation projects ● Output 1.4: Integrated coastal adaptation measures implemented to protect 8 communities in East Sepik Province, Oro Province and New Ireland Province 	<ul style="list-style-type: none"> ● By the end of the project, 8 communities are protected from coastal flooding through adaptation measures that were put in place in a community-led way with the agreements/compacts agreed on by communities to preserve the mangrove forests 	<ul style="list-style-type: none"> ● 10 coastal communities are benefitting from various community-based climate change adaptation interventions. While in 4 coastal villages community based risk assessments are being conducted to inform adaptation and preparedness planning 6 coastal communities are covered under the mangrove conservation projects. Awareness raising on CCA/DRR issues is a vital component of the community work that is being conducted under the project. 		<ul style="list-style-type: none"> ● With the expertise of several NGOs contracted by the project to conduct community-based adaptation awareness, planning and activities, this target should be met by the end of the project.
	<ul style="list-style-type: none"> ● At least 6 tidal gauges and at least 6 AWS and 10 voluntary weather stations established at strategic locations, meet WMO standards and contribute to the monitoring and early warning system. ● One AWS will have been installed in each target 8 communities. 	<ul style="list-style-type: none"> ● There exist substantial gaps in flood early warning. In this context a study has been conducted to inform the design of a functional EWS for PNG. Based on analysis of resource requirements, protocols for forecasting, monitoring and dissemination of warning and various options for effective dissemination of early warnings. The assessment will inform the comprehensive design of the EWS system, including the details of the procurement of the hardware and software to set up an EWS system for inland and coastal flooding in PNG including in the pilot communities. 		<ul style="list-style-type: none"> ● Two extensive studies are underway: i) to assess the vulnerability of communities to climate risks and the related needs; and ii) to assess the status of EWS and emergency communication network for inland and coastal flooding and provide recommendations for improving such systems. ● A time extension is needed to establish a functional early warning system
	<ul style="list-style-type: none"> ● At least four provinces will have a comprehensive disaster preparedness and response plans for coastal flooding in place and will have conducted dry run tests. 	<ul style="list-style-type: none"> ● Procurement of consultant for the development of disaster preparedness and response plans for coastal flooding has been completed. Consultations for the preparations of the disaster preparedness and response plan to commence in October 2015 for East Sepik and New Ireland Provinces in consultations with key stakeholders and respective provincial disaster office. Disaster preparedness and response plans for additional two provinces will be completed in 2016. 		<ul style="list-style-type: none"> ● Opportunities were missed in the Morobe province that is currently finalizing its <i>Action Plan for DRM and CCA</i>. ● Very little “trace” at the provincial level on developing a comprehensive disaster preparedness and response plans for coastal flooding. ● Considering the timeline, sustainable results will only be achieved in this area with a time extension.
	<ul style="list-style-type: none"> ● For three provincial capitals of Lae, Madang and Wewak suitable coastal engineering measures for adaptation are identified and addressed through respective planning and 	<ul style="list-style-type: none"> ● This activity is yet to be implemented. Proposed next steps include: <ul style="list-style-type: none"> ○ Consultation with provinces (especially works department and other industries) for the relevance of this study in Madang, Wewak and Lae and revise 		<ul style="list-style-type: none"> ● Since no work has started in this area, need some adaptive management and possibly look into the implementation of already prioritized measures such as actions identified in the currently

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
	funding	<p>targets if necessary to 2 provinces (to be discussed at the Project Steering Committee Meeting).</p> <ul style="list-style-type: none"> ○ Review TORs of similar studies in PNG (through ADB/World Bank) and develop TORs ○ Conduct the assessment. 		almost-finalized-DRM Action Plan for Morobe.
	<ul style="list-style-type: none"> ● 33 community-led mangrove conservation and/or reforestation projects, covering about 100 hectares are supported through the support network and nurseries 	<ul style="list-style-type: none"> ● Training on rehabilitation/conservation of mangrove and development of nurseries has been initiated in Madang facilitated by WWF in 2014 that covers 6 communities. Mangrove programme in New Ireland (Djaul & New Handover) was recently initiated by ADRA in 4 communities that includes mangrove planting in 35 hectares. Proposals from NGOs are under consideration to scale up activities in other places covering 6 additional communities. 		<ul style="list-style-type: none"> ● Work contracted by WWF does not seem to proceed as planned. Work in this area conducted by ADRA proceed well. A review of the project approach for mangrove conservation is needed to produce any sustainable results.
	<ul style="list-style-type: none"> ● Eight (8) regional nurseries operate sustainably supplying the requirements of the target sites and replication areas 	<ul style="list-style-type: none"> ● A trainer's guidebook on community based mangrove conservation and rehabilitation has been developed, printed and disseminated widely among relevant stakeholders including community members and relevant government departments. 6000 mangrove seedlings have been collected and three mangrove nurseries have been built to raise the seedlings. 		<ul style="list-style-type: none"> ● Some work on mangrove is being carried out by WWF. More work in this area is expected to establish 8 sustainable regional nurseries.
	<ul style="list-style-type: none"> ● Before the end of the project, sufficient resources are allocated by government for the continued operations of the nurseries beyond the life of the project. 	<ul style="list-style-type: none"> ● Two NGOs namely World Conservation Society and MICAD have submitted proposals for mangrove conservation work in New Ireland Province and East Sepik Provinces submitted proposals for review. 		<ul style="list-style-type: none"> ● Any results to meet this target will only be achieved with a project extension and a strong focus on discussing/lobbying the government for budget allocation to these mangrove nurseries
<p>Outcome 2: Reduced exposure and increased adaptive capacity of targeted 8 river communities of the 4 provinces</p> <ul style="list-style-type: none"> ● Output 2.1: Inland flooding early warning systems established for observation, data collection and information 	<ul style="list-style-type: none"> ● By the end of the project, eight communities are protected from inland flooding through adaptation measures that were put in place in a community-led way 	<ul style="list-style-type: none"> ● 14 coastal communities have been selected for the implementation of the inland flooding adaptation measures. Through a community based approach climate hazards, vulnerabilities and risks are being mapped in order to develop appropriate mitigation planning. The consultation process involves women and other vulnerable sections of the communities to ensure that their views are incorporated into the planning and decision making process. 		<ul style="list-style-type: none"> ● Excellent work is being done by World Vision that is contracted by the project to work in riverine communities in 2 provinces. More similar work is needed.
	<ul style="list-style-type: none"> ● At least 6 AWS and at least 20 voluntary weather stations established at strategic 	<ul style="list-style-type: none"> ● An assessment of EWS systems at different level is currently underway. The assessment will provide specifications of EWS equipment to be procured and 		<ul style="list-style-type: none"> ● Any results to meet this target will only be achieved with a project extension.

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
<p>management and dissemination in the provinces of the North Coast and Islands Region</p> <ul style="list-style-type: none"> ● Output 2.2: Inland flood preparedness and response plan and systems established in the North Coast provinces ● Output 2.3: Integrated riverbank protection measures implemented to protect 8 communities in East Sepik Province, Oro Province and Morobe and Madang Provinces 	<p>locations, meet WMO standards and contribute to the monitoring and early warning system.</p> <ul style="list-style-type: none"> ● One AWS will have been installed in each target 8 communities ● At least four provinces will have a comprehensive disaster preparedness and response plan for inland flooding in place and will have conducted dry run tests. 	<p>installed at different locations. The EWS assessment kicked off with an inception workshop in order to consult with key stakeholders. The report will be ready at the end of this year.</p> <ul style="list-style-type: none"> ● Procurement of consultant for the development of disaster preparedness and response plan and standard operating procedures has been initiated. The development of the plans will commence in October 2015 for East Sepik and New Ireland Provinces in consultation with key stakeholders and respective provincial disaster management offices. 	<p style="background-color: red; color: black; text-align: center;">-</p>	<ul style="list-style-type: none"> ● Very little “trace” at the provincial level on developing a comprehensive disaster preparedness and response plans for inland flooding. ● Any results to meet this target will only be achieved with a project extension.
<p>Outcome 3: Strengthened institutional capacity at national and sub-national level to integrate climate change related risks into sectoral policies and management practices with focus on flooding:</p> <ul style="list-style-type: none"> ● Output 3.1: Output 3.1: Climate change related risks and resilience from coastal and inland flooding integrated into coastal zone management related policies, legal and planning frameworks at the national and sub-national levels 	<ul style="list-style-type: none"> ● At the end of the project, all major development plans in the targeted provinces reflect climate change and adaptation considerations and coastal zone management policies are developed for the most populated areas (especially Wewak, Kavieng, Madang, Lae) ● At the provincial level, there is a strong link between all climate change officers/focal points and the communities in their respective provinces and the officers are equipped with the resources and capacity to identify and manage adaptation needs in the province 	<ul style="list-style-type: none"> ● A detailed analysis of the climate hazards, vulnerabilities and risks is being undertaken for the five pilot provinces. The recommendations of the report will inform climate sensitive planning at provincial level and help develop appropriate strategies for climate change adaptation. 	<p style="background-color: red; color: black; text-align: center;">-</p>	<ul style="list-style-type: none"> ● Any results to meet this target will only be achieved with a project extension.
<ul style="list-style-type: none"> ● Output 3.2: Policy makers and planners at the national, provincial and district offices, 	<ul style="list-style-type: none"> ● Increased (at least 20%) number of women participating in capacity building activities at national and subnational level 	<ul style="list-style-type: none"> ● A capacity building assessment has been completed to inform a capacity development plan through series of trainings at different levels. A training plan has been developed to train stakeholders at different levels in climate risk management, climate sensitive planning and budgeting. 2 DRR & CCA refresher’s training courses were conducted to members of WDMCs in 5 target communities in June & July 2015 covering 50 participants half of which were women. ● 35 women were trained in mangrove nursery and planting in 2015 through community based mangrove planting initiatives. Awareness programmes conducted in schools and communities so far covered a 202 males and 166 	<p style="background-color: yellow; color: black; text-align: center;">+</p>	<ul style="list-style-type: none"> ● More efforts are needed to improve the link between all climate change officers/focal points and the communities ● Project activities have a good gender focus; resulting in a gender balanced participation of stakeholders / beneficiaries in project activities

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
institutions and extension services systemically trained to implement climate-sensitive policies and plans		females. A total 324 boys and 271 girls were reached through awareness raising programmes.		
<p>Outcome 4: Strengthened awareness and ownership of adaptation and climate change-related risk reduction processes at national and sub-national level</p> <ul style="list-style-type: none"> Output 4.1: Lessons learned and best practices generated, captured and distributed to other communities, civil society, policy makers in government and globally through appropriate mechanisms Output 4.2: Climate change awareness and education programmes carried out to build next generations' resilience to climate change 	<ul style="list-style-type: none"> 75 % of the risk-affected population is exposed to awareness raising activities and materials 	<ul style="list-style-type: none"> Under the mangrove conservation activities more than 2000 people were reached in 6 communities. Besides, approximately 5000 people in 20 communities in Morobe, New Ireland Province and Madang are reached through various awareness campaigns conducted by NGO partners. A 45 second El Nino preparedness TV infomercial was aired for two months that reached TV viewers throughout Papua New Guinea. 		<ul style="list-style-type: none"> Larger awareness programmes need to be developed and implemented, particularly in rural areas in the 5 provinces to reach the target.
	<ul style="list-style-type: none"> The topics of climate change and adaptation are introduced in PNG's school curricula and university academic programmes and teachers are equipped with the required knowledge and material 	<ul style="list-style-type: none"> Discussions are underway with the Department of Education and Institute of Public Administration to explore the possibilities of incorporating climate change adaptation and DRM into school curriculum and public service curriculum. FPCD developed a teaching guide on climate change adaptation for lower primary schools in PNG. A proposal from World Conservation Society for facilitating introduction of CCA into school curriculum in five provinces is currently being reviewed. 		<ul style="list-style-type: none"> Changing school curricula is a long process. Even with a project extension, time is running out to achieve any sustainable results against this target.
	<ul style="list-style-type: none"> By the end of the project agreements on continuation of awareness raising and adaptation activities (especially replication) through contributions from Corporate Social Responsibility programmes and private sector participation are reached (including projects under infrastructure tax credit schemes) and make resources available for the community-led adaption in at least 10 further communities (estimated \$500,000) 	<ul style="list-style-type: none"> Completed a communication strategy to support communication activities of the project and improve the general understanding of climate change in PNG within the context of the CCDS and the Interim Action Plan Department of Foreign Affairs and Trade (DFAT), Australian Government has contributed 500,000 USD to the project which will support community level climate vulnerability and risk assessment. Further to this possibilities of mobilizing additional resources through Corporate Social Responsibility (CSR) programmes is being explored. 		<ul style="list-style-type: none"> The project is not (yet?) in a position to raise additional funds from the private sector for replicating community-led adaptation measures.

Source: Adapted from progress reports (PPR) 2015 and notes from the evaluation mission to PNG

56. Overall the assessment of progress so far made by the project is very limited. Due to delays since the outset of this project – mostly management delays to establish an effective PMU with a full time PM – project activities were very slow to be implemented. One particular indicator speaks for itself; that is the level of project disbursements. With a project starting date in October 2012, the project expended only \$176,000⁴ during the first 15 months or less than 3% of the AF grant versus 31% of its timeline (15 months out of 48 months).

57. When considering the progress made so far it is obvious that by the planned end-date of the project (October 2016) limited results will be achieved. However, in the meantime, the Evaluator noted that since 2014, the implementation of the project has accelerated. It has been supporting several activities that translated into a significant increase in spending: \$704,000 in 2014 and so far almost \$1,300,000 in 2015 (to October 2015). Key activities include:

- A detailed analysis of climate hazards was conducted for the five pilot provinces resulting in comprehensive hazard profiles with maps, identification of the most vulnerable areas in the 5 provinces and several recommendations to minimize impacts of CC. There is a large amount of critical information for DRM and DRR in this report and it is recommended to “cut and paste” this information into five separate comprehensive hazard profiles (one per province).
- Under the ongoing analysis of climate vulnerabilities and risks undertaken in the five pilot provinces, 33 climate-risk hotspot communities have been identified in these provinces and community risk assessments are being completed in these communities. These assessments, which should be ready in the coming weeks, will provide the project and the government with critical information on what to do and where to address the most pressing needs to tackle impacts of climate change in these 5 provinces. Opportunities for concrete actions should come out of this exercise.
- Several grants have been given through agreements to few NGOs such as World Vision, WWF, ADRA, FPCD and WCS (under discussion). In the case of World Vision in Madang province, the grant is being used to strengthen 10 communities along the Ramu River. So far, awareness was increased in these communities through community awareness activities, and 6 Ward Disaster Management Plans have been updated including the addition of preparedness and response plans for inland flooding. These plans include community-based hazards risk maps. These activities have been reached 475 households including over 1,400 men and over 1,200 women and 1 school. In the case of FPCD, awareness activities have been conducted in about 20 communities in the Middle Ramu and Upper Ramu River Catchment in the Madang Province, reaching over 26,000 people.

58. However, as of the time of this evaluation, the project completed its first 3 years and assessments and consultations are still being conducted. It includes an ongoing consulting assignment to strengthen the capacity of provincial stakeholders in disaster preparedness and response planning and systems in East Sepik and New Ireland Province. It is anticipated that this assignment be concluded with disaster preparedness and response plans for these 2 provinces in a 4-month time period. Despite the need for the project to produce results, it is doubtful that these plans can be completed at the end of this assignment (4 months), particularly if it is envisaged that provincial stakeholders “own” these plans. Any planning process takes longer than 4 months when done with a good participation of stakeholders.

59. Other major ongoing assessments include 2 studies: “*Climate Risk, Vulnerability and Needs Assessment in East Sepik, Madang, Morobe, Northern and New Ireland Province in PNG*”, and “*Assessment of Early Warning System for Inland and Coastal Flooding in East Sepik, Madang, Morobe, Northern and New Ireland Province in PNG*”. These 2 assessments were the object of requests for proposals and a European firm was selected to conduct both studies representing a total amount of over \$1.3M of which \$500k are funded by DFAT from Australia. These 2 studies will certainly provide large amount of information combined with recommendations for the way forward to implement early warning system(s) at the provincial and local level. It is not clear at this stage what will be the results of these studies; given that the main value of these studies will be in the implementation of the recommendations of these studies. However, time is running out for the project to fully implement sustainable early warning

4 As per UNDP-CDRs

systems in PNG.

60. In conclusion, the review conducted for this evaluation indicates that the progress of the project at this point in time is moderately unsatisfactory. Without any time extension, the review found that many project targets won't be achieved. However, it was also noted that the delivery of project activities have accelerated, and with a time extension, the delivery should be translated into better developmental results and contribute to "*strengthen the ability of coastal and riverine communities in Papua New Guinea to make informed decisions about and to undertake concrete actions to adapt to climate change-driven hazards affecting their specific locations*". It is strongly recommended that the project team limits any further assessments and studies and focuses on the implementation of concrete actions to address impacts of coastal and riverine flooding in the 5 provinces, including planning activities, flooding risk preparedness but also flooding mitigation activities.

4.2.2. Remaining Barriers to Achieve the Project Objective

61. As discussed in the previous section, the implementation of the project has accelerated significantly since 2014. The timing also corresponds to the presence of a PM since 2014. However, a first PM was hired in October 2013 but resigned from her position in October 2014 after only one year. In order to help the implementation, a UNDP Officer has been appointed to the project on a part time basis since July 2014. This Officer became the Interim PM after the departure of the PM in October 2014. It certainly helped the implementation of the project to move forward but considering the task at hand, a full time PM is required for the remaining period of the project. Having a full time PM to implement this project has been the main barrier for the implementation of project activities. Discussion with UNDP during this review indicates that this Officer will be, possibly, appointed full time on this project as of January 2016.

62. Related to the above barrier is the fact that the PMU has also been through different phases and, at the time of this evaluation, there is still no PMU operational based at OCCD as planned at the outset of the project. Additionally, the implementation of the project was also adversely affected by the one-year suspension of the Director of the Adaptation Division at OCCD – who has also been the NPM. During the initial phase of the project, some funds were expended for the purchase of some office equipment for a PMU at OCCD. In the meantime, OCCD – due to limited budget – was not able to provide electricity and internet access to the PMU. As a result, the PMU was moved to the UNDP office where it still is currently, when empty desks are waiting at OCCD. The current set up is not conducive to engage and work with government entities and other stakeholders. It is recommended to UNDP and OCCD to address this issue and appoint/hire a full time PM and settle the PMU at the OCCD office for the remaining period of the project.

63. The current implementation approach of the project is too "piecemeal" and lack a clear shared vision about what the project is trying to accomplish. As discussed in section 4.1, a strategy exists with specific targets identified during the design phase of the project. However, since the inception of the project, no clear shared vision has been developed among project stakeholders with concrete targets to be accomplished. Interviews conducted during this evaluation revealed that a very few people have a decent knowledge about the project and its strategy. At the (5) provincial level there is no clear strategy perceived by provincial stakeholders on what the project is trying to achieve and even less thoughts on the kind of sustained results that are anticipated to be achieved by the end of the project. For instance, NGO grantees are conducting awareness activities in some communities, including the development of excellent community-based DRM plans. However, numerous questions remain on how these plans will be sustained and implemented and more importantly how these plans will be replicated in other communities in PNG. In order to develop a more common vision on the project, it is recommended to increase communication at the provincial and local levels through various media such as flyers, bulletins, emails and other traditional communication means and also to increase the presence of the project at these levels with a more participative approach in project decision making through more project stakeholder meetings.

4.3. Project Implementation and Adaptive Management

64. This section discusses the assessment of how the project has been implemented. It assessed how efficient the management of the project was and how conducive it was to contribute to a successful project.

4.3.1. Management Arrangements

65. A summary of the management arrangements planned at the onset of the project are presented below:

- A *Project Steering Committee (PSC)* consisting of high level representatives from OCCD, UNDP and other key Stakeholders is co-chaired by the Executive Director of OCCD and the Resident Representative of UNDP in PNG or their delegates. Other PSC members include representatives from the National Disaster Centre, Department of Environment and Conservation, Department of Land and Physical Planning, Department of National Planning and Monitoring, and the Department of Provincial and Local Level Government, as well as representatives from NGOs & CSOs. The PMU assumes the function of secretariat. The Provincial Administrators or their delegates from the 5 provinces are also members of the PSC.
- A *National Project Management Unit (PMU)* consisting of a National Programme Director (NPD), a National Programme Manager (NPM), a Programme Administrative and Finance Assistant, a Programme Associate, and Technical Specialists. The current NPD is the Director of the Adaptation & Projects Division at OCCD.
- *Provincial Climate Change Committees (PCCC)* were to be established at the provincial level and chaired by the Provincial Administrator to coordinate project-supported activities at this level but also at the local government and community level. The role of the PCCC was to oversee the processes of integrating and coordinating climate change-related activities, to monitor progress of the AF project and to ensure the necessary cooperation within and among agencies and communities. In addition, the Provincial Administrator shall appoint a focal point who would act as Provincial Coordinator in support of the National PMU.
- *Role of UNDP* is to provide project oversight (both financial and technical). However, based on the National Implementation Modality (NIM) with UNDP-CO support modality, based on the request from the Government of PNG, UNDP is also providing technical and operational services including – covering identification, sourcing and screening of ideas; feasibility assessment/due diligence review; development and preparation; implementation and reporting.
- *Role of OCCD* has been to be the institutional entity entrusted with and fully accountable to UNDP in managing and delivering project outputs, following the norms and procedures detailed in the UNDP NIM manual for programme execution. It is responsible for the preparation and implementation of project work plans and annual audit plans; preparation and operation of project budgets and budget revisions; disbursement and administration of funds; recruitment of national and international consultants and project personnel; financial and progress reporting; and monitoring and evaluation. However, UNDP retains ultimate accountability for the the project to the donor, the Adaptation Fund, as the Multilateral Implementing Agency.

66. The implementation modality of the project to allocate, administer and report on project resources is the “*UNDP Country Office Support to NIM*” approach; that is project activities are carried out by the Project Team in partnership with OCCD and reporting to UNDP as per the guidelines. Overall, roles and responsibilities were clearly identified and accepted, including the need to follow administrative procedures from UNDP and the Government of PNG. The review indicates that the management arrangements as planned at the outset of the project were adequate for the implementation of the project but the management issues have not been addressed efficiently since the outset of the project.

67. The PSC met four times since the inception of the project: July 27, 2012, March 13-14, 2013, December 5, 2013 and recently in November 2015. The review of the minutes indicates an adequate process of reviewing annual work plans and progress made. However, it was noted that no management issues were documented in these minutes besides a few points on budget matters and the impact of the rise of the PNG currency on the project budget. It may also be due to the fact that 3 PSC meetings happened during the first period of the project with no PM in place. The first PM was hired in October 2013, 2 months prior to the third PSC meeting. The fourth meeting (November 2015) was held in Kavieng, New Ireland the week following the mission of the Evaluator in PNG. So, despite an existing body to provide

strategic directions and guidance to the project, it does not seem to have been very effective in identifying the PMU/PM issue and addressing it. Nevertheless, the committee still exists and it should be viewed as a key mechanism to guide the remaining period of the project.

68. The anticipated management structure to implement the project included also the setting up of *Provincial Climate Change Committees* in the 5 provinces. These committees were tasked with the coordination of project-supported activities at the provincial level but also at the local government and community level. However, this coordination mechanism is not working effectively and as discussed in section 4.2.2 above, there is no clear strategy perceived by provincial stakeholders on what the project is trying to achieve, including the kind of sustained results that are anticipated to be achieved by the end of the project. As a result, the review found that at the provincial level, the implementation is too “piecemeal”. In addition to more communications needed at this level and at the local government and community levels, there is also a need to revive and support these provincial committees during the remaining part of the project. The project needs to increase the participation of provincial stakeholders in order to develop a greater ownership of project-supported activities that are mostly implemented at the provincial, local government and community levels.

69. Finally, considering the need to increase the participation of stakeholders and the national ownership of the project, it is recommended to create an executive committee consisting mostly of one representative from UNDP, OCCD, and the PM to regularly monitor the implementation of the project, decide the allocation of project resources and address any management issues faced by the PMU to implement project activities. This small executive committee would provide a management approach to use adaptive management where and when needed and will report to each PSC meetings.

4.3.2. Stakeholder Engagement

70. Shortly after the OCCD was established in 2010, nation-wide consultations took place with the aim to comprehensively obtain and assess input from local, provincial and national stakeholders with regards to climate change, its impacts, adaptation and mitigation. These consultations focused on specific topics such as mangrove conservation or locally focused such as assessing issues around climate change impacts, perceptions and behavior patterns in a specific geographical area. These consultations provided a significant level of insight during the development of this project. In particular, provincial consultations contributed vital information with regards to the needs and gaps that need to be addressed through interventions at the provincial and local levels.

71. Following these national wide consultations supported by OCCD, two more project specific consultations were conducted mid-June 2011: one coastal consultation in East Sepik Province and one island province consultation in New Ireland Province.

72. The project document includes a summary on the consultative process that occurred during the formulation of this project with a list of stakeholders consulted. As mentioned in the project document, the process to develop this project benefited from the strong institutional ties with OCCD as the coordinating body for climate change related issues and its reach that encompasses local, provincial and national level institutions including policy-making bodies and key decision makers.

73. The OCCD is the lead coordinating institution in the area of climate change and as such has strong cross-sectoral mechanisms. The OCCD reports directly to the Prime Minister through the NCCC. Through these strong links, the OCCD can draw on support of the line agencies and departments represented in the NCCC. The NCCC is comprised of 11 secretaries from different government departments, including the executive director of the OCCD and is chaired by the Chief Secretary, PNG’s highest ranking civil servant. The NCCC meets every month and is mandated to oversee all policies and actions under Pillar Five of the Vision 2050, concerning Climate Change and Environmental Sustainability.

74. Finally, the proposal for this project was also reviewed by the Adaptation Technical Working Group (ATWG), which met regularly to review the process and ensure that the project would respond to national priorities. This working group includes the OCCD Director for Adaptation and key partners such as Development partners, government agencies (National Weather Service, Department of Mineral Policy and

Geo-hazard Management, Office of Urbanization, Department of National Planning and Monitoring, Treasury Department, Office of Climate Change and Development, Forest Authority, National Maritime Safety Authority, and National Disaster Center), NGOs (WWF, Conservation International, University of PNG, The Nature Conservancy, Wildlife Conservation Society), and the Private sector (Digicel). Then, it was anticipated that the ATWG would be regularly updated on the progress of the project's implementation through the PSC and the PM.

75. The review indicates that, since the setting up of OCCD in 2010, there was a strong consultation and engagement of stakeholders in addressing climate change risks and identifying solutions to adapt. This process led to a good consultation process to formulate this project and ensure that the project responds to national priorities (*see also Section 4.1*). However, when reviewing these consultations that took place before the start of this project and the level of stakeholder engagement today, there seem to be a major difference in the level of interest to participate in project activities. As discussed in Section 4.1, the project was and still is very relevant for PNG, however, the various interviews conducted during this evaluation indicate a low level of stakeholder awareness about the project, its objective and its achievements; as discussed in section 4.2.2, very few people have a vision about the project objective. It is recommended to increase the engagement of provincial and local government stakeholders through the revival of provincial climate change committees and also increase the communications on project achievements to stakeholders and beneficiaries.

4.3.3. Work Planning

76. Annual Work Plans (AWPs) were produced every year from 2012. These AWP were developed following UNDP project management guidelines. Once finalized, these AWP were approved by OCCD and UNDP and endorsed by the PSC. These AWP are well detailed providing annual work plans to implement the project. There are organized by expected outcome and under each outcome, planned activities for the period area listed with the corresponding timeframes and budgets.

77. However, as presented in the table below, when comparing the budgeted annual work plans with the actual annual disbursements, there are major discrepancies.

Table 5: Annual Work Plans versus Actual Expenditures (AF grant)

Years	Budgets	Actual Expenditures	% Spent
2012	413,530	53,173	13%
2013	2,063,677	122,445	6%
2014	3,508,723	703,665	20%
2015 ⁵	2,301,109	1,278,094	56%

Sources: Project AWP.

78. The numbers presented in the table above reveal that during the first 3 years of implementation, work planning was not very efficient; only between 6 to 20% of the budgeted amounts were actually disbursed. However, this situation seems to have improved in 2015 whereby the current expenditures (up to end of October 2015) represent already 56% of the annual budgeted amount and it is expected to rise further before the end of 2015 with payments due for hard commitments made during the year.

79. As discussed in the next section 4.3.4, it is recommended to extend the project by another year. Considering the disbursement profile of this project, there should be sufficient remaining budget for carrying activities to October 2017. If we take as a benchmark the monthly burning rate of 2015 of \$127,800 and the remaining AF budget as of the end of October 2015 of \$3,861,400 the project would need another 30 months to deplete the AF grant, which would be February 2018. Therefore, with prudent

⁵ Project Expenditures for 2015 are **only** until end of October 2015.

planning, the project has sufficient funds to be extended to October 2017.

4.3.4. Finance and Co-finance

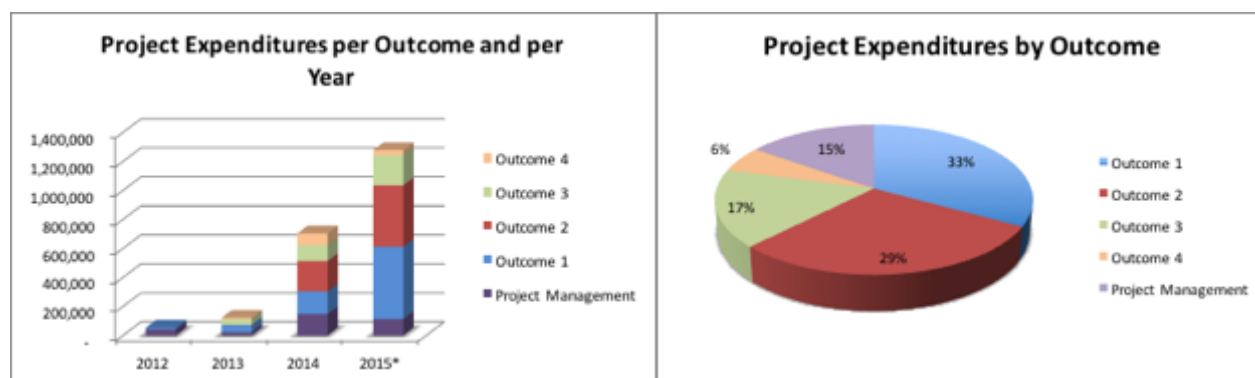
80. As discuss in Section 4.3.1, the implementation modality of the project to allocate, administer and report on project resources is the *UNDP Country Office Support to NIM* approach; that is project activities have been carried out by the Project Team led by the OCCD Adaptation Unit.

81. At the time of this evaluation, the review of financial records as recorded in the UNDP Atlas system indicates that the actual expenditures allocated against the AF grant for the years 2012 to October 2015 represent about 36% of the approved budget of \$6,018,777 versus an elapsed time of 77% (37 months out of 48). The breakdown of project expenditures by outcome and by year is presented in the table below.

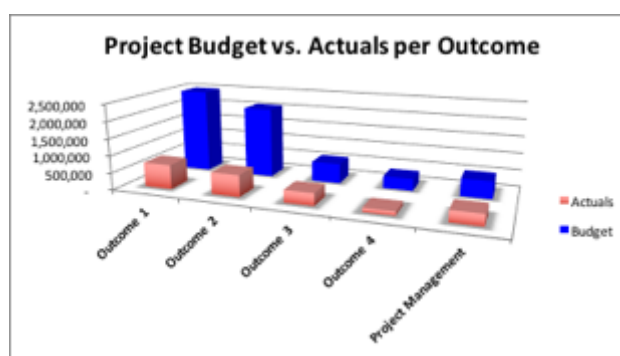
Table 6: UNDP-AF Funds Disbursement Status (in USD)

Component	Budget	2012	2013	2014	2015	Total	Total/ Budget
Outcome 1	2,487,250	9,963	49,124	155,422	498,091	712,601	28.7%
Outcome 2	2,076,500		955	209,114	424,044	634,113	30.5%
Outcome 3	584,500		40,116	112,516	209,211	361,843	61.9%
Outcome 4	353,500		9,124	78,255	32,882	120,261	34.0%
Project Management	517,027	43,210	23,125	148,358	113,866	328,560	63.5%
TOTAL	6,018,777	53,173	122,445	703,665	1,278,094	2,157,377	35.8%

Sources: UNDP Atlas Financial Reports (Combined Delivery Reports to October 2015 (CDRs)) and information collected from the Project Team.



82. As discussed in section 4.2.1, these financial figures show very slow disbursements during the first 15 months of implementation. With a project starting date in October 2012, the project expended only \$176,000 during these first 15 months or less than 3% of the AF grant versus 31% of its timeline (15 months out of 48 months). Despite a significant increase in expending the project budget since 2014, the overall financial picture reveals that less than 36% of the budget has been expended so far (*see left diagram above*) versus an elapsed time of 77%.



83. The diagram above also shows that so far proportionally unequal amounts have been expended among project outcomes. About 30% of the budgets have been spent for outcome 1, 2 and 4 (*increase adaptive capacity of coastal communities, increase capacity of river communities and strengthening*

awareness); however, 62% and 64% of the budgets has been expended for respectively outcome 3 (*strengthening institutional capacity*) and project management. The latter (project management) represents 15% of the expenditures expended so far.

84. During the review of the financial data of the project it was also noted that in addition to the current expenditures, there are currently large hard commitments made (contracted) that should be translated in actual expenditures in the months to come. They include 2 contracts to a European firm to conduct 2 studies to conduct vulnerability assessments in the 5 provinces as well as assessments of early warning systems in these provinces for a total value of over \$1,300,000 of which over \$800,000 will be paid from the AF budget; the rest will be funded by a grant from DFAT, Australia.

85. As of the end of October 2015, there is a remaining budget of 3,861,400 representing about 64% of the AF grant. If we consider the original timeline with end of September 2016 as the closing date for the project, the assessment indicates that this remaining budget will not be expended during the remaining period of 11 months. Taking as a benchmark the disbursement of the first 10 months of 2015, the project would need 30 months to expend the remaining budget. Considering the overall progress of the project, particularly the fact that October 2016 appears too early for the project to end while ensuring sustainable achievements and the remaining budget, it is recommended to extend the project by another year to end of September 2017.

86. Finally, considering the already high level of project management costs, it is expected that this percentage will even go higher by the end of the project. Managing development projects in PNG is complex. Any initiatives to change existing processes are complex and necessitate the involvement and engagement of all this levels of government before any change can be sustained at the community level. Added the fact that most provinces are only connected with the capital through flying and that the cost of lodging is very high, the result is a higher cost of administering and managing these projects when compare to other similar country. A participative and inclusive PSC meeting assembling a large representation of project stakeholders and organized in a province may cost up to \$50,000. Nevertheless, it is the view of the Evaluator that this is the “*cost of doing business in PNG*” and emphasizing participation and stakeholder inclusiveness are key for the long term sustainability of project achievements. In the meantime, UNDP systems provide financial controls to ensure that project expenditures are expended properly.

Co-financing

87. The co-financing commitments at the outset of the project totaled the amount of USD 320,000 (*see table below*), which represented about 5% of the total budgeted amount in the project document of USD 6,338,777 (AF grant + co-financing). Co-financing commitments included an estimated \$220,000 of in-kind contribution by the government and a cash contribution of \$100,000 by UNDP as the implementing agency.

Table 7: Co-financing Status

Partner	Type	Commitments (USD)	Actuals (USD)
National Government	In-kind	220,000	?
UNDP	Cash	100,000	57,553
DFAT Australia	Cash	500,000	0
Total (USD)		820,000	

Source: Project Document and UNDP CDRs to October 2015

88. Information from the UNDP “*Combined Delivery Reports (CDRs)*” indicates that so far UNDP has contributed an amount of \$57,553 as co-financing to this project. No reporting has been made on the in-kind contribution from the government. However, despite limited reporting on these co-financing commitments throughout the project, the Evaluator confirmed that the government – though mostly OCCD – and UNDP have definitely contributed some resources to the implementation of this project.

89. As indicated above, a grant of \$500,000 from DFAT-Australia was obtained to co-finance 2 studies

to conduct vulnerability assessments in the 5 provinces as well as assessments of early warning systems in these provinces. The total value of 2 contracts to a European firm is about \$1,300,000 of which \$500,00 will be financed by DFAT and the rest \$800,000 will be financed from the AF budget. The contracts are signed and disbursements should start soon.

4.3.5. Project-level Monitoring and Evaluation Systems

90. A comprehensive M&E plan was developed during the formulation of the project in accordance with standard UNDP and AF procedures, including the UNDP monitoring and evaluation practices for NIM projects. An M&E budget of USD 83,000 was allocated representing only about 1.4% of the AF grant.

91. This plan listed monitoring and evaluation activities that were to be implemented during the lifetime of the project, including a mid-term evaluation and a terminal evaluation. For each M&E activity, the responsible party(ies) was/were identified, as well as a budget and schedule. The plan was based on the logical framework matrix that included a set of performance monitoring indicators along with their corresponding means of verification.

92. The M&E plan was reviewed during the inception phase and no change was made to the plan; it was endorsed as is. A summary of the operating modalities of the M&E plan are as follows:

- Performance indicators: A set of indicators with their baselines and yearly targets were identified and documented in the *Strategic Results Framework*.
- Inception workshop: It was conducted from July 25 to 27 of 2012 with the participation of 60 participants from the government sectoral agencies, research and academic institutions, private sectors, donor agencies and civil society organizations that directly or indirectly deal with climate change issues. This workshop was an opportunity to summarize the inception phase conducted since the outset of the project, detailing the project objective to all stakeholders, reviewing the overall project strategy, management arrangements, monitoring indicators, risks, etc. and reviewing the project work plan and budget. A project inception report summarizing the inception workshop was drafted and concluded the inception phase.
- Quarterly Assessments: Quality assessments should record progress towards the completion of key results, based on quality criteria and methods captured in the Strategic Results Framework. Quarterly reports are regularly produced since 2014.
- Issue Log: It was planned to log all project risks in the UNDP Atlas system and this log to be updated by the Programme Manager annually to facilitate tracking and response of potential problems or requests for change.
- Project Progress Report (PPR): These annual progress reports are submitted by the Project Manager to the PSC, using the UNDP standards for project progress reporting, including a summary of results achieved against pre-defined annual targets at the output level.
- Results Tracker: This tool is to track results achieved by projects funded by the AF. It is to be updated annually and submitted as part of the annual PPR. It is a report documenting results achieved against the AF objectives, outcomes and outcome indicators. As of 2015, a new template and new guidance was provided to all AF funded projects.
- Annual Project Review: Based on the annual PPR, an annual project review was to be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. The national review should be driven by the PSC and may involve other stakeholders as required. It should focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcome(s).
- Project Lesson Learned Log: It should be maintained and updated throughout the lifetime of the project to ensure on-going learning and adaptation and to facilitate the preparation of the lessons learned report at the end of the programme.
- External mid-term and final project evaluations: A mid-term evaluation is underway; a terminal evaluation is planned following UNDP practice and evaluation guidelines.
- Audits: Audits will be conducted in accordance with UNDP Financial Regulations and Rules and applicable audit policies on UNDP projects by a legally recognized auditor of the Government, or by a commercial auditor engaged by the Government. It was noted that no

audits of the project financial records have been conducted so far.

93. The Evaluator noted that no particular change was made to the project strategy during the inception phase. However, it was recommended that OCCD conduct provincial level inception meetings to clarify the project management arrangements between national and provincial level within the pilot communities and also clarify the overall implementation strategy of the project. Also, the inception report concluded “*that a formal project governance mechanism with clear roles and responsibilities including a project management unit be established immediately following the inception workshop. This is a critical first step to coordinate and ensure that the project is implemented within the scheduled timeframe*”.

94. The set of indicators presented in the *Strategic Results Framework* was reviewed during this evaluation. It includes a set of 21 indicators – each one with a target by the end of the project - to monitor the performance of the project at the objective and outcome level. The list of indicators and targets is presented in the table below:

Table 8: List of Performance Indicators

Project Outcomes	Indicators	Targets
Objective - To strengthen ability of coastal and riverine communities in Papua New Guinea to make informed decisions about and to undertake concrete actions to adapt to climate change-driven hazards affecting their specific locations.	1. Number of risk-exposed coastal communities protected through adaptation measures	• By the end of the project at least 8 coastal communities are protected through adaptation measures against coastal flooding scenarios, with attention to the special concerns of women as participants and beneficiaries.
	2. Number of risk-exposed riverine communities protected through adaptation measures	• Eight (8) riverine communities are protected through adaptation measures against inland flooding, with attention to the special concerns of women as participants and beneficiaries
	3. Number of provinces with improved climate-related planning and policy frameworks to increase resilience	• At the end of the programme, adaptation to climate change is managed, monitored and planned at the provincial level in the targeted provinces and supported by a framework of policies and plans including disaster preparedness and response plans, coastal zone management plans
Outcome 1 - Reduced exposure and increased adaptive capacity of coastal communities to flood-related risks and hazards in 8 communities and 3 cities of the 11 provinces of the North Coast and Islands Region • Output 1.1: Coastal early warning systems established for observation, data collection and information management and dissemination in the North Coast and Islands Region • Output 1.2: Coastal flood preparedness and response plan and systems established in the North Coast and Islands Region • Output 1.3: Support system for community-led mangrove reforestation and conservation projects • Output 1.4: Integrated coastal adaptation measures implemented to protect 8 communities in East Sepik Province, Oro Province and New Ireland Province	4. Number of communities benefitting from improved protection from coastal floods	• By the end of the project, 8 communities are protected from coastal flooding through adaptation measures that were put in place in a community-led way with the agreements/compacts agreed on by communities to preserve the mangrove forests
	5. Number of AWS and voluntary weather stations in operation	• At least 6 tidal gauges and at least 6 AWS and 10 voluntary weather stations established at strategic locations, meet WMO standards and contribute to the monitoring and early warning system
	6. Number of communities covered by the improved coastal warning system and weather information	• One AWS will have been installed in each target 8 communities.
	7. Number of provinces with comprehensive disaster preparedness and response plans for coastal flooding in place	• At least four provinces will have a comprehensive disaster preparedness and response plans for coastal flooding in place and will have conducted dry run tests.
	8. Number of provincial capitals with assessed engineering measures for adaptation	• For three provincial capitals of Lae, Madang and Wewak suitable coastal engineering measures for adaptation are identified and

Project Outcomes	Indicators	Targets
		addressed through respective planning and funding
	9. Number of community-led mangrove projects benefitting from support system for mangrove projects	<ul style="list-style-type: none"> 33 community-led mangrove conservation and/or reforestation projects, covering about 100 hectares are supported through the support network and nurseries
	10. Number of mangrove nurseries established and sustainably operating	<ul style="list-style-type: none"> Eight (8) regional nurseries operate sustainably supplying the requirements of the target sites and replication areas
	11. Resources allocated for continued operations of the nurseries	<ul style="list-style-type: none"> Before the end of the project, sufficient resources are allocated by government for the continued operations of the nurseries beyond the life of the project.
<p>Outcome 2: Reduced exposure and increased adaptive capacity of targeted 8 river communities of the 4 provinces</p> <ul style="list-style-type: none"> Output 2.1: Inland flooding early warning systems established for observation, data collection and information management and dissemination in the provinces of the North Coast and Islands Region Output 2.2: Inland flood preparedness and response plan and systems established in the North Coast provinces Output 2.3: Integrated riverbank protection measures implemented to protect 8 communities in East Sepik Province, Oro Province and Morobe and Madang Provinces 	12. Number of communities benefitting from improved protection from inland flooding	<ul style="list-style-type: none"> By the end of the project, eight communities are protected from inland flooding through adaptation measures that were put in place in a community-led way
	13. Number of communities covered by the improved warning system and weather information	<ul style="list-style-type: none"> At least 6 AWS and at least 20 voluntary weather stations established at strategic locations, meet WMO standards and contribute to the monitoring and early warning system
	14. Number of AWS and voluntary weather stations in operation	<ul style="list-style-type: none"> One AWS will have been installed in each target 8 communities
	15. Number of provinces with comprehensive disaster preparedness and response plan for inland flooding	<ul style="list-style-type: none"> At least four provinces will have a comprehensive disaster preparedness and response plan for inland flooding in place and will have conducted dry run tests
<p>Outcome 3: Strengthened institutional capacity at national and sub-national level to integrate climate change related risks into sectoral policies and management practices with focus on flooding:</p> <ul style="list-style-type: none"> Output 3.1: Output 3.1: Climate change related risks and resilience from coastal and inland flooding integrated into coastal zone management related policies, legal and planning frameworks at the national and sub-national levels Output 3.2: Policy makers and planners at the national, provincial and district offices, institutions and extension services systemically trained to implement climate-sensitive policies and plans 	16. Number of national and provincial level policies, strategies, plans and coordinating mechanisms reviewed and incorporating resilience to climate change	<ul style="list-style-type: none"> At the end of the project, all major development plans in the targeted provinces reflect climate change and adaptation considerations and coastal zone management policies are developed for the most populated areas (especially Wewak, Kavieng, Madang, Lae)
	17. Number of provincial and national-level officers trained in climate adaptation planning and implementation	<ul style="list-style-type: none"> At the provincial level, there is a strong link between all climate change officers/focal points and the communities in their respective provinces and the officers are equipped with the resources and capacity to identify and manage adaptation needs in the province
	18. Participation of women in project activities	<ul style="list-style-type: none"> Increased (at least 20%) number of women participating in capacity building activities at national and subnational level
<p>Outcome 4: Strengthened awareness and ownership of adaptation and climate change-related risk reduction processes at national and sub-national level</p> <ul style="list-style-type: none"> Output 4.1: Lessons learned and best practices generated, captured and distributed to other communities, civil society, policy 	19. % of the risk-affected population exposed to awareness raising activities and materials	<ul style="list-style-type: none"> 75 % of the risk-affected population is exposed to awareness raising activities and materials
	20. Integration of climate change into the national school curricula and university academic programmes	<ul style="list-style-type: none"> The topics of climate change and adaptation are introduced in PNG's school curricula and university academic programmes and teachers are equipped with the required knowledge and material

Project Outcomes	Indicators	Targets
<p>makers in government and globally through appropriate mechanisms</p> <ul style="list-style-type: none"> • Output 4.2: Climate change awareness and education programmes carried out to build next generations' resilience to climate change 	<p>21. Amount of funding mobilized via CSR and sponsorship agreements</p>	<ul style="list-style-type: none"> • By the end of the project agreements on continuation of awareness raising and adaptation activities (especially replication) through contributions from Corporate Social Responsibility programmes and private sector participation are reached (including projects under infrastructure tax credit schemes) and make resources available for the community-led adaption in at least 10 further communities (estimated \$500,000)

Source: Project Document and PIRs

95. This set of 21 key indicators and their respective targets did not change since the outset of the project. These indicators have been used yearly to report progress made in the PPRs. The review of these indicators and their respective targets reveals that they are mostly quantitative indicators; that is monitoring a quantity of deliverables as opposed to more quality-based indicators such as “number of”. Quantitative indicators give a very clear measure of things and are numerically comparable. They also provide an easy comparison of a project progress over time and are easy to monitor and do not require too much resources to collect data.

96. However, quantitative indicators also do not depict the status of something in more qualitative terms. Degree of capacity developed are often better captured by qualitative indicators. For example, how much a coastal community is able to adapt to climate change-driven hazards may not be measurable in strict quantitative terms, but they can be graded based on qualitative findings. In the case of capacity development initiatives such as this project that is “to strengthen the ability of coastal and riverine communities in PNG to make informed decisions about and to undertake concrete actions to adapt to climate change-driven hazards”, using a mix of quantitative and qualitative indicators would allow the project team to better measure its performance. A mix of both types of indicators would be more suited for the measurement of the performance of this project offering quantity and quality information about project achievements.

97. Based on the above, the review conducted for this evaluation reveals that some qualitative indicators with their respective target to effectively measure how well the project is performing are missing. Some findings from the review of these indicators and targets include:

- The first 2 indicators/targets to measure the achievements at the objective level are too narrow to indicate the degree of success of the project. To achieve these targets is mostly a matter of implementing activities to protect 16 coastal and riverine communities against coastal or inland flooding. This would not justify the investment of over \$6,000,000 to reach these 2 targets.
- On the contrary the third indicator/target is too general and not specific enough. Assuming the target is for 5 provinces it is not clear enough what should be the project results to claim that adaptation to climate change is managed, monitored and planned at the provincial level and supported by a framework of policies and plans including disaster preparedness and response plans, coastal zone management plans.
- Indicators and targets identified to measure the performance at the outcome level provide good quantitative information. To succeed under outcome #1 the project needs to support the protection from coastal flooding for 8 communities through community-based adaptation measures, including the preservation of mangrove forests; the installation of 6 tidal gauges, 6 AWS and 10 voluntary weather stations; the development of comprehensive disaster preparedness and response plans for coastal flooding in 4 provinces; the identification of coastal engineering measures for adaptation in 3 provincial capitals; the conservation of 100ha of mangrove forests in 33 communities including 8 sustainable regional mangrove nurseries. The same logic applies for the other 3 outcomes. However, in addition to this quantitative information, capacity-based indicators are also needed to assess the capacity change that should occur after the intervention of the project. From a developmental perspective, what is key for this project is to develop the capacity of PNG is addressing coastal and inland flooding

through community-based adaptation measures. Currently, the set of indicators do not measure these aspects very well; they measure “how many” but not really “how capable” which is also a key aspect for the long term sustainability of the project achievements.

98. Based on this review of the M&E function of the project, it is rated as *moderately satisfactory*. It found that the set of indicators is not fully SMART⁶. Most indicators are specific, easily measurable, attainable and time-bound. However, they are not totally relevant at the outcome and objective level of the project. They do not measure enough how effective the project is in developing the capacity of stakeholders. It is recommended to add a few qualitative indicators to measure the development of these capacities; particularly at the objective level.

4.3.6. Reporting

99. Management reports have been produced regularly and according to UNDP project management guidelines. They include AWP that when finalized are endorsed by the Executive Director of OCCD and the Deputy Resident Representative of UNDP; quarterly progress reports since 2014; annual PPRs and ad-hoc management reports needed to support procurement processes for services used by the project.

100. Overall, progress made by the project is being satisfactorily reported, following UNDP project progress reporting guidelines. The quarterly reports document the progress made during the past quarters and the PPRs document the progress made against the project objective and outcomes. These annual reports include also a review and update of the risks identified at the outset of the project and the steps taken to mitigate these risks. However, what is somewhat missing into these progress reports are more substantive documentation of any adaptive management issues faced by the project and management changes made. For instance, the project has had difficulty in setting up an operational PMU at OCCD, including periods with no PM and a change of PM between 2014 and 2015. The only information that can be found in these reports are under risk assessment whereby a risk was logged that finding a PM is difficult due to still competition with private sector companies.

101. The ratings given in PPRs (no ratings are given in the quarterly progress reports) were assessed. The overall rating given by the PM for 2013 was “*Unsatisfactory*”, for 2014 was “*Marginally Satisfactory*” and for 2015 (draft) was “*Satisfactory*”. It is important to understand that these ratings are for the implementation process; that is corresponding to activities implemented during the past year. There are not overall ratings of how well the project is progressing toward its expected outcomes and objectives. Following this review, these ratings are justified and illustrate the fact that there was no PM in place in 2013 and, therefore, almost no activities took place; a new PM was in place in 2014 and activities started to be implemented; and in 2015, under the Interim PM, the implementation process continued to increase, which was translated into an increase of budget spent (*see Section 4.3.4*). However, as it was discussed in section 4.2.1, the overall progress is still slow and, based on this review, it seems that many targets won't be achieved by the end of the project in September 2016.

102. PPRs also include *Results Tracker* reports, an AF reporting requirement. It was noted that the template for the *Results Tracker* for the 2015 PPR has changed and was completed by the project management team (*see Annex 9*). This reporting instrument was reviewed by the Evaluator as part of this evaluation and below are two comments about the data logged in this instrument:

- Numerical data provided in this instrument seems to correspond to activities conducted in provinces. However, the review found that the number of direct beneficiaries indicated against the core indicator should be much higher. For instance, it was noted that activities conducted by World Vision under a contract with the project is reaching almost 3,000 people with almost equal participation of men and women. Activities conducted by FPCD have a reach of almost 27,000 people with a men/women ratio of 58/42; activities conducted by ADRA have had a reach so far of about 1,400 people with a men/women ratio of 53/47. Finally, in the context of conducting a vulnerability assessment, World Vision has been conducting an assessment of 33 climate-risk hotspot communities throughout the 5 provinces where the project intervenes, which represents a group of beneficiaries of several thousands people.

⁶ SMART: Specific, Measurable, Attainable, Relevant and Time-bound.

- It is reported at mid-term against indicator 7.1 (*No. of policies introduced or adjusted to address climate change risks*) that one (1) policy was introduced or adjusted in the environmental policy area. Based on the review, it is not clear which one and it is not mentioned in the reported progress towards outcomes (*see also Section 4.2.1*). However, it was noted that the project has recently started to support the development of disaster preparedness and response plans for both coastal flooding and inland flooding in East Sepik and New Ireland provinces, including stakeholder consultations.

4.3.7. Communications

103. From the outset of the project, communication has been at the forefront of the implementation of this project. Outcome #4 is focusing on “*strengthening awareness and ownership of adaptation and climate change-related risk reduction processes at national and sub-national level*”, including dissemination of lessons learned and best practices to different levels of government but also civil society organizations and communities.

104. In order to address the communication needs, the project recruited an international volunteer and consultant to develop a communication strategy⁷. Through stakeholder consultations and research conducted for this strategy, it was found that there was little knowledge on effective village level adaptation measures and that provincial Disaster Risk Management (DRM) offices are often isolated from the provincial administration with DRM not viewed as a priority. Furthermore, it was found that communities had limited understanding of disaster risk reduction and that it was vital to create resilient communities through the promotion of ownership of adaptation and climate change-related disaster risk reduction strategies at village, ward, local government, provincial and national levels.

105. Despite some efforts from the government, the dissemination and uptake of climate change information amongst provincial and local authorities, farmers and villagers has been very limited. There is an absence of awareness, education and advocacy of climate change impacts and practical adaptation measures to manage expected and uncertain changes. Based on these findings, the rationale for this strategy concluded that there was a need to communicate adaptive solutions and best practices to those most vulnerable; to people who must urgently need this information. It found that the dissemination of information – for example, the outputs of the Adaptation Technical Working Group to a non-specialist, lay audience – was one of the key challenges to overcome. Therefore, a communications strategy was required to support the project and compliment the CCDS and Interim Action Plan where appropriate.

106. The vision of the strategy is to “create communities knowledgeable about climate change impacts and natural hazards and thus able to make informed choices and educated decisions”. The objective is four-fold:

- a) To raise the level of awareness of vulnerable communities at all levels on the opportunities and threats brought by climate change;
- b) To enhance the capacity of vulnerable communities for designing and taking appropriate measures on climate change adaptation;
- c) To enable vulnerable communities to share best practices and lessons learned from adaptation to climate change;
- d) To provide advice and examples of best practice of how to improve community based disaster risk reduction.

107. The communication strategy was developed for two main target audiences:

- a) *Primary Target Audience:* Project Community beneficiaries, Village Planning Committees (VPCs), Ward Planning Councils (WPCs), Youth groups, Schools, Universities, Women’s groups, Civil Society Organizations (CBOs, NGOs), Religious leaders
- b) *Secondary Target Audience:* Provincial Governors, Provincial Administrations, District Administrations, Local Level Government, Department of Environment and Conservation, Office of Climate Change and Development, National Weather Service, Government Ministries.

⁷ OCCD, AF Project, *Climate Change Adaptation Communication Strategy*.

108. Finally, the strategy listed the themes to made the content of any communications, the type of communication products that could be considered for communicating climate change issues and solutions as well as an implementation matrix.

109. In term of communicating climate change risks and solutions to beneficiaries, few initiatives have been supported by the project so far. It includes:

- 10 awareness campaigns on DRR/CCA conducted in 4 schools (Waput, Koroba and Dumpu Primary school in Usino LLG and Karani Primary School in Bundi LLG) with a total of 649 students (324 boys and 271 girls)
- Awareness on flooding, disaster preparedness and community based adaptation strategy was conducted in six schools along the tributaries of the Ramu River in Madang district that covered approximately 500 students.
- A teaching guide on Climate Change Adaptation was developed for lower primary schools.
- Community Based Mangrove Planting Handbook
- Press coverage - Inception Workshop on Flood Early Warning
- Press coverage - Mangrove planting and conservation in East Sepik,
- Press Website Story on TV Infomercial - El Nino Preparedness (45 Second infomercial broadcasted on National TV for two months)
- Website story titled “*Local communities of Papua New Guinea are committed to fight climate change*”
- Exposure Photo Story: “*Take Care of the Mangroves*” (<https://undp-adaptation.exposure.co/take-care-of-the-mangroves>).

110. Otherwise, the review of internal project communications with stakeholders reveals that not enough communication is done and/or not very effective. There are not enough feedback mechanisms among stakeholders, particularly at the provincial and local levels and beneficiaries – coastal and inland communities – are especially remote from the project, its activities and its progress. As discussed in section 4.2.2 above, there is a lack of a clear shared vision about the project and what it is trying to accomplish. The Evaluator found that it is particularly true at the provincial level (5) where provincial stakeholders have a very limited knowledge on what the project is trying to achieve and even less views on the kind of sustained results that is anticipated to be achieved by the end of the project. It is an important weakness of the project and it is recommended to increase this type of communication to provincial and local government stakeholders as well as to beneficiaries.

4.4. Sustainability

111. This section discusses how sustainable project achievements should be over the long-term. It includes a review of the management of risks and specific risks such as financial risk, socio-economic risks, institutional framework and governance risks, and environmental risks.

112. Project risks were identified at the formulation stage and documented in the project document; including the risk mitigation strategy for each identified risk. It is a list of eight anticipated risks linked with the implementation of this project. The review conducted for this evaluation reveals that the Project Management Team has been monitoring these risks – and added as needed - and has been reporting them in the annual PPRs. As it stands currently, all risks are rated either *Low* or *Medium*. These risks are presented in the table below as well as the current management response for each of these risks.

Table 9: List of Risks Identified at the Formulation Phase and Updated Mitigation Measures

Project Risks	Rating	Mitigation Measures
1. Insufficient collaboration between project implementation partners and stakeholders	Medium	<ul style="list-style-type: none"> • Regular contact is maintained with project partners and stakeholders. Terms of reference for various activities under the project are prepared in consultation with project partners/ stakeholders. Project partners and stakeholders are regularly updated on the progress under the project. The project Steering Committee comprising of all the relevant stakeholders including

Project Risks	Rating	Mitigation Measures
		<p>representatives from the five pilot provinces meets once in a year to review the project and guide effective implementation of project activities. OCCD, as the implementing partner, hosts regular meetings with the project management team and UNDP and other key stakeholders on a monthly basis. At the provincial level, the Provincial Climate Change Committee, headed by the provincial administrator and comprising of key provincial bodies is the key coordination mechanism for the project.</p>
<p>2. Weak cooperation by communities at proposed sites</p>	<p>Medium</p>	<ul style="list-style-type: none"> Community level activities are being implemented by NGOs who already have a field presence in the targeted provinces. Awareness raising about climate change and its impacts is one of the major components of the community based approach which ensures better cooperation and engagement of the local communities in the implementation of the project. A climate adaptation education and awareness initiative is being prepared that will not only collate existing information and awareness materials on CCA but also design and produce new materials to fill in key information gaps. One of the other objective of the project is to capture and produce stories from site where CCA projects are currently being implemented.
<p>3. Land use disputes within the communities affect implementation of project activities and plans</p>	<p>Low</p>	<ul style="list-style-type: none"> The project does not involve any activity that requires land acquisition. At this stage it is envisaged that flood gauges will be installed in some specific sites that requires community consultation to avoid vandalism of the equipment proposed to be installed. However, before the installation of equipment adequate awareness will be conducted to avoid disputes. The NGOs involved in community based climate adaptation projects have undertaken a series of awareness campaigns to sensitize the communities about the project goals and related activities to ensure that communities are well receptive of the project initiatives at that level. The mangrove sites are selected with due consultation with local communities and authorities to avoid disputes related to land ownership.
<p>4. Limited human resources in PNG's national and provincial agencies to adequately support the activities and ensure the sustainability of the adaptation measures</p>	<p>Medium</p>	<ul style="list-style-type: none"> A capacity assessment of key government agencies and institutions at the national and provincial level was conducted in the first quarter of 2015 to analyze their capacity development needs in relation to their CCA roles and responsibilities. The assessment report identifies capacity gaps at different levels and recommends capacity building actions/plans. A set of trainings are being planned in consultations with relevant stakeholders and partners in order to ensure that there is adequate capacity to sustain CCA initiatives at different levels. Competent technical experts and agencies are hired through global tender processes to provide high quality technical services to the project.
<p>5. A series of unusually adverse climatic conditions impacts the adaptation measures being implemented, or weakens the interest of key stakeholders to address adaptation issues.</p>	<p>Low</p>	<ul style="list-style-type: none"> The adverse impact of climate related disasters has resulted in increased awareness and demand for disaster preparedness/CCA. A severe dry spell induced by the strongest El Nino on record has impacted many provinces in PNG. This event has prompted the need for putting in place disaster preparedness and climate change adaptation measures at different levels. The project has actually enhanced the interest of key stakeholders in adaptation issues.
<p>6. The best practices and adaptation measures adopted are not gender sensitive – i.e. they increase inequity between men and women or change the social roles of men and women in a way that reduces self reliance.</p>	<p>Medium</p>	<ul style="list-style-type: none"> Community based disaster risk reduction and climate change adaptation projects are being implemented through NGOs that includes identification of hazards, vulnerabilities and risks and development and implementation of risk reduction/adaptation strategies in a participatory manner. The consultations at the community level involves both men and women and other vulnerable groups thus ensuring that the views of everyone is incorporated in the planning and decision making processes and the plans and strategies formulated under the project are gender sensitive. The Early Warning Assessment and Vulnerability Needs

Project Risks	Rating	Mitigation Measures
		Assessment studies employ a gender-sensitive approach to understand issues affective women at different levels. The findings will inform designing of gender sensitive recommendations for improvement of early warning systems at different levels.
7. The selection of pilot sites does not follow the established criteria and is derailed due to political processes and influences.	Low	<ul style="list-style-type: none"> This risk has been minimized as pilot sites were selected based on criteria established by the Project Document as well as through site visits, community consultations and feasibility studies. Site visits were made in order to verify the flood vulnerability of the pilot sites in order to establish project related to flood early warning and mangrove regeneration/conservation. Site visits also minimizes the risk of implementation of activities that are not feasible for a particular location. For example, one of the proposed sites for mangrove conservation in East Sepik was omitted after a site visit that confirmed that the area is not suitable for mangrove planting. On the other hand site visits confirmed vulnerability of communities to flooding where community based climate adaptation projects are now being implemented.
8. The government is not supportive, politically and financially, to a cross-sectoral and integrated approach to the management of climate risks and opportunities.	Low	<ul style="list-style-type: none"> The project is being implemented through Provincial Climate Change Committees established at the provincial level and Project Steering Committee established at the National level comprising of relevant government departments and NGOs to ensure a systematic and all of the govt. approach to the issue of climate change. The project is led by OCCD as an institution rather than individuals within the institution. In 2015, despite to the change of the Director of Climate Change, due to the fact that OCCD as an institution and had appointed a team of focal points within their department for this project, the project experienced minimal delays in implementation. The PMU established at the national level and project assistants recruited at the provincial level provide all the necessary support for the project. Besides, the activities are funded through the project limiting risks of non-implementation due to lack of funding support from Government.

Source: Project Document and PPRs.

113. In addition to this initial list presented in the project document, the project management team identified 4 additional risks that are presented in the table below including their respective management responses.

Table 10: List of Additional Risks Identified since the Outset of the Project

Risks / Assumptions	Priority	Mitigation Measures
9. The project is facing stiff competition from the flourishing resource extractive industry in attracting the best candidates for the full-time project positions (National Program Coordinator - NPC, Admin and Finance Specialist and Technical Specialist). Qualified professionals are in short supply relative to demand from all sectors.	Medium	<ul style="list-style-type: none"> Based on request for support expressed by the PNG Government / OCCD, UNDP appointed an interim project manager to oversee the project since the resignation of the project manager in October 2014. A full time project manager is currently being recruited. Project Administrative & Finance associate and driver/clerk were recruited recently to ensure timely and effective implementation of the project. a full time project associate has been working with project since beginning of 2015. Further staffing arrangements such as the appointment of project associate, will be explored in the next reporting period.
10. Budget cuts hindering OCCD's capacity to provide adequate support for the implementation of the project.	Medium	<ul style="list-style-type: none"> All levels of government within PNG including OCCD are currently experiencing severe budgetary constraints due to reduction in revenue caused by falling commodity prices. This has reduced the operation capacity of OCCD to deliver its projects and programs. The project is less likely to be affected by the budget cuts as the project activities are funded by the Adaptation Fund. In the next reporting period, it would be necessary for OCCD and key stakeholders to initiate discussions on sustainability in light of funding constraints faced throughout the government.

Risks / Assumptions	Priority	Mitigation Measures
11. The recent policy and legislative changes may create ambiguity with regard to OCCD's broader roles and responsibilities in climate change thus affecting the project implementation.	Medium	<ul style="list-style-type: none"> A new Climate Change Act (July 2015) passed by PNG parliament paved the way to elevate the status of OCCD from an office to an authority. While there is still lack of clarity with regard to how OCCD would take on its new mandate which requires major structural changes within the Office, the project is also less likely to be affected by the recent structural changes as the project is well defined and already into the third year of implementation.
12. Procurement policies/guidelines under UNDP NIM/DIM Implementation Modality is likely to hinder implementation on the ground	Medium	<ul style="list-style-type: none"> A sizeable part of the project is being implemented through contracts with reputable contractors and consultants who were selected through global tendering processes led by UNDP based on request from the Government. Community based activities are implemented through reputable NGOs through Micro Grant Agreements that ensures speedy implementation of the project as the funds are managed by NGOs under their own implementation modalities. The grant agreements are reviewed and endorsed by the project steering committee and provides an oversight role to ensure effective implementation of the projects. In addition, as the AF Multilateral Implementing Entity, UNDP provides project oversights and quality assurance for the project implementation.

Source: PPR 2015.

114. The review of these risks reveals that there are comprehensive covering most aspects of a project where management issues can arise. However, one risk that is not in this list is the complexity to work at the provincial, local government and community levels in PNG. There is an inherent risk of implementing a project at this level linked with difficulties in communicating, meeting and collaborating and the high costs related to these activities. As it stands currently, the project faces some difficulties to be recognized as a partner at the provincial level to support climate change adaptation activities; more presence is needed at these levels to develop and maintain a good stakeholder ownership.

115. From a management response point of view, the mitigation for risks #4 and #9 are somewhat weak. The review indicates that one of the main issues preventing a better effectiveness of the project is the difficulties in finding a PM, in establishing an effective PMU and also in finding national consultants to conduct project activities. This risk varies from low to high depending on the time when the project needs consultants and/or a PM. It is certainly a risk to monitor carefully during the remaining part of the project. Currently, this risk is medium to low as a few consultancies are under way and the project is headed by an Interim PM.

116. As described in the project document, the prospect for the long-term sustainability of project achievements is good; it is rated as *likely sustainable*. The strong commitment of the government of PNG to sustainably address climate change and its social, economical, environmental and financial impacts has been evident through several initiatives. This clear intention is reflected in the country's CCDS and the establishment of the NCCC as well as the OCCD. As discussed previously in this report, the project has been a direct response to government priorities in the climate change adaptation area. It is anticipated that the government will continue to implement CCA activities in the foreseeable future and, therefore, these project achievements should be sustained in the medium-term and used as demonstrations to be replicated throughout PNG.

4.4.1. Financial risk to Sustainability

117. When reviewing the sustainability of project achievements, financial risk is the main area where questions related to the long-term sustainability of project achievements need some discussions. The project should support the investment in an EWS. This system should include technologies such as hardware, software and communication devices. Additionally, the project will support the development of capacities to operate and maintain this system, which should be housed at the National Weather Service (NWS). A study is currently under way to inform the design of a functional EWS for PNG, including the

details for the procurement of hardware and software needed to set up an EWS system for inland and coastal flooding. This system will require protocols for forecasting, monitoring the risks, and disseminating early warnings. To be operational, the system will require a set of abilities but also recurrent financial resources to maintain and upgrade the system when needed. There is a certain financial risk attached to the sustainability of such EWS; however, a first step to mitigate this risk is through the ongoing study which should look at this aspect when scoping the EWS. At this point in time, the financial sustainability of project achievements is rated as *likely sustainable*.

4.4.2. Socio-economic risk to Sustainability

118. The project should have positive socio-economic impacts on these coastal and inland communities. Planning for mitigating disasters and implementing activities to mitigate the risks, including the prevention of floods should contribute to securing the livelihoods of these communities by the end of the project. As a result of the project, these communities should be better capacitated to address flooding risks in coastal and inland areas; they should be more equipped in managing the risks of flooding and reduce these risks of flooding. By extension, living in a more secure environment should impact positively the local economy and raise the livelihood of these communities. Within this context, the review indicates that there are no socio-economic risks that could threaten the sustainability of project achievements; it is rated as *likely sustainable*.

4.4.3. Institutional framework and governance risk to Sustainability

119. As discussed previously in this report, the project is a direct response to the government agenda to address climate change impacts on both coastal and inland areas. The project is “rooted” in the national climate change policy framework and in fact is supporting the implementation of identified policy measures. It is anticipated that the government will continue to implement this climate change policy in the foreseeable future and, therefore, the project achievements should be sustained in the medium-term and used as demonstrations to be replicated throughout PNG.

120. At the community level, project achievements are “owned” by these communities; i.e. there are interested in planning for mitigating disasters, and implementing activities to mitigate the risks, including the prevention of floods. At the completion of the project, this approach should have contributed to securing the livelihoods of these communities. They should continue to “govern” these achievements and the sustainability with regards to institutional framework and governance matters is rated as *likely sustainable*.

4.4.4. Environmental risk to Sustainability

121. The review did not find any particular environmental risks to the sustainability of project outcomes; it is rated as *likely sustainable*. The project supports the implementation of climate change adaptation measures, including the development of capacities of national, provincial and local levels stakeholders. Ultimately, the achievements of the project – through adaptation to climate change - should have a medium and long-term positive environmental impacts over these coastal and inland areas. The riverside and coastal vegetation and mangrove conservation actions should strengthen the resilience of vital coastal ecosystems that provides a range of ecosystem services, including coastal protection and buffer for flooding, cyclones and other extreme climatic events. Given the role of mangroves in marine and near-shore ecosystems as breeding and raising grounds for many marine fish and other species, it is expected that food supply from coastal areas should also be enhanced.

5. LESSONS LEARNED

122. A summary of lessons learned is presented below. These are based on the review of project documents, interviews with key informants and analysis of the information collected:

- The state of decentralization of governments in PNG and the difficulties to work at all these levels result in a complex context to implement any development project that is costlier, more time consuming and this context needs to be well incorporated into any project strategy.
- Considering that it is necessary to use very specialized skills for this type of project (EWS), it is critical that assessments, analyses, studies, recommendations and proposals be developed in close collaboration and participation of key stakeholders to “ground” these outputs to local realities.
- Quantitative monitoring indicators give a very clear measure of things and are numerically comparable. They also provide an easy comparison of a project progress over time and are easy to monitor and do not require too much resources to collect data. However, quantitative indicators also do not depict the status of something in more qualitative terms. Degree of capacity developed are often better captured by qualitative indicators. A mix of both types of indicators is more suited for the measurement of the performance of a project offering quantity and quality information about project achievements.
- In order to ensure the mainstreaming of gender considerations in a project, it is important that gender-based expected results, indicators and targets be identified during the formulation of the project. Once it is part of the project strategy and of the monitoring framework, mainstreaming gender considerations becomes part of the implementation of the project as well as part of reporting project progress.
- Mainstreaming, replicability and scaling-up are critical success factors for any development projects. They need to be part of the project strategy and “embedded” in the set of expected results. Once there are integrated in the project strategy, the implementation team will naturally focus on these principles seeking to mainstream, replicate and/or scale-up project achievements. If there are not part of the logic model (*Result and Resources Framework*), they tend to be ignored until near the end of the project.
- This type of project provides a lot of lessons and best practices that are important to document. In addition to the documentation of these lessons in PPRs, these type of projects should always end with a final phase to document their results and identify the way forward to replicate these results in similar context in the country and in the region. It should be part of any exit strategy for this type of project.

Annex 1: Terms of Reference

Terms of Reference for the Mid-term Evaluation

Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of Papua New Guinea

1. Introduction

This is the Terms of Reference (ToR) for the Mid-Term Evaluation (MTE) for the UNDP-supported Adaptation Fund financed project titled “Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of Papua New Guinea” (PIMS#: 4452) implemented through the Office of Climate Change and Development, which is to be undertaken in 2015. The project started on the 17th May 2012, and is in its third year of implementation. This ToR sets out the expectations for this Mid-term Evaluation (MTE).

2. Project background

The impact of climate change-related hazards in the Papua New Guinea (PNG) has been increasing in intensity and frequency. Further impacts from climate change include the loss of food gardens due to extensive flooding (both in coastal and riverine areas) combined with extended periods of drought. The rising sea level is causing some of PNG’s islands to be gradually submerged. Salt-water intrusion is affecting groundwater particularly in the islands and in coastal areas, threatening domestic water supplies and agriculture. With the onset and multitude of climate change impacts, the country’s economy, environment and people are becoming more vulnerable and are at risk of not meeting basic human development needs. Climate change puts at risk the achievement of the goals set out in PNG’s major development plans.

Flooding in the coastal areas is one of the most important climate change related hazards in the North Coast and the Islands Region as settlements are usually located along the coasts, particularly the provincial capitals of East Sepik (Wewak), Madang (Madang), Morobe (Lae), and West New Britain (Kimbe). Similarly, in the hinterland areas, climate change-related inland flooding is the most pressing hazard with the largest potential for wide-spread damage. One underlying driver increasing vulnerability to coastal and inland flooding in PNG is the absence of proactive systematic adaptation capacity, strategies, planning and practices. These climate change risks and long-term resilience are not adequately considered during development and budget planning processes.

Thus, the Government of Papua New Guinea (GoPNG) through the Office of Climate Change and Development (OCCD) with the support of United Nations Development Programme (UNDP) and financial resources from the Adaptation Fund is currently implementing a national climate change adaptation initiatives to “*Enhance Adaptive Capacity of Communities to Climate Change-related Floods in the North Coast and Islands Region of PNG*”. The project objective is to enhance adaptive capacity of communities to make informed decisions about and adapt to climate change-driven hazards affect coastal and riverine communities in the North Coast and Islands Region of PNG. In particular, the project’s focus is on resilience towards coastal and inland flooding events.

The strategy to achieve this objective will focus on implementing measures and build institutional as well as policy capacity that promote efficient and cost-effective adaptation to coastal and inland flood-related risks at the sub-national levels. The community level interventions address specific vulnerability characteristics of two distinct geographic areas which are: i) selected coastal and island communities of the Northern and Island Coastal Provinces of East Sepik, Madang, Morobe, New Ireland and Northern; ii) selected river communities in Northern Coastal Provinces exposed to inland flooding. The key impact indicator associated with this objective will be the reduced vulnerability of communities to coastal and inland flooding as well as improved government’s institutional and human capacity to address climate change impacts.

3. Project objectives and expected outcomes

The Project will utilize AF support to enable GoPNG to systematically assess vulnerability of these coastal and riverine communities to develop the necessary institutional and individual capacity at national,

provincial, district, local to enable decentralized and well-informed decision-making. In order to strengthen the enabling environment for such decentralized planning, preparedness and response, climate change adaptation measures will be anchored in key national and subnational plans and strategies. Guidance on climate resilient coastal and inland protection, development, land-use planning, and early warning relevant to the PNG context will be developed to assist planners, decision-makers and practitioners understand climate risks when making development and investment decisions.

The overall goal to which the project will contribute is to: *“enhance the adaptive capacity of communities to make informed decisions about and adapt to climate change-driven hazards affecting both coastal and riverine communities in the North Coast and Islands Region of Papua New Guinea. In particular, the project will focus on resilience towards occurrences of coastal and inland flooding events”*.

4. Mid-Term Evaluation objectives

The MTE will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTE will also review the project’s strategy, its risks to sustainability.

The purpose of Mid-Term Evaluation is to examine the performance of the project since the beginning of its implementation. The review will include both the evaluation of the progress in project implementation, measured against planned outputs set forth in the Project Document in accordance with rational budget allocation and the assessment of features related to the process involved in achieving those outputs, as well as the initial and potential impacts of the project. The review will also address underlying causes and issues contribution to targets not adequately achieved.

The Mid-Term Evaluation is intended to identify weaknesses and strengths of the project design and to come with recommendations for any necessary changes in the overall design and orientation of the project by evaluating the adequacy, efficiency, and effectiveness of its implementation, as well as assessing the project outputs and outcomes to date. Consequently, the review mission is also expected to make detailed recommendations on the work plan for the remaining project period. It will also provide an opportunity to assess early signs of the project success or failure and prompt necessary adjustments.

The review mission will also identify lessons learnt and best practices from the project which could be applied to future and other on-going projects.

5. Scope of the Mid-Term Evaluation

The scope of the Mid-Term Evaluation will cover all activities undertaken in the framework of the project. The evaluator will compare planned outputs of the project to actual outputs and assess the actual results to determine their contribution to the attainment of the project objectives. The evaluation will diagnose problems and suggest any necessary corrections and adjustments. It will evaluate the efficiency of project management, including the delivery of outputs and activities in terms of quality, quantity, timeliness and cost efficiency. The evaluation will also determine the likely outcomes and impact of the project in relation to the specified goals and objectives of the project.

The evaluation will comprise the following elements:

- a. Assess whether the project design is clear, logical and commensurate with time and resources available;
- b. A summary evaluation of the project and all its major components undertaken to date and a determination of progress towards achievement of its overall objectives;
- c. An evaluation of project performance in relation to the indicators, assumptions and risks specified in the logical framework matrix and the project document
- d. An assessment of the scope, quality and significance of the projects outputs produced to date in relation to expected results;
- e. An analysis of the extent of cooperation on engendered and synergy created by the project in each of its component activities;

- f. An assessment of the functionality of the institutional structure established and the role of the Project Steering Committee, Project Management Unit, Implementing Partner, the Technical and Advisory Support Teams and working groups;
- g. Identification and, to the extent possible, quantification of any additional outputs and outcomes beyond those specified in the project document;
- h. Identification of any programmatic and financial variance and/or adjustments made during the first two years of the project and an assessment of their conformity with decisions of the Project Steering Committee and their appropriateness in terms of overall objectives of the project;
- i. An evaluation of project coordination, management and administration provided by the PMU. This evaluation should include specific reference to:
 - Organizational/institutional arrangements for collaboration among the various agencies and institutions involved in project arrangements and execution;
 - The effectiveness of the monitoring mechanisms currently employed by the project managers in monitoring on a day to day basis the progress in project execution;
 - Administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project and present recommendations for any necessary operational changes; and
 - Financial management of the project, including the balance between expenditures on administrative and overhead charges in relation to those on the achievement of substantive outputs.
- j. A qualified assessment of the extent to which project outputs to data have scientific credibility;
- k. An assessment of the extent to which scientific and technical information and knowledge have influenced the execution of the project activities;
- l. A prognosis of the degree to which the overall objectives and expected outcomes of the project are likely to be met;
- m. Lessons learned during project implementation;
- n. Recommendations regarding any necessary corrections and adjustments to the overall project work plan and timetable for the purposes of enhancing the achievement of project objectives and outcomes.

6. Evaluation methodology

The Mid-Term Evaluation will be conducted in a participatory manner working on the basis that its essential objective is to assess the project implementation and impacts in order to provide basis for improvement in the implementation and other decisions.

The MTE must provide evidence-based information that is credible, reliable and useful. The MTE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. AF Concept, AF Proposal, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Project Performance Reports/PPRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review).

The MTE team is expected to follow a collaborative and participatory approach ensuring close engagement with the Project Team, government counterparts, the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

The mission will start with a desk review of project documentation and also take the following process:

- a. Desk review of project document, outputs, monitoring reports such as Project Inception Report, Minutes of Project Steering Committee and Technical Support and Advisory Team meetings, Project Implementation Report, Quarterly Progress Reports, mission reports and other internal documents including financial reports and relevant correspondence);
- b. Review of specific products including datasets, management and action plans, publications, audiovisual materials, other materials and reports;
- c. Interviews with the Project Managers, other project staff including pilot provinces; and
- d. Consultations and/or interviews with relevant stakeholders involved, including governments representatives, local communities, NGO's, private sector, donors, other UN agencies and organizations.

Engagement of stakeholders is vital to a successful MTE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to key partners and pilot provinces); executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTE team is expected to conduct field missions to Port Moresby, Papua New Guinea, including the following project sites which are in East Sepik, Madang, Morobe, New Ireland and Northern Provinces.

The final MTE report should describe the full MTE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

7. Detailed Scope of the MTE

The MTE team will assess the following four categories of project progress.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Log-frame:

- Are the project’s objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyze beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance etc.) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the log-frame indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix; color code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator ⁸	Baseline Level ⁹	Level in 1 st PIR (self-reported)	Midterm Target ¹⁰	End-of-project Target	Midterm Level & Assessment ¹¹	Achievement Rating ¹²	Justification for Rating
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8 Populate with data from the Log-frame and scorecards

9 Populate with data from the Project Document

10 If available

Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards outcomes analysis:

- Compare and analyze the AF Results Tracker within the PPR at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the AF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use

11 Colour code this column only

12 Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?

- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil AF reporting requirements (i.e. how have they addressed poorly-rated PPRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, PPRs, and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the AF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTE team will include a section of the report setting out the MTE’s evidence-based conclusions, in light of the findings.¹³

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary.

Rec #	Recommendation	Entity Responsible
A	<i>(State Outcome 1)</i> (Outcome 1)	
A.1	Key recommendation:	
A.2		
A.3		
B	<i>(State Outcome 2)</i> (Outcome 2)	
B.1	Key recommendation:	
B.2		
B.3		
C	<i>(State Outcome 3)</i> (Outcome 3), etc.	
C.1	Key recommendation:	
C.2		
C.3		
D	Project Implementation & Adaptive Management	
D.1	Key recommendation:	
D.2		
D.3		
E	Sustainability	
E.1	Key recommendation:	
E.2		
E.		

The MTE team should make no more than 15 recommendations total.

Ratings

The MTE team will include its ratings of the project’s results and brief descriptions of the associated achievements in a *MTE Ratings & Achievement Summary Table* in the Executive Summary of the MTE report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. MTE Ratings & Achievement Summary Table for (*Project Title*)

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards	Objective Achievement Rating: (rate 6 pt. scale)	

¹³ Alternatively, MTE conclusions may be integrated into the body of the report.

Results	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(Rate 6 pt. scale)	
Sustainability	(Rate 4 pt. scale)	

8. Consultancy

The consultant with the following qualifications shall be engaged to undertake the evaluation working concurrently according to the planned schedule. The international consultant, who will have in depth understanding of UNDP supported projects including evaluation experience, he/ she will have the overall responsibility of organizing and completing the review, and submitting the final report.

The collection of documents is to be done by PMU prior to commencing the work. The Consultant has the overall responsibility for completing the desk review prior to the country mission, and for submitting the final report following the country mission. The consultant will sign an agreement with UNDP PNG and will be bound by its terms and conditions set in the agreement.

9. Proposed schedule

The Evaluation will begin in August 2015 and it requires a 15-day country mission in PNG as well as a desk review (prior to the country mission) and drafting and finalization of the report (following the country mission). The consultants will be paid on lump sum basis including international and domestic travel and DSA upon satisfactory delivery. The draft Final Report should be submitted to UNDP for circulation to relevant agencies within two weeks after the completion of the Evaluation mission to PNG. The consultants will finalize the report within two weeks upon receiving comments and feedback from stakeholders compiled by UNDP.

TIMEFRAME	ACTIVITY
22 July 2015	Application closes
29 July 2015	Select MTE Team/Signing of Contracts
3 August 2015	Prep the MTE Team (handover of Project Documents)/Discuss work plan
8 August	Document review and preparing MTE Inception Report
18 August	Finalization and Validation of MTE Inception Report- latest start of MTE mission
23 August – 10 September	MTE mission: stakeholder meetings, interviews, field visits
12 September	Mission wrap-up meeting & presentation of initial findings- earliest end of MTE mission
22 September	Draft MTE report due
30 September	Incorporating audit trail from feedback on draft report/Finalization of MTE report
5 October	Preparation & Issue of Management Response
(date)	(optional) Concluding Stakeholder Workshop (not mandatory for MTE team)
12 October	Expected date of full MTE completion

10. Deliverables

The report together with the annexes shall be written in English and shall be presented in electronic form in MS Word format.

For your consideration: Please see below deliverables below recommended by UNDP-GEF evaluation colleagues in HQ.

#	Deliverable	Description	Timing	Responsibilities
1	MTE Inception	MTE team clarifies	No later than 2	MTE team submits to the

	Report	objectives and methods of Midterm Evaluation	weeks before the MTE mission	Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTE mission	MTE Team presents to project management and the Commissioning Unit
3	Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTE mission	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTE report	Within 1 week of receiving UNDP comments on draft	Sent to the Commissioning Unit

*The final MTE report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

11. Rating project success

The evaluators may also consider assessing the success of the project based on outcome targets and indicators and using the performance indicators established by GEF for Climate Change Adaptation projects. The following items should be considered for rating purposes:

- Achievement of objectives and planned results
- Attainment of outputs and activities
- Cost-effectiveness
- Coverage
- Impact
- Sustainability
- Replicability
- Implementation approach
- Stakeholders participation
- Country ownership
- Acceptability
- Financial planning
- Monitoring and evaluation
- Impact on disaster risk management

The evaluation will rate the success of the project on a scale from 1 to 5, with 1 being the highest (most successful) rating and 5 being the lowest. Each of the items above should be rated separately with comments and then an overall rating given. Further details of the rating are included in Annex E.

12. MTE ARRANGEMENTS

The principal responsibility for managing this MTE resides with the Commissioning Unit. The Commissioning Unit for this project's MTE is UNDP Papua New Guinea Country Office.

The UNDP PNG Country Office will contract the consultants and ensure the timely provision of travel arrangements within the country for the MTE team. The UNDP PNG Country Office with the assistance of Project Team will be responsible for liaising with the MTE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

13. TEAM COMPOSITION

The consultant selected for the assignment cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall qualities in the following areas:

- Qualification -5%
 - Experience -20%
 - Technical Proposal (proposed methodology, approach, etc.)– 25%
 - Financial proposal- 30%
- International/regional consultant with academic and professional background in fields related to Climate Change Adaptation, Disaster Risk Management, Environmental Policy/Planning, International Development, Program Evaluation, public policy, engineering, environmental science, etc.
 - A minimum of 5 years of relevant experience is required;
 - Recent experience with result-based management evaluation methodologies;
 - Experience applying SMART indicators and reconstructing or validating baseline scenarios;
 - Competence in adaptive management, as applied to climate change adaptation and disaster risk management;
 - Experience working with the AF, GEF or GEF evaluations, AF evaluations or other UN agencies and/or international organizations is recommended;
 - Highly knowledgeable of participatory monitoring and evaluation processes, and experience in evaluation of technical assistance projects with major donor agencies;
 - Experience working in Papua New Guinea, Pacific Islands, or Developing Countries;
 - Demonstrated understanding of issues related to gender and climate change adaptation; experience in gender sensitive evaluation and analysis.
 - Excellent communication skills;
 - Demonstrable analytical skills;
 - Familiarity with the challenges developing countries face in adapting to climate change;
 - Demonstrate ability to assess complex situations, succinctly distils critical issues, and draw forward-looking conclusions and recommendations;
 - Ability and experience to lead multi-disciplinary and national teams, and deliver quality reports within the given time;
 - Excellent in human relations, coordination, planning and team work.
 - High social and professional intelligence and skills is essential.

14. PAYMENT MODALITIES AND SPECIFICATIONS

- ✓ 20% of payment upon approval of the final MTE Inception Report
- ✓ 30% upon submission of the draft MTE report
- ✓ 50% upon finalization of the MTE report

15. APPLICATION PROCESS¹⁴

Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)¹⁵ provided by UNDP;
- b) **CV and a Personal History Form (P11 form** ¹⁶);
- c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/ institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant

¹⁴ Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: <https://info.undp.org/global/popp/Pages/default.aspx>

¹⁵ <https://intranet.undp.org/unit/bom/psu/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

¹⁶ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address (UNDP Resident Representative, UNDP PNG, P.o.Box 1041, Port Moresby, Papua New Guinea) in a sealed envelope indicating the following reference “Consultant for (*Climate Change Adaptation Project*) Midterm Evaluation” or by email at the following address ONLY: (registry.pg@undp.org) by (*5pm, 22June, 2015*). Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications, which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.

ToR ANNEX A: List of Documents to be reviewed by the MTE Team

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All Project Performance Reports (PPR's)
7. Quarterly progress reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized AF Tracking Tools at CEO endorsement and midterm (*fill in Results Tracker tab of the Project Performance Review*)
10. Oversight mission reports
11. All monitoring reports prepared by the project
12. Financial and Administration guidelines used by Project Team

The following documents will also be available:

13. Project operational guidelines, manuals and systems
14. UNDP country/countries programme document(s)
15. Minutes of the Annual Project Board Meetings and other meetings (i.e. Project Appraisal Committee (LPAC) meetings)
16. Project site location maps

ToR ANNEX B: Guidelines on Contents for the Midterm Evaluation Report¹⁷

- i. Basic Report Information (*for opening page or title page*)
 - Title of UNDP supported GEF financed project
 - UNDP PIMS# and GEF project ID#
 - MTE time frame and date of MTE report
 - Region and countries included in the project
 - GEF Operational Focal Area/Strategic Program
 - Executing Agency/Implementing Partner and other project partners
 - MTE team members
 - Acknowledgements
- ii. Table of Contents
- iii. Acronyms and Abbreviations
1. Executive Summary (*3-5 pages*)
 - Project Information Table
 - Project Description (brief)
 - Project Progress Summary (between 200-500 words)
 - MTE Ratings & Achievement Summary Table
 - Concise summary of conclusions
 - Recommendation Summary Table
2. Introduction (*2-3 pages*)
 - Purpose of the MTE and objectives
 - Scope & Methodology: principles of design and execution of the MTE, MTE approach and data collection methods, limitations to the MTE
 - Structure of the MTE report
3. Project Description and Background Context (*3-5 pages*)
 - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
 - Problems that the project sought to address: threats and barriers targeted
 - Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
 - Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
 - Project timing and milestones
 - Main stakeholders: summary list
4. Findings (*12-14 pages*)
 - 4.1 Project Strategy
 - Project Design
 - Results Framework/Logframe
 - 4.2 Progress Towards Results
 - Progress towards outcomes analysis
 - Remaining barriers to achieving the project objective
 - 4.3 Project Implementation and Adaptive Management
 - Management Arrangements
 - Work planning
 - Finance and co-finance
 - Project-level monitoring and evaluation systems
 - Stakeholder engagement
 - Reporting
 - Communications
 - 4.4 Sustainability
 - Financial risks to sustainability

¹⁷ The Report length should not exceed 40 pages in total (not including annexes).

- Socio-economic to sustainability
 - Institutional framework and governance risks to sustainability
 - Environmental risks to sustainability
5. Conclusions and Recommendations (4-6 pages)
- 5.1 Conclusions
- Comprehensive and balanced statements (that are evidence-based and connected to the MTE's findings) which highlight the strengths, weaknesses and results of the project
- 5.2 Recommendations
- Corrective actions for the design, implementation, monitoring and evaluation of the project
 - Actions to follow up or reinforce initial benefits from the project
 - Proposals for future directions underlining main objectives
6. Annexes
- MTE ToR (excluding ToR annexes)
 - MTE evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
 - Example Questionnaire or Interview Guide used for data collection
 - Ratings Scales
 - MTE mission itinerary
 - List of persons interviewed
 - List of documents reviewed
 - Co-financing table (if not previously included in the body of the report)
 - Signed UNEG Code of Conduct form
 - Signed MTE final report clearance form
 - *Annexed in a separate file:* Audit trail from received comments on draft MTE report
 - *Annexed in a separate file:* Relevant midterm tracking tools (*METT, FSC, Capacity scorecard, etc.*)

ToR ANNEX C: Midterm Evaluation Evaluative Matrix Template

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
(include evaluative question(s))	(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTE mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Evaluation Consultants¹⁸

Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

MTE Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at _____ (Place) on _____ (Date)

Signature: _____

¹⁸ www.undp.org/uneqcodeofconduct

ToR ANNEX E: MTE Ratings

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

ToR ANNEX F: MTE Report Clearance Form

(to be completed by the Commissioning Unit and UNDP-GEF RTA and included in the final document)

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name: _____	
Signature: _____	Date: _____
UNDP-GEF Regional Technical Advisor	
Name: _____	
Signature: _____	Date: _____

Annex 2: Evaluation Consultant Code of Conduct and Agreement Form

Evaluators / Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Mid-Term Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: *Jean-Joseph Bellamy, International Evaluator*

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed in Ottawa on October 9, 2015



Signature: _____

Annex 3: Evaluation Matrix

The evaluation matrix below served as a general guide for the evaluation. It provided directions for the evaluation; particularly for the collection of relevant data. It was used as a basis for interviewing people and reviewing project documents. It also provided a basis for structuring the evaluation report as a whole.

Evaluated component	Sub-Question	Indicators	Sources	Data Collection Method
Evaluation criteria: Relevance - <i>How does the project relate to the main objectives of the AF, UNDP and to the adaptation to climate change priorities at the local, regional and national levels in PNG?</i>				
<i>Is the Project relevant to AF objectives?</i>	<ul style="list-style-type: none"> How does the Project support the related strategic priorities of the AF? Were AF criteria for project identification adequate in view of actual needs? 	<ul style="list-style-type: none"> Level of coherence between project objectives and those of the AF 	<ul style="list-style-type: none"> Project documents AF policies and strategies AF web site 	<ul style="list-style-type: none"> Documents analyses Interviews with government officials and other partners
<i>Is the Project relevant to UNDP objectives?</i>	<ul style="list-style-type: none"> How does the project support the objectives of UNDP in this sector? 	<ul style="list-style-type: none"> Existence of a clear relationship between project objectives and country programme objectives of UNDP 	<ul style="list-style-type: none"> Project documents UNDP strategies and programme 	<ul style="list-style-type: none"> Documents analyses Interviews with government officials and other partners
<i>Is the Project relevant to PNG's development objectives?</i>	<ul style="list-style-type: none"> Does the project follow the government's stated priorities? How does the Project support the development objectives of PNG? Does the project address the identified problem? How country-driven was the Project? Does the Project adequately take into account national realities, both in terms of institutional framework and programming, in its design and its implementation? To what extent are national partners involved in the design of the Project? 	<ul style="list-style-type: none"> Degree to which the project support national environmental and development objectives Degree of coherence between the project and national priorities, policies and strategies; particularly related to climate change adaptation Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities? Level of involvement of Government officials and other partners into the project Coherence between needs expressed by national stakeholders and UNDP criteria 	<ul style="list-style-type: none"> Project documents National policies, strategies and programmes Key government officials and other partners 	<ul style="list-style-type: none"> Documents analyses Interviews with government officials and other partners
<i>Does the Project address the needs of target beneficiaries?</i>	<ul style="list-style-type: none"> How does the project support the needs of target beneficiaries? Is the implementation of the project been inclusive of all relevant Stakeholders? Are local beneficiaries and stakeholders adequately involved in project formulation and implementation? 	<ul style="list-style-type: none"> Strength of the link between project expected results and the needs of target beneficiaries Degree of involvement and inclusiveness of beneficiaries and stakeholders in project design and implementation 	<ul style="list-style-type: none"> Beneficiaries and stakeholders Needs assessment studies Project documents 	<ul style="list-style-type: none"> Document analysis Interviews with beneficiaries and stakeholders
<i>Is the Project internally coherent in its</i>	<ul style="list-style-type: none"> Was the project sourced through a demand-driven approach? Is there a direct and strong link between project expected results (Result and Resources Framework) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc.)? 	<ul style="list-style-type: none"> Level of coherence between project expected results and project design internal logic Level of coherence between project design and project implementation approach 	<ul style="list-style-type: none"> Program and project documents Key project stakeholders 	<ul style="list-style-type: none"> Document analysis Key Interviews

Evaluated component	Sub-Question	Indicators	Sources	Data Collection Method
<i>design?</i>	<ul style="list-style-type: none"> Is the length of the project conducive to achieve project outcomes? 			
<i>How is the Project relevant in light of other donors?</i>	<ul style="list-style-type: none"> With regards to PNG, does the project remain relevant in terms of areas of focus and targeting of key activities? How does AF help to fill gaps (or give additional stimulus) that are crucial but are not covered by other donors? 	<ul style="list-style-type: none"> Degree to which the project was coherent and complementary to other donor programming in PNG List of programs and funds in which future developments, ideas and partnerships of the project are eligible? 	<ul style="list-style-type: none"> Other Donors' policies and programming documents Other Donor representatives Project documents 	<ul style="list-style-type: none"> Documents analyses Interviews with other Donors
Future directions for similar Projects	<ul style="list-style-type: none"> What lessons have been learnt and what changes could have been made to the project in order to strengthen the alignment between the project and the Partners' priorities and areas of focus? How could the project better target and address priorities and development challenges of targeted beneficiaries? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis
Evaluation criteria: Effectiveness – To what extent have the expected outcomes and objectives of the project been achieved?				
<i>How is the Project effective in achieving its expected outcomes?</i>	<ul style="list-style-type: none"> Is the project being effective in achieving its expected outcomes? <ul style="list-style-type: none"> Reduced exposure and increased adaptive capacity of coastal communities to flood-related risks and hazards in 8 communities and 3 cities of the 11 provinces of the North Coast and Islands Region Reduced exposure and increased adaptive capacity of 8 riverine communities of the 4 provinces (East Sepik, Oro, Morobe and Madang Provinces) Strengthened institutional capacity at national and sub-national levels to integrate climate change-related risks into sectoral policies and management practices Strengthened awareness, education and advocacy to promote ownership of adaptation and climate change-related risk reduction processes at national and sub-national levels 	<ul style="list-style-type: none"> New methodologies, skills and knowledge Change in capacity for information management: knowledge acquisition and sharing; effective data gathering, methods and procedures for reporting. Change in capacity for awareness raising <ul style="list-style-type: none"> Stakeholder involvement and government awareness Change in local stakeholder behavior Change in capacity in policy making and planning to improve adaptation to climate change: <ul style="list-style-type: none"> Policy reform Legislation/regulation change Development of national and local strategies and plans Change in capacity in implementation and enforcement <ul style="list-style-type: none"> Design and implementation of risk assessments Implementation of national and local strategies and action plans through adequate institutional frameworks and their maintenance Monitoring, evaluation and promotion of pilots Change in capacity in mobilizing resources <ul style="list-style-type: none"> Leverage of resources Human resources Appropriate practices Mobilization of advisory services 	<ul style="list-style-type: none"> Project documents Key stakeholders including UNDP, Project Team, Representatives of Gov. and other Partners Research findings 	<ul style="list-style-type: none"> Documents analysis Meetings with main Project Partners Interviews with project beneficiaries
<i>How is risk and risk mitigation being managed?</i>	<ul style="list-style-type: none"> How well are risks and assumptions being managed? What is the quality of risk mitigation strategies developed? Are they sufficient? Are there clear strategies for risk mitigation related with long-term sustainability of the project? 	<ul style="list-style-type: none"> Completeness of risk identification and assumptions during project planning Quality of existing information systems in place to identify emerging risks and other issues? Quality of risk mitigations strategies developed and followed 	<ul style="list-style-type: none"> Project documents and evaluations UNDP, Project Staff and Project Partners 	<ul style="list-style-type: none"> Document analysis Interviews

Evaluated component	Sub-Question	Indicators	Sources	Data Collection Method
Future directions for similar Projects	<ul style="list-style-type: none"> ▪ What lessons have been learnt for the project to achieve its outcomes? ▪ What changes could have been made (if any) to the formulation of the project in order to improve the achievement of project's expected results? ▪ How could the project be more effective in achieving its results? 		<ul style="list-style-type: none"> ▪ Data collected throughout evaluation 	<ul style="list-style-type: none"> ▪ Data analysis
Evaluation criteria: <i>Efficiency - Was the project implemented efficiently, in-line with international and national norms and standards?</i>				
<i>Is Project support channeled in an efficient way?</i>	<ul style="list-style-type: none"> ▪ Is adaptive management used or needed to ensure efficient resource use? ▪ Does the project <i>Result and Resources Framework</i> and work plans and any changes made to them used as management tools during implementation? ▪ Are the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? ▪ How adequate is the M&E framework (indicators & targets)? ▪ Are progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? ▪ Is project implementation as cost effective as originally proposed (planned vs. actual) ▪ Is the leveraging of funds (co-financing) happened as planned? ▪ Are financial resources utilized efficiently? Could financial resources have been used more efficiently? ▪ How is RBM used during project implementation? ▪ Is the project decision-making effective? ▪ Does the government provide continuous strategic directions to the project's formulation and implementation? ▪ Have these directions provided by the government guided the activities and outcomes of the project? ▪ Are there an institutionalized or informal feedback or dissemination mechanisms to ensure that findings, lessons learned and recommendations pertaining to project formulation and implementation effectiveness were shared among project stakeholders, UNDP staff and other relevant organizations for ongoing project adjustment and improvement? ▪ Does the project mainstream gender considerations into its implementation? 	<ul style="list-style-type: none"> ▪ Availability and quality of financial and progress reports ▪ Timeliness and adequacy of reporting provided ▪ Level of discrepancy between planned and utilized financial expenditures ▪ Planned vs. actual funds leveraged ▪ Cost in view of results achieved compared to costs of similar projects from other organizations ▪ Adequacy of project choices in view of existing context, infrastructure and cost ▪ Quality of RBM reporting (progress reporting, monitoring and evaluation) ▪ Occurrence of change in project formulation/ implementation approach (i.e. restructuring) when needed to improve project efficiency ▪ Existence, quality and use of M&E, feedback and dissemination mechanism to share findings, lessons learned and recommendation on effectiveness of project design. ▪ Cost associated with delivery mechanism and management structure compare to alternatives ▪ Gender disaggregated data in project documents 	<ul style="list-style-type: none"> ▪ Project documents and evaluations ▪ UNDP, Representatives of Gov. and Project Staff ▪ Beneficiaries and Project partners 	<ul style="list-style-type: none"> ▪ Document analysis ▪ Key Interviews
<i>How efficient are partnership arrangements for</i>	<ul style="list-style-type: none"> ▪ Is the government engaged? ▪ How does the government demonstrate its ownership of the projects? 	<ul style="list-style-type: none"> ▪ Specific activities conducted to support the development of cooperative arrangements between partners, ▪ Examples of supported partnerships 	<ul style="list-style-type: none"> ▪ Project documents and evaluations ▪ Project Partners 	<ul style="list-style-type: none"> ▪ Document analysis ▪ Interviews

Evaluated component	Sub-Question	Indicators	Sources	Data Collection Method
<i>the Project?</i>	<ul style="list-style-type: none"> ▪ Did the government provide a counter-part to the project? ▪ To what extent partnerships/linkages between institutions/ organizations are encouraged and supported? ▪ Which partnerships/linkages are facilitated? Which one can be considered sustainable? ▪ What is the level of efficiency of cooperation and collaboration arrangements? (between local actors, UNDP and relevant government entities) ▪ Which methods were successful or not and why? 	<ul style="list-style-type: none"> ▪ Evidence that particular partnerships/linkages will be sustained ▪ Types/quality of partnership cooperation methods utilized 	<ul style="list-style-type: none"> ▪ Beneficiaries 	
<i>Does the Project efficiently utilize local capacity in implementation?</i>	<ul style="list-style-type: none"> ▪ Was an appropriate balance struck between utilization of international expertise as well as local capacity? ▪ Does the project support mutual benefits through sharing of knowledge and experiences, training, technology transfer among developing countries? ▪ Did the Project take into account local capacity in formulation and implementation of the project? ▪ Was there an effective collaboration with scientific institutions with competence in adaptation to climate change? 	<ul style="list-style-type: none"> ▪ Proportion of total expertise utilized taken from PNG ▪ Number/quality of analyses done to assess local capacity potential and absorptive capacity 	<ul style="list-style-type: none"> ▪ Project documents and evaluations ▪ UNDP, Project Team and Project partners ▪ Beneficiaries 	<ul style="list-style-type: none"> ▪ Document analysis ▪ Interviews
Future directions for similar Projects	<ul style="list-style-type: none"> ▪ What lessons can be learnt from the project on efficiency? ▪ How could the project have more efficiently addressed its key priorities (in terms of management structures and procedures, partnerships arrangements etc....)? ▪ What changes could have been made (if any) to the project in order to improve its efficiency? 		<ul style="list-style-type: none"> ▪ Data collected throughout evaluation 	<ul style="list-style-type: none"> ▪ Data analysis
Evaluation criteria: <i>Impacts</i> - Are there indications that the project has contributed to adaptation to climate change in PNG?				
<i>How is the Project effective in achieving its long-term objectives?</i>	<ul style="list-style-type: none"> ▪ Will the project achieve its objective that is to enhance the adaptive capacity of communities to make informed decisions about and adapt to climate change-driven hazards affecting both coastal and riverine communities in the North Coast and Islands Region of Papua New Guinea? ▪ In particular, will the project improve the resilience towards occurrences of coastal and inland flooding events? 	<ul style="list-style-type: none"> ▪ Changes in capacity: <ul style="list-style-type: none"> ○ To pool/mobilize resources ○ To provide an enabling environment, ○ For implementation of related strategies and programmes through adequate institutional frameworks and their maintenance, ▪ Changes in use and implementation of sustainable alternatives ▪ Changes to the quantity and strength of barriers such as change in <ul style="list-style-type: none"> ○ Technical resource and human capacity constraints; ○ Ineffective policy and legal instruments to implement climate change adaptation and disaster risk reduction policy frameworks; ○ Absence of awareness, education and advocacy of climate change impacts and practical adaptation measures; ○ Local livelihood 	<ul style="list-style-type: none"> ▪ Project documents ▪ Key Stakeholders ▪ Research findings 	<ul style="list-style-type: none"> ▪ Documents analysis ▪ Meetings with UNDP, Project Team and project Partners ▪ Interviews with project beneficiaries and other stakeholders

Evaluated component	Sub-Question	Indicators	Sources	Data Collection Method
<i>How is the Project impacting the local environment?</i>	<ul style="list-style-type: none"> ▪ What are the impacts or likely impacts of the project on? <ul style="list-style-type: none"> ○ Local environment; ○ Poverty; and, ○ Other socio-economic issues. 	<ul style="list-style-type: none"> ▪ Provide specific examples of impacts at those three levels, as relevant 	<ul style="list-style-type: none"> ▪ Project documents ▪ Key Stakeholders ▪ Research findings 	<ul style="list-style-type: none"> ▪ Data analysis ▪ Interviews with key stakeholders
Future directions for the Project	<ul style="list-style-type: none"> ▪ How could the project build on its successes and learn from its weaknesses in order to enhance the potential for impact of ongoing and future initiatives? 		<ul style="list-style-type: none"> ▪ Data collected throughout evaluation 	<ul style="list-style-type: none"> ▪ Data analysis
Evaluation criteria: Sustainability - To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?				
<i>Are sustainability issues adequately integrated in Project design?</i>	<ul style="list-style-type: none"> ▪ Were sustainability issues integrated into the formulation and implementation of the project? ▪ Does the project employ government implementing and/or monitoring systems? ▪ Is the government involved in the sustainability strategy for project outcomes? 	<ul style="list-style-type: none"> ▪ Evidence/Quality of sustainability strategy ▪ Evidence/Quality of steps taken to address sustainability 	<ul style="list-style-type: none"> ▪ Project documents and evaluations ▪ UNDP, project staff and project Partners ▪ Beneficiaries 	<ul style="list-style-type: none"> ▪ Document analysis ▪ Interviews
<i>Did the project adequately address financial and economic sustainability issues?</i>	<ul style="list-style-type: none"> ▪ Did the project adequately address financial and economic sustainability issues? ▪ Are the recurrent costs after project completion sustainable? 	<ul style="list-style-type: none"> ▪ Level and source of future financial support to be provided to relevant sectors and activities after project end? ▪ Evidence of commitments from international partners, governments or other stakeholders to financially support relevant sectors of activities after project end ▪ Level of recurrent costs after completion of project and funding sources for those recurrent costs 	<ul style="list-style-type: none"> ▪ Project documents and evaluations ▪ UNDP, project staff and project Partners ▪ Beneficiaries 	<ul style="list-style-type: none"> ▪ Document analysis ▪ Interviews
<i>Organizations arrangements and continuation of activities</i>	<ul style="list-style-type: none"> ▪ Were results of efforts made during the project implementation period well assimilated by organizations and their internal systems and procedures? ▪ Is there evidence that project partners will continue their activities beyond project support? ▪ Has there been a buy-in process, or was there no need to sell the project and buy support? ▪ What degree is there of local ownership of initiatives and results? ▪ Were appropriate 'champions' being identified and/or supported? 	<ul style="list-style-type: none"> ▪ Degree to which project activities and results have been taken over by local counterparts or institutions/organizations ▪ Level of financial support to be provided to relevant sectors and activities by in-country actors after project end ▪ Number/quality of champions identified 	<ul style="list-style-type: none"> ▪ Project documents and evaluations ▪ UNDP, project staff and project Partners ▪ Beneficiaries 	<ul style="list-style-type: none"> ▪ Document analysis ▪ Interviews
<i>Enabling Environment</i>	<ul style="list-style-type: none"> ▪ Were laws, policies and frameworks addressed through the project, in order to address sustainability of key initiatives and reforms? ▪ Were the necessary related capacities for lawmaking and enforcement built? ▪ What is the level of political commitment to build on the results of 	<ul style="list-style-type: none"> ▪ Efforts to support the development of relevant laws and policies ▪ State of enforcement and law making capacity ▪ Evidence of commitment by the political class through speeches, enactment of laws and resource allocation to 	<ul style="list-style-type: none"> ▪ Project documents and evaluations ▪ UNDP, project staff and project Partners ▪ Beneficiaries 	<ul style="list-style-type: none"> ▪ Document analysis ▪ Interviews

Evaluated component	Sub-Question	Indicators	Sources	Data Collection Method
	the project?	priorities		
<i>Institutional and individual capacity building</i>	<ul style="list-style-type: none"> Is the capacity in place at the regional, national and local levels adequate to ensure sustainability of results achieved to date? 	<ul style="list-style-type: none"> Elements in place in those different management functions, at appropriate levels (regional, national and local) in terms of adequate structures, strategies, systems, skills, incentives and interrelationships with other key actors 	<ul style="list-style-type: none"> Project documents and evaluations UNDP, Project staff and project Partners Beneficiaries Capacity assessments available, if any 	<ul style="list-style-type: none"> Interviews Documentation review
<i>Social and political sustainability</i>	<ul style="list-style-type: none"> Did the project contribute to key building blocks for social and political sustainability? Did the project contribute to local Stakeholders' acceptance of the new practices? 	<ul style="list-style-type: none"> Example of contributions to sustainable political and social change with regard to climate change adaptation 	<ul style="list-style-type: none"> Project documents and evaluations UNDP, project staff and project Partners Beneficiaries 	<ul style="list-style-type: none"> Interviews Documentation review
<i>Replication</i>	<ul style="list-style-type: none"> Were project activities and results replicated elsewhere and/or scaled up? What was the project contribution to replication or scaling up of innovative practices or mechanisms to improve adaptation to climate change? Does the project has a catalytic role? 	<ul style="list-style-type: none"> Number/quality of replicated initiatives Number/quality of replicated innovative initiatives Volume of additional investment leveraged 	<ul style="list-style-type: none"> Other donor programming documents Beneficiaries UNDP, project staff and project Partners 	<ul style="list-style-type: none"> Document analysis Interviews
<i>Challenges to sustainability of the Project</i>	<ul style="list-style-type: none"> What are the main challenges that may hinder sustainability of efforts? Have any of these been addressed through project management? What could be the possible measures to further contribute to the sustainability of efforts achieved with the project? 	<ul style="list-style-type: none"> Challenges in view of building blocks of sustainability as presented above Recent changes which may present new challenges to the project 	<ul style="list-style-type: none"> Project documents and evaluations Beneficiaries UNDP, project staff and project Partners 	<ul style="list-style-type: none"> Document analysis Interviews
Future directions for the Project	<ul style="list-style-type: none"> Which areas/arrangements under the project show the strongest potential for lasting long-term results? What are the key challenges and obstacles to the sustainability of results of project initiatives that must be directly and quickly addressed? How can the experience and good project practices influence the strategies for adaptation to climate change? Are national decision-making institutions (Parliament, Government etc.) in PNG ready to improve their measures to improve adaptation to climate change? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis

Annex 4: List of Documents Reviewed

ADRA, Documents related to contract with project: proposal, agreements, progress reports, story book

AF, 2013 PPR

AF, 2014 PPR

AF, 2015 PPR

AF Board, Operational Policies and Guidelines for Parties to Access Resources from the AF

AF, Project/Programme Proposal: PNG- Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of Papua New Guinea

AF, Project Steering Committee Meeting Minutes – 5th December 2013 – Konebada Resort

Anteagroup, Hydroc Consult, Report 1 – Inception Report

Anteagroup, October 13, 2015, Short Summary on VNA Assessment

Anteagroup, October 13, 2015, Short Summary on EWS Assessment

Anteagroup, UNDP, Contract and TOR

Claudia Melim-McLeod, Margaret Spearman, May 2015, Capacity Assessment Report

Department of National Planning and Monitoring, March 2010, PNG Development Strategic Plan 2010-2030

Department of National Planning and Monitoring, UNDP, September 2010, PNG - Millennium Development Goals Second National Progress Comprehensive Report for Papua New Guinea 2010

FPCD, Documents related to contract with project: proposal, progress reports, financial reports

GEF, GoPNG, UNDP, March 2010, NCSA Project – Final Report

GEF, GoPNG, UNDP, November 2009, NCSA Project Presentation – NCSA Workshop November 2009, Nandi, Fiji

GoPNG, Disaster Management Act (no. 403 of 1987)

GoPNG, March 2010, Climate-Compatible Development for PNG (Second Draft)

GoPNG, May 2013, Post-2015 Development Agenda – Country Consultations - The Future We Want - Voices from the people of Papua New Guinea

GoPNG, OCCD, August 4, 2014, National Climate Compatible Development Management Policy

GoPNG, PNG Medium Term Development Plan 2011-2015

GoPNG, PNG Vision 2050

GoPNG, UN, 2012 Annual Work Plan

GoPNG, UN, 2013 Annual Work Plan

GoPNG, UNDP, Standard Basic Assistance Agreement

Herman Timmermans, January 15, 2009, Gaps and Opportunities for DRM Programming in PNG

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Annex 5: Interview Guide

Note: This was a guide for the Evaluator; it is a simplified version of the evaluation matrix. Not all questions were asked to each interviewee; it was a quick reminder for the Evaluator about the type of information required to complete the evaluation exercise and a guide to prepare the semi-structured interviews.

I. RELEVANCE - *How does the project relate to the main objectives of the AF, UNDP and to the adaptation to climate change priorities at the local, regional and national levels?*

- I.1. Is the project relevant to the AF objectives?
- I.2. Is the project relevant to UNDP objectives?
- I.3. Is the project relevant to PNG's development objectives?
- I.4. Does the project address the needs of target beneficiaries?
- I.5. Is the project internally coherent in its design?
- I.6. How is the project relevant in light of other donors?

Future directions for similar projects

- I.7. What lessons have been learnt and what changes could have been made to the project in order to strengthen the alignment between the project and the Partners' priorities and areas of focus?
- I.8. How could the project better target and address priorities and development challenges of targeted beneficiaries?

II. EFFECTIVENESS – *To what extent have the expected outcomes and objectives of the project been achieved?*

- II.1. How is the Project effective in achieving its expected outcomes?
 - Reduced exposure and increased adaptive capacity of coastal communities to flood-related risks and hazards in 8 communities and 3 cities of the 11 provinces of the North Coast and Islands Region;
 - Reduced exposure and increased adaptive capacity of 8 riverine communities of the 4 provinces (East Sepik, Oro, Morobe and Madang Provinces);
 - Strengthened institutional capacity at national and sub-national levels to integrate climate change-related risks into sectoral policies and management practices;
 - Strengthened awareness, education and advocacy to promote ownership of adaptation and climate change-related risk reduction processes at national and sub-national levels.
- II.2. How is risk and risk mitigation being managed?

Future directions for similar projects

- II.3. What lessons have been learnt for the project to achieve its outcomes?
- II.4. What changes could have been made (if any) to the design of the project in order to improve the achievement of project's expected results?
- II.5. How could the project be more effective in achieving its results?

III. EFFICIENCY - *Was the project implemented efficiently, in-line with international and national norms and standards?*

- III.1. Is adaptive management used or needed to ensure efficient resource use?
- III.2. Do the project *Result and Resources Framework* and work plans and any changes made to them used as management tools during implementation?
- III.3. Are accounting and financial systems in place adequate for project management and producing accurate and timely financial information?
- III.4. Are progress reports produced accurately, timely and respond to reporting requirements including adaptive management changes?
- III.5. Is project implementation as cost effective as originally proposed (planned vs. actual)?
- III.6. Is the leveraging of funds (co-financing) happening as planned?
- III.7. Are financial resources utilized efficiently? Could financial resources have been used more efficiently?
- III.8. How is RBM used during project implementation?

- III.9. Are there an institutionalized or informal feedback or dissemination mechanism to ensure that findings, lessons learned and recommendations pertaining to project formulation and implementation effectiveness were shared among project stakeholders, UNDP Staff and other relevant organizations for ongoing project adjustment and improvement?
- III.10. Does the project mainstream gender considerations into its implementation?
- III.11. To what extent are partnerships/ linkages between institutions/ organizations encouraged and supported?
- III.12. Which partnerships/linkages are facilitated? Which one can be considered sustainable?
- III.13. What is the level of efficiency of cooperation and collaboration arrangements? (between local actors, UNDP and relevant government entities)
- III.14. Is an appropriate balance struck between utilization of international expertise as well as local capacity?
- III.15. Does the project take into account local capacity in design and implementation of the project?

Future directions for the project

- III.16. What lessons can be learnt from the project on efficiency?
- III.17. How could the project have more efficiently addressed its key priorities (in terms of management structures and procedures, partnerships arrangements, etc., ...)?

IV. IMPACTS - *Are there indications that the project has contributed to sustainable livelihoods improvement and food security, as well as reduced environmental stress on local watersheds?*

- IV.1. Will the project achieve its objective that is to enhance the adaptive capacity of communities to make informed decisions about and adapt to climate change-driven hazards affecting both coastal and riverine communities in the North Coast and Islands Region of Papua New Guinea?
- IV.2. In particular, will the project improve the resilience towards occurrences of coastal and inland flooding events?

Future directions for the project

- IV.3. How could the project build on its apparent successes and learn from its weaknesses in order to enhance the potential for impact of ongoing and future initiatives?

V. SUSTAINABILITY - *To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?*

- V.1. Are sustainability issues adequately integrated in project formulation?
- V.2. Does the project adequately address financial and economic sustainability issues?
- V.3. Is there evidence that project partners will continue their activities beyond project support?
- V.4. Are laws, policies and frameworks being addressed through the project, in order to address sustainability of key initiatives and reforms?
- V.5. Is the capacity in place at the national and local levels adequate to ensure sustainability of results achieved to date?
- V.6. Does the project contribute to key building blocks for social and political sustainability?
- V.7. Are project activities and results being replicated elsewhere and/or scaled up?
- V.8. What are the main challenges that may hinder sustainability of efforts?

Future directions for the project

- V.9. Which areas/arrangements under the project show the strongest potential for lasting long-term results?
- V.10. What are the key challenges and obstacles to the sustainability of results of project initiatives that must be directly and quickly addressed?

Annex 6: Evaluation Mission Agenda

Tentative Programme for Mid-Term Evaluation for the Climate Change Adaptation Fund Project from 18 October to 31 October, 2015

Date	Participants	Activity
18 October	Jean Joseph Bellamy	Arrives in PNG
19 October	Jean Joseph, PMU and OCCD	Jean Joseph meets with PMU & OCCD (9am-11am)
	Jean Joseph, NARI	Meet with James Ernest NARI (1pm)
	Jean Joseph & Iki Peter	CEPA (3:30pm)
20 October	Jean Joseph, Kelly Makano & Jasmin Taera	Meet with NWS (9am)
	Jean Joseph, Kelly Makano & Jasmine Taera	DAL - (11am)
	Jean Joseph	OCCD (1pm-2:30pm)
	Jean Joseph, Kelly Makano & Jasmine Taera	Meet with NDC (3pm)
21 October	Jean Joseph and Iki Peter	Meet with World Bank (9am)
	Jean Joseph and Iki Peter	Meet with Treasury (10:30am) Did not meet
	Jean Joseph and Iki Peter	Meet With Department of National Planning (11:30am)
	Jean Joseph & Benedict Goiye	Travel to Madang (Afternoon Flight)
22 October	Jean Joseph and Benedict Goiye	Meet with Madang Provincial Administration and WWF, FPCD, WVI
23 October	Jean Joseph and Benedict Goiye	Travel to Pom (Morning Flight)
	Jean Joseph and Kelly	Meet with FPCD (9am)
	Jean Joseph and Kelly	Meet with DFAT (10:30am)
	Jean Joseph and Kelly	Meet with OCCD (11:30)
	Jean Joseph and Kelly	Meet With NDoH (1:30pm) Did not meet
	Jean Joseph and Kelly	Meet With World Vision (3pm)
25 October	Jean-Joseph & Kelly Makano	Travel to Kavieng (Afternoon Flight)
26 October	Jean Joseph & Kelly Makano	Meet with Kavieng Provincial Administration and WWF

27 October	Jean-Joseph & Kelly Makano	Travel to POM (Morning Flight)
	Jean Joseph and Peter Iki	Travel to Lae (Midday Flight)
28 October	Jean Joseph and Peter Iki	Meet with Morobe Provincial Administration
29 October	Jean Joseph and Peter Iki	Travel to POM (Morning Flight)
	Jean Joseph	Luanne Losi and Jacob Ekinya, Adaptation Division, OCCD 10:30am
	Jean Joseph	Sukhrob Khoshmukhamedov - Deputy Res Rep UNDP 12:30
	Jean Joseph	UNDP Programme Analyst Environment Gwen Maru (2:30pm)
30 October	Jean Joseph	Debriefing with OCCD and PMU (10:30am)
	Jean Joseph	Tele conference with Wewak (11:00am) Unsuccessful
	Jean Joseph	Tele conference with Popondetta (2:30am)
	Jean Joseph	Debriefing with UNDP Management
31 October	Jean Joseph, PMU & OCCD	Returns to Canada

Annex 7: List of People Interviewed

Mr. Anga Peter, Provincial Project Assistant, OCCD, Madang
Mr. Belonio Bonie, Technical Advisor, World Vision, POM
Mr. Bogan Kanelo, Project Officer, ADRA, Lae
Ms. Bogari-Ahai Emmajil, Adaptation and Projects Division, OCCD
Mr. Boguslawski Curt, Country Director, World Vision, POM
Mr. Bolo Jordan, Office Coordinator, Provincial Administration, Kavieng
Ms. Daniel Alex, Provincial Project Assistant, Kavieng
Mr. Ekinye Jacob, Director, Adaptation & Projects Division, OCCD
Mr. Ernest James, NARI
Mr. Fernandez Andres, UNDSS
Mr. Forepe Arthur, Project Assistant, OCCD, Lae
Mr. Gaudo Rabi Narayan, Interim Project Manager, UNDP
Mr. Geno Varage, Project Manager, ADRA, Kavieng
Mr. Goiye Benedict, Adaptation Officer, OCCD, Madang
Mr. Gomoga Jimmy, Assistant Director, Forecasting and Warning Center, NWS
Mr. Iki Peter, Adaptation Officer, OCCD
Ms. Jessica, Project Officer, ADRA, Lae
Mr. Kabin Esau, Provincial Administration Office, Environment and Climate Change, Kavieng
Mr. Kaupa Nige, DFAT, POM
Mr. Khoshmukhamedov Sukhrob, Deputy Resident Representative, UNDP PNG
Mr. Kiki Robin, Coordinator, Environment and Climate Change Provincial Office, Lae
Mr. Kupo Philippe, World Vision, Madang
Ms. Kuvovo Catherine, Administration Assistant, ADRA, Kavieng
Ms. Losi Luanne, Manager Projects, OCCD, POM
Mr. Lulug Ruben, Associate Area Program Manager, World Vision, Madang
Mr. Makano Kelly, Adaptation Officer, OCCD
Mr. Malaisa Eddie, Coordinator, Environment and Climate Change Provincial Office, Northern Province (phone interview)
Ms. Mandao Margaret, Senior Project Officer, ADRA, Lae
Ms. Maru Gwen, Environment and Energy Unit, UNDP PNG
Mr. Masange Charley, Director, Provincial Disaster and Emergency Services, Lae
Mr. Momgalle Rudolph, Provincial Climate Change and Disaster Coordinator, Madang
Ms. Nagai-Muriki Joycelyn, Project Associate Technical, UNDP
Mr. Ngond Michael, World Vision, Madang
Mr. Oa Stanley, Acting Chief Land Use Officer, Science and Technology Branch, DAL
Ms. Samuel Rebecca, WWF, Madang
Ms. Sapul Awnisah, WCS, Kavieng
Mr. Serawe Stewart, FPCD, POM
Ms. Simyunn Jasmine, Country Director, ADRA, Lae
Ms. Taera Jasmine, Project Officer, OCCD
Mr. Thanda Reichert, First Assistant Secretary, Infrastructure & Economic Division, Department of National Planning

Mr. Tobalbal Allan Oliver, Operations Officer, World Bank Group

Ms. Tsikula Fiona, Finance and Administration, UNDP

Mr. Viroobo Maino, Deputy Director, Policy and Planning, CEPA

Mr. Yaro Kafuri, WWF, Madang

_____, Security Officer, UNDSS

Met 45 people including 13 women and 32 men

Annex 8: Project Expected Results and Planned Activities

Intended Outcomes	Expected Outputs	Indicative Activities
Outcome 1 - Reduced exposure and increased adaptive capacity of coastal communities to flood-related risks and hazards in 8 communities and 3 cities of the 11 provinces of the North Coast and Islands Region.	Output 1.1: Coastal early warning systems established for observation, data collection and information management and dissemination in the North Coast and Islands Region	<p>1.1.1. Assess and map coastal flooding hazards with areas of major population as higher priority</p> <p>1.1.2. Train and equip the PNGNWS / NDC / Digicel with the necessary systems (weather stations, gauges, operations centers) and capacity.</p> <p>1.1.3. Establish a central database on coastal flooding hazards as basis for the monitoring of respective weather scenarios</p> <p>1.1.4. Train PNGNWS / NDC / Digicel in monitoring and analysis of weather data and especially the identification of indicators and scenarios relevant to triggering early warning messages and processes.</p> <p>1.1.5. Facilitate the integration of the operation and maintenance of the early warning systems under this programme (incl. the system under output 2.1.) in recurrent government allocations by 2014</p>
	Output 1.2: Coastal flood preparedness and response plan and systems established in the North Coast and Islands Region	<p>1.2.1. Develop a model disaster preparedness and response plans for coastal flooding in East Sepik Province and New Ireland Province</p> <p>1.2.2. Establish local flood management committees with clear communication channels to the provincial-level disaster coordination bodies (East Sepik & New Ireland Province)</p> <p>1.2.3. Expand the water storage and evacuation center facilities in East Sepik Province and New Ireland Province</p> <p>1.2.4. Facilitate the integration of the coastal flooding early warning system into the national and provincial DRM plans</p> <p>1.2.5. Provide cross-provincial training and support for the implementation of the provincial disaster preparedness and response plan and measures in the remaining provinces of the North Coast and Islands Region</p>
	Output 1.3: Support system for community-led mangrove reforestation and conservation projects	<p>1.3.1. Training of trainers for community leaders, CBOs, NGOs on best practices for mangrove reforestation and conservation (includes dissemination and application of mangrove toolkit in target sites and replication areas and nationally)</p> <p>1.3.2. Establish regional mangrove nurseries and conduct training and support centers to serve target sites and replication areas and commit resources for their operation beyond the life of the project</p> <p>1.3.3. Integrate mangrove reforestation and conservation in local development plans and formulation/signing of community mangrove forestry agreements/compacts (no separate budget allocation as this will be coordinated by the PMU)</p>
	Output 1.4: Integrated coastal adaptation measures implemented to protect 8 communities in East Sepik Province, Oro Province and New Ireland Province	<p>1.4.1. Adapt four coastal communities to coastal flooding in the context of land-use plans that will be prepared and through support to community-led best practice adaptation measures in the most affected areas of East Sepik Province, Oro Province and New Ireland Province</p> <p>1.4.2. Support for best practice adaptation measures in additional four communities of East Sepik Province, Oro Province and New Ireland Province</p> <p>1.4.3. Document/capture and develop trainings and implementation materials on best practice adaptation measures to coastal flooding in support of community-led initiatives</p>
Outcome 2 – Reduced	Output 2.1: Inland flooding	<p>2.1.1. Assess and map coastal flooding hazards with areas of major population as higher priority</p>

Intended Outcomes	Expected Outputs	Indicative Activities
<p>exposure and increased adaptive capacity of targeted 8 river communities of the 4 provinces.</p>	<p>early warning systems established for observation, data collection and information management and dissemination in the provinces of the North Coast and Islands Region</p>	<p>2.1.2. Train and equip the PNGNWS / NDC / Digicel with the necessary systems (weather stations, gauges, operations equipment) and capacity.</p> <p>2.1.3. Establish a central database on inland flooding hazards as basis for the monitoring of respective weather scenarios</p> <p>2.1.4. Train PNGNWS / NDC / Digicel in monitoring and analysis of weather data and especially the identification of indicators and scenarios relevant to triggering early warning messages and processes.</p>
	<p>Output 2.2: Inland flood preparedness and response plan and systems established in the North Coast provinces</p>	<p>2.2.1. Develop a model disaster preparedness and response plan for inland flooding in Oro Province</p> <p>2.2.2. Establish local flood management committees with clear communication channels to the provincial level disaster coordinators.</p> <p>2.2.3. Expand the water storage and evacuation center facilities in Oro Province.</p> <p>2.2.4. Facilitate the integration of the flood early warning system into the national and provincial DRM plans.</p> <p>2.2.5. Provide cross-provincial training and support for the implementation of the provincial disaster preparedness and response plan and measures in the remaining provinces of the North Coast</p>
	<p>Output 2.3: Integrated riverbank protection measures implemented to protect 8 communities in East Sepik Province, Oro Province and Morobe and Madang Provinces</p>	<p>2.3.1. Flood adapt four communities in the context of land-use plans that will be prepared and through support to community-led adaptation measures in the most affected areas of East Sepik Province, Oro Province and Morobe and Madang Provinces.</p> <p>2.3.2. Facilitate a cross-community learning exchange on the adaptation measures to inland flooding and their management with support of provincial authorities in the four provinces</p> <p>2.3.3. Support best practice adaptation measures in additional four communities of East Sepik Province, Oro Province and New Ireland Province</p> <p>2.3.4. Document/capture and develop trainings and implementation materials on best practice adaptation measures to inland flooding in support of community-led initiatives</p>
<p>Outcome 3 – Strengthened institutional capacity at national and sub-national level to integrate climate change related risks into sectoral policies and management practices with focus on flooding.</p>	<p>Output 3.1: Climate change related risks and resilience from coastal and inland flooding integrated into coastal zone management related policies, legal and planning frameworks at the national and sub-national levels</p>	<p>3.1.1. Comprehensive review of coastal zone management policies and related legal and planning frameworks and identification of climate change related gaps</p> <p>3.1.2. Coordinate the mainstreaming of climate change issues according to the needs identified in 3.1.1. and in accordance with the Climate Change Act (currently being developed).</p> <p>3.1.3. Train the Conservation and Environment Protection Authority (being established) with the focus on building capacity for identifying non-adherence to climate change related policies, laws and regulations as well as respective enforcement.</p> <p>3.1.4. Facilitate integrated development planning that aligns provincial, district and local level development plans through a regular exchange mechanism.</p> <p>3.1.5. Comprehensive technical review of the proposal on coastal infrastructure measures in Wewak with expert input</p>
	<p>Output 3.2: Policy makers and planners at the national, provincial and district offices, institutions and extension services systemically trained to implement climate-sensitive</p>	<p>3.2.1. Undertake a comprehensive training programme for provincial climate change officers</p> <p>3.2.2. Facilitate the utilization of funding mechanisms such as the infrastructure tax credit schemes available to communities through trainings and provincial workshops.</p> <p>3.2.3. Disseminate regular policy briefs to inform high level policy makers on climate change-related risk reduction and adaptation processes in support of the CCDS.</p>

Intended Outcomes	Expected Outputs	Indicative Activities
	policies and plans	3.2.4. Facilitate the inter-ministerial dialogue on climate change resilient development
Outcome 4 – Strengthened awareness and ownership of adaptation and climate change-related risk reduction processes at national and sub-national level.	Output 4.1: Lessons learned and best practices generated, captured and distributed to other communities, civil society, policy makers in government and globally through appropriate mechanisms	4.1.1. Develop best practice materials for community-led replication of adaptation measures 4.1.2. Establish a national web-based adaptation platform focused on support to community-level adaptation initiatives 4.1.3. Extract lessons learnt from the implementation of the programme and contribute to knowledge platforms including regional and international forums and meetings
	Output 4.2: Climate change awareness and education programmes carried out to build next generations' resilience to climate change	4.2.1. Facilitate national-level round-table discussions with community and NGO representatives, youth & women organizations as well as institutions and government agencies in the area of education. 4.2.2. Coordinate the integration of climate change and adaptation into school curricula and university programmes 4.2.3. Develop materials and guidance document for schools, teachers, trainers, village leaders and academics 4.2.4. Attract corporate social responsibility contributions and sponsorships for the continuation of activities and replication of successful community-based adaptation measures, including resources for the early warning systems' expansion and related activities

Source: Project Document

Annex 9: Results Tracker

Results Tracker presented in a separate file.

Annex 10: Audit Trail

Ref.	Comments	Responses
Throughout	Edits, Deletions, Additions, etc.	Addressed in the final report.
Concl. c)	In light of the acceleration of implementation, project may be considered moderately satisfactory – recognizing the shortcomings that existed but are being addressed since 2014	No change. The recent acceleration has been acknowledged in the report. However it is still too early to rate “actual results” as moderately satisfactory.
Concl. d)	<p>Important to note that although the project is a NIM project due to the peculiarity of PNG the project is implemented directly by UNDP (unlike a typical NIM implementation modality) which requires the staff to spend adequate time at UNDP to process payments, etc. Besides, there are issues with internet, backup power etc. at OCCD that affects the effective function of the PMU.</p> <p>It is also important to mention that the Director of the Adaptation division who is the NPM was suspended for a year that adversely affected the project implementation.</p>	Added the political turmoil – one year suspension of the Director
Concl. e)	I recall that the PSC in Nov/December 2013 discussed issues related to project management issues. Please check minutes	No change. Nothing mentioned in PSC minutes.
Concl. f)	Stakeholder engagement remains a challenge due to communication and accessibility issues (unreliable internet, phone connection), high travel costs etc.	No change. This is to be addressed through multiple recommendations made in the report.
Concl. i)	<p>It is also important to highlight the difficulties that includes high cost of travel (provinces are only accessible by air, high , cost of car renting, accommodation etc), unreliable communication (no internet, poor mobile network), bad roads etc. that adversely affect effective engagement with stakeholders.</p> <p>Is it possible to combine section g) and i) as it seems repetitive</p>	<p>No change. These conclusions are focusing on different aspects of the project. i) focuses on communication with stakeholders, which has not been effective and/or not enough.</p> <p>f) is stakeholder engagement that is related but slightly different. Also, here it is to state that there was a strong stakeholder engagement at the beginning but somehow it was not maintained.</p>
Rec. #3	<p>Is something like this already taking place?</p> <p>Bi-monthly meetings are held with OCCD to discuss program issues.</p>	Added the need for this recommended committee to produce minutes of meetings to document decision taken.
Rec. #4	<p>Indicated here that WWF is not very successful – recommendation here may be to expand on</p> <p>NGO implementation varies hence it would vary in the 5 provinces hence reconsider rewording this sentence</p>	<p>Changed the wording of last sentence to expand the work of those NGOs that have a good track record.</p> <p>Also the point here is mostly to say to the project: stop assessing and address existing issues.</p>
Rec. #5	What are the political challenges that may hinder this from happening? The intention of the project has always been to work with these committees, which is raised and discussed every year, but this is not happening	No change. Agree with the comment that this is a missed opportunity and it needs to be corrected.
Rec. #9	<p>Are there any recommendations from the communication strategy that can be indicated here as effective community-based communication tools?</p> <p>In the project, I understand what is commonly used so far is the billboards and drama group</p>	Added a footnote with the following explanation: The types of activities recommended in rec. #9 could be part of implementing the communication strategy. However, this strategy has also a larger vision that is to raise awareness about these issues. This rec. is to communicate basic information about the project in the provinces, to make it more known and create a better vision about what it is supposed to accomplish.
Rec. #10	The capacity assessment can be reviewed for qualitative indicators to be added.	Added a sentence saying that the cap. ass. Report did not focus on capacity-based indicators to measure the project

Ref.	Comments	Responses
		performance to reach its objective. It focused on assessing capacities of communities and based on these capacity needs identified capacity development activities for these communities.
Sec. 1.4	If this is the case, can the evaluator add how the ratings will change if project was to be extended	No change. At this stage it is too early to say where the project could be in 18 months. There are many conditions (most of the recommendations made in this report) to meet in order to provide a good project implementation framework and reach better results. In the meantime, if key stakeholders - particularly UNDP, OCCD and provincial authorities - get together, the project could still be successful. However, too early to say!
Table 1	If quantitative targets should be met, wouldn't the rating be moderately satisfactory – especially for Outcome 1 – 4?	Improved the paragraph. Most NGOs should meet their respective targets. However, despite this progress it is “too little too late” for the project to achieve its overall expected results. At this point, if the project would close as planned, it would not have achieved much in term of sustainable results. This is the basis of a time extension. To build on some achievements, it is expected that the project will be more effective and by focusing on addressing issues instead of assessing results should be achieved.
Para. #51	Also what about the institutional change at the national government level that is taking place in the past few years – i.e. OCCD to develop into agency, etc.?	No change. This is an important development that started during the formulation of this project. However, what seems to lack is the consideration of the decentralization process and the difficulties to work at the provincial and local level in PNG, including high cost, time consuming, difficulties to coordinate, etc.
Table 4	Time extension is needed to established a functional early warning system.	Added comments
	Should be yellow. During the evaluation we already hired a consultant to develop the plans.	Added “Very little exist at the provincial level on developing a comprehensive disaster preparedness and response plans for coastal flooding”.
	Should one of the recommendations be to revise this target?	No change. It depends on the extension or not and also on stakeholders views.
	ADRA is also working in New Ireland for mangrove related work	Added reference to ADRA work
	Indicate new findings regarding relevance or nurseries in some areas (mangroves being replanted without nurseries, etc) – is this validated?	No change. This area needs more government involvement to ensure sustainability of any results.
	Two plans will be completed by June 2016.	Added “Very little “trace” at the provincial level on developing a comprehensive disaster preparedness and response plans for inland flooding”. Developing a plan takes not only a consultant to draft a plan but first a provincial government willingness to launch such a plan and a planning process to development the plan. Currently not much is taking place at this level.
	What about the partnership / MoU with the mobile companies?	No change. Despite asking for updates on the plan to work with mobile companies, got no news about it during the mission.
Para. #60	Same comment indicated in section 2. To be discussed.	Change wording. Recent acceleration coupled with time extension should be translate into better development results.
Para. #62	Political / leadership change / institutional turmoil of	Add in paragraph #62

Ref.	Comments	Responses
	OCCD may be mentioned here as well if relevant	
Para. #63	Refer to comments in section 1	No change. These recommended activities could be part of implementing the communication strategy. However, this strategy has also a larger vision that is to raise awareness about these issues. Here the rec. is to communicate basic information about the project in the provinces, to make it more known and create a better vision about what it is supposed to accomplish.
Para. #65	The primary role of UNDP is to provide project oversight (both financial and technical) and not implementation. However, based on the NIM with CO support modality, based on the request from the Government of PNG, UNDP is also providing technical and operational services including – covering identification, sourcing and screening of ideas; feasibility assessment/due diligence review; development and preparation; implementation and reporting.	Added in report
Para. #66	To be made consistent with 1st part of the report.	Added a sentence at the end of the paragraph.
Para. #67	The PSC actually provide good guidance for follow-up implementation however this have not been followed through.	No change. Agree that it seems to have started well but no follow up thereafter.
Para. #67	UNDP made every effort to recruit Project Manager however no suitable candidates accepted the offer due to competition elsewhere thus UNDP decided to assign an existing staff to oversee as project manager and has been paid by the project to manage the project.	No change. The fact remains that the PSC was not effective in tackling this PM/PMU issue. No documentation can be found in minutes on these subjects.
Para. #68	This is also partially due to the turmoil / challenges of OCCD mandates and financial resources.	No change. No evidence was collected during the mission to ascertain this.
Para. #74	I think this is still happening and may serve as a platform to coordinate EWS efforts supported / designed through this project	No change. It may, it may not! But definitely a good approach to increase collaboration and coordination.
Para. #75	Is in relation to the change of national leadership / set up for climate change / adaptation?	No change. Mostly due to the fact that people in provinces and local levels have very limited knowledge about the project, what it is supposed to do, its vision, etc...
Table 6	This needs to be under 5% - please review figures in the CDRs... and PPRs.	No change. Information from CDRs was provided to the Evaluator as it is reported in the report.
Para. #84	The V&A is in partnership with World Vision PNG	No change. World Vision PNG is only a sub-contractor of the Belgium firm.
Para. #86	Can this be revised?	No change. It is based on the financial information received during the mission and based on CDRs.
Table 7	This info needs to be updated. Can this be calculated – i.e. staff time, etc? What about USD 500,000 from DFAT	No change. This information was not available. Added a paragraph below table 7.
Para. #97 (now 98)	Any indicators for capacity that can be extracted from the Capacity Development / Assessment?	No change. The Capacity Assessment was a (good!) review of existing capacities, particularly at provincial and local/village level and a plan to address capacity needs. It did not really focus on indicators to measure project performance.
Para. #121 (now 122)	Most of the lessons learned seem generic Should it be related to the recommendations? Is this an issue for this project? No gender indicators?	No change. There is no 1 to 1 relationship with recommendations. However, some lessons support some recommendations such as the need to focus more on provincial and local/village level is support by the first lesson on the state of decentralization, etc. No change. It is a lesson in a way that the fact that this design considered gender, it

Ref.	Comments	Responses
		ensured a good gender approach during the implementation.
	Same as above	No change. As reviewed in section 4.4, the prospect for the long-term sustainability of project achievements is good; however, more emphasis on scaling up would add more focus on long term results.
	Any lessons learned regarding the format?	Added a sentence in recommendation #11 to include a process to document results as part of the exit strategy.
	1. We note that one of the recommendations in the MTR is a project extension. Please note that it is not guaranteed that a project extension will be granted. There are new rules regarding project extensions and they are generally not allowed unless a strong case can be made that significant progress will be made in the final years of project implementation. The UNDP-GEF Executive Coordinator must approve all project extensions. We thought we will relay this information to you, and you may decide if they want to take this into account in the final report. If this recommendation remains in the final report, then you we include a comment in the management response as to whether we agree with the recommendation to extend the project, and the steps that will be followed to seek approval to extend the project.	The recommendation for a one-year time extension still stands. As described in the recommendation, the main justification would be <i>"A lot of valuable information has been produced so far but little use of this information has been made. In the coming months, this body of knowledge will also be increased with the outputs of the two ongoing assessments: vulnerability assessment in the 5 provinces and information needed to inform the design of a functional EWS. Closing the project in October 2016 would prevent the use of this information for implementing concrete actions to address impacts of coastal and riverine flooding in the 5 provinces, including planning activities but also flooding mitigation activities. A one-year extension would provide an opportunity to value this initial investment on assessments."</i>
	2. If the project is not extended by one year, would the evaluator make any different recommendations? The evaluator should consider if all the recommendations would apply to the project if there is no project extension, and in the case that there is a project extension	Some recommendations would be different but overall, the Evaluator found that a time extension was also assumed by most key stakeholders. It includes UNDP that recently contracted a European firm to conduct 2 extensive studies i) to assess the vulnerability of communities to climate risks and the related needs; and ii) to assess the status of EWS and emergency communication network for inland and coastal flooding and provide recommendations for improving such systems for a total amount of \$1,300,000. The value in these studies/assessments is only in follow up activities supported by the project; i.e. activities that should be conducted in 2016 and 2017. No time extension would "nullify" these assessments. This should also be part of a strong justification for a time extension.
	3. Following the recommendation for an exit strategy, what might the exit strategy focus on? What should be the priorities for this project? It is preferred if the evaluator expands on this recommendation.	At this stage it is difficult to detailed what an exit strategy should focus on. It depends on the progress that will be made between now and 6 months before the end of the project. It should include measures to have in place once the project withdraw its support such as government support to maintain the EWS in place, government planning procedures to support the development of comprehensive provincial and local disaster preparedness and response plans for coastal and inland flooding, etc.
	4. Table 7. Co-financing status should indicate the date to which the Actuals listed represent.	Added to October 2015.
	5. Acronyms should be expanded the first time they are used in the report.	Done.

Annex 11: Evaluation Report Clearance Form

EVALUATION REPORT CLEARANCE FORM

for the Mid-Term Evaluation Report of the UNDP-AF Project:

“Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of PNG”

(PIMS 4452)

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP RTA

Name: _____

Signature: _____ Date: _____