



***“Effective and responsive island-level governance to secure and diversify climate resilient marine- based coastal livelihoods and enhance climate hazard response capacity”***

## Terminal Evaluation DRAFT Report

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## List of Abbreviations and Acronyms

APR	Annual Progress Report
AU\$	Australian Dollar
AWP	Annual Work Plan
CCPDCU	Climate Change Policy and Disaster Coordination Unit
CDR	Combined Delivery Report (Atlas)
CSO	Civil Society Organization
CTA	Chief Technical Advisor
DAC	Development Assistance Committee
DOE	Department of Environment
DRD	Department of Rural Development
FAD	Fish Aggregating Devices
GEF	Global Environment Facility
HH	Household
ISP	Island Strategic Plan
LDC	Least Developed Countries
LDCF	Least Developed Countries Fund
LMMA	Locally Managed Marine Area
M&E	Monitoring and Evaluation
MMA	Managed Marine Area
MOFATTEL	Ministry of Foreign Affairs, Trade, Tourism, Environment and Labor
MPA	Marine Protected Area
MTR	Medium Term Review
NAPA	National Adaptation Programme of Action
NGO	Non-Governmental Organization
NIM	National Implementation Modality
NBSAP	National Biodiversity Strategy and Action Plan
NPC	National Project Coordinator
NZAP	New Zealand Aid Programme
OECD	Organization for Economic Co-operation and Development
O&M	Operation and Maintenance
PC	Project Coordinator
PIF	Project Identification Form
PIR	Project Implementation Report
PMU	Project Management Unit
PROP	Pacific Islands Regional Oceanscape Program
PPG	Project Preparation Grant
R2R	Ridge to Reef
RTA	Regional Technical Advisor
SDG	Sustainable Development Goal
SMART	Specific, Measurable, Attainable, Relevant and Time-bound
SPC	Pacific Community
TCAP	Tuvalu Coastal Adaptation Project
TE	Terminal Evaluation
TFD	Tuvalu Fisheries Department
TFSP	Tuvalu Fisheries Support Programme
TK II (III)	Te Kakeega II (III) (National Strategy for Sustainable Development)
TOR	Terms of Reference
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNFCCC	United Nations Framework Convention on Climate Change
USD	United States Dollar

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## DISCLAIMER

*This report is the work of an independent Evaluator and does not necessarily represent the views, or policies, or intentions of the United Nations Development Programme (UNDP) and/or of the Government of Tuvalu.*

# 1. Main Conclusions, Recommendations and Lessons<sup>1</sup>

## 1.1. Background - Introduction

This report presents the findings of the Terminal Evaluation (TE) of the UNDP-supported-GEF-Financed-Government of Tuvalu Project “*Effective and responsive island-level governance to secure and diversify climate resilient marine-based coastal livelihoods and enhance climate hazard response capacity*”. This TE was performed by an Evaluator - Mr. Jean-Joseph Bellamy - on behalf of UNDP.

**Table 1: Project Information Table**

<b>Project Title:</b>	<i>Effective and responsive island-level governance to secure and diversify climate resilient marine-based coastal livelihoods and enhance climate hazard response capacity</i>		
<b>UNDP Project ID (PIMS #):</b>	4571	<b>PIF Approval Date:</b>	December 23, 2011
<b>GEF Project ID (PMIS #):</b>	4714	<b>CEO Endorsement Date:</b>	June 10, 2013
<b>Atlas Project ID:</b>	00086021	<b>Project Document (ProDoc) Signature Date (date project began):</b>	August 30, 2013
<b>Country:</b>	Tuvalu	<b>Date Project Manager hired:</b>	October 2014
<b>Region:</b>	Asia and Pacific	<b>Inception Workshop date:</b>	May 20, 2014
<b>Focal Area:</b>	Climate Change Adaptation	<b>Midterm Review date:</b>	October 2017
<b>GEF-5 Strategic Program:</b>	CCA-1 CCA-2	<b>Planned closing date:</b>	August 30, 2017
<b>Trust Fund:</b>	GEF - LDCF	<b>If revised, proposed closing date:</b>	June 30, 2019
<b>Executing Agency:</b>	Department of the Environment, Ministry of Foreign Affairs, Environment, Trade, Labor and Tourism		
<b>Project Financing</b>	at CEO endorsement (USD)		at Completion (USD)
<b>(1) GEF financing:</b>	4,200,000		4,200,000
<b>(2) UNDP contribution:</b>	911,190		?
<b>(3) Government</b>	14,497,206		?
<b>(4) Other Partners</b>	4,430,484		?
<b>(5) Total co-financing [2+3+4]:</b>	19,838,880		?
<b>Project Total Cost [1+5]:</b>	24,038,880		?

Tuvalu is the fourth smallest nation in the world with a landmass of 25.9km<sup>2</sup> and 9,561 people scattered across nine inhabited islands spread across the central Pacific. The country's exclusive economic zone covers 900,000 km<sup>2</sup>. Much of the government revenues are derived from fishing license fees from foreign fishing vessels, 'dotTV' internet domain, and income from the Tuvalu Trust Fund.

The development challenges in Tuvalu can be grouped into three interrelated categories:

- *Marine resource dependence of outer island communities:* It is estimated that the subsistence food production as a percentage of household income for Tuvalu is 55% and that 90% of households in Tuvalu engage in subsistence harvesting of marine resources as an important part of their food source, which is well above the regional average. Yet, marine resources, both near-shore and in lagoons are declining;
- *Small size and remoteness of Tuvalu as a whole - and particularly its outer islands:* Outer island remoteness, and the small overall size of Tuvalu's population and physical size, has critical development implications. Extreme outer island isolation results in limited opportunities for viable economic activities and significant communication challenges;

<sup>1</sup> Conclusions and Recommendations are in Chapter 1 with a brief background section. It is structured as an Executive Summary but also a stand-alone section presenting the highlights of this final evaluation. It could be easily printed out separately for wider distribution. If translation is available, it is proposed to translate this chapter and include the translation version in this report.

- *Extreme physical exposure and sensitivity of Tuvalu's atolls:* The low-lying islands of Tuvalu rarely exceed three meters above mean sea level and have very poor soil conditions to support agricultural productions; placing increasing pressure on marine resources as a food source to outer island communities.

The viability of subsistence-based livelihoods in Tuvalu is likely to be undermined significantly by climate change. Tuvalu is one of the most vulnerable countries in the world to the impacts of climate change. Tuvalu's atolls are extremely exposed to projected sea-level rise, increases in the severity of cyclones, increases in ocean temperatures and ocean acidification. When combined with development challenges, the extremely high levels of vulnerability are likely to have severe long-term effects on the sustainable development of Tuvalu.

In addition to the development challenges, improving the resilience of island community livelihoods is also facing a set of barriers; they include:

- *Knowledge of and access to resilient marine-based livelihood options:* There is a significant knowledge gap with regards to realistic measures which outer island communities can implement to increase the resilience of marine-based livelihoods;
- *Awareness about climate risks and response measures:* Although it exists a certain level of general awareness among Tuvaluans about climate change, there is a limited knowledge about specific measures people can employ to increase the resilience or reduce vulnerability to the impacts of climate change;
- *Limited infrastructure for timely and accurate dissemination of imminent hydro-meteorological risks:* The ability to provide information on climate risks is hampered by the lack of reliable communication systems enabling effective early response; resulting in higher risks on human lives, but also on critical livelihood assets, which, once destroyed, have significant human development impacts;
- *Capacity for climate-resilient planning, budgeting and monitoring both at local and national levels:* Capacities within outer island administrations for facilitating participatory local development planning process is still underdeveloped, despite some progress made in recent years. The ability of outer island administrations to identify additional risks, such as increasing climate variability, set out proposed actions to address them, budget them and reflect them in their respective ISPs has not yet been developed or reflected in a set of tools available to them.

In 2006-2007 Tuvalu prepared its National Adaptation Programme of Action (NAPA). The process selected priority activities to address urgent and pressing needs arising from the adverse effects of climate change. Among the seven priority adaptation measures identified in this NAPA, this project (NAPA-2) has addressed three of them: (a) strengthening community-based conservation programmes on highly vulnerable near-shore marine ecosystems; (b) strengthening community disaster preparedness and response potential; and (c) adaptation to near-shore coastal shellfish fisheries resources and coral reef ecosystem productivity.

The objective of NAPA-2 has been to strengthen the resilience of island communities to climate change variability and risks through participatory island-level planning, budgeting and execution and community-led investments. It is to be achieved through the delivery of three expected outcomes:

- **Outcome 1:** Marine based coastal livelihoods of Tuvaluan outer islands made resilient to declining productivity induced by climate variability and change
- **Outcome 2:** Capacity of outer islands enhanced to respond to increasing/intensifying climate induced hydro-meteorological risks
- **Outcome 3:** Enhanced capacity of communities to access internal/external financing for community-based climate change adaptation through existing participatory development planning processes

This is a project supported by UNDP, GEF, and the Government of Tuvalu. It is funded by a grant from the GEF-LDCF of USD 4,200,000, a cash contribution of USD 62,176 from the government of Tuvalu, a parallel co-financing of USD 911,190 from UNDP and other in-kind contributions of USD 18,865,514 for a total financing of USD 24,038,880. The project started in June 2013 and its duration was 4 years but was extended to June 30, 2019. It is implemented under the "*National Implementation Modality (NIM)*" and the implementing partner is the Department of the Environment, Ministry of Foreign Affairs, Environment, Trade,

Labor and Tourism. Other implementing entities include the Ministry of Natural Resources (Department of Fisheries) for Outcome 1; and the Ministry of Home Affairs and Rural Development (Department of Rural Development) for Outcome 3.

This terminal evaluation report documents the achievements of the project and includes four chapters. Chapter 1 presents the main conclusions, recommendations and lessons; 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; and relevant annexes are found at the back end of the report.

## 1.2. Conclusions

### *Project Formulation*

#### **a) A good project document detailing a logical *Project Results Framework* with adequate management arrangements.**

The project document is well written and presents a clear implementation strategy for the project. There is a good logical “*chain of results*” – activities, outputs, outcomes, and objective - to reach the expected results. This project is a response to national priorities that were identified through the NAPA process, which was conducted during the period 2006-2007. This programme of actions identified seven priorities; three priorities were the object of the first NAPA-1 project, this project, NAPA-2, has been addressing 3 others of these priorities. It includes the needs for strengthening community based conservation programmes on highly vulnerable near-shore marine ecosystems; for adapting to climate change the near-shore coastal shellfish fisheries resources and coral reef ecosystem productivity; and for strengthening the community disaster preparedness and response potential. NAPA-2 was formulated on the basis of these needs and good management arrangements were identified. As a result, the project document reflects well what was needed and why and it is a direct response to national priorities. The implementation strategy formulated in the document has been used as a “*blueprint*” to guide the implementation of the project.

#### **b) Implementing such a project in a small island state comes with severe constraints and logistical challenges.**

Implementing a project like NAPA-2 in a small island state with outer islands presents a unique set of conditions and constraints for reaching out to island communities. Implementing NAPA-2 in Tuvalu presented two key risks: 1) *Severe local capacity constraints*: The limited number of government officers, compounded by frequent overseas travels that they engage in, poses a difficulty in ensuring continuity of support from relevant government agencies involved; 2) *Considerable logistical challenges related to travelling to, and communicating with, the Outer Islands*: When considering the distances between islands, the irregularity of government vessel travel, the lack of air or other transport options, and the considerable times (often weeks) required to be spent on each island as a result, it could cause the project to fail and leave outer island communities frustrated. This second risk was mitigated with the purchase of a dedicated vessel, capable of travelling to the outer islands through a predictable schedule managed by the project. It allowed the project to implement activities in the outer islands with access to a transportation system to transport the project team and procured goods to outer islands.

#### **c) This project is part of the GEF-LDCF strategy to support climate change adaptation actions in LDCs.**

NAPA-2 is not an isolated project but is part of a set of projects funded by GEF-LDCF to develop and implement National Adaptation Programmes of Actions (NAPAs). It provides a process for Least Developed Countries (LDCs) to identify priority activities that respond to their urgent and immediate needs to adapt to climate change. It is an initiative agreed under the UN Framework Convention on Climate Change (UNFCCC), at its Conference of the Parties in 2001 (COP-7). The aim of NAPAs is to build adaptive capacity in the most vulnerable countries. Tuvalu released its NAPA in May 2007 with 7 priorities; it developed its first NAPA project in 2008-2009 and its second NAPA-2 project in 2011-2013.



## ***Project Implementation***

### **d) The implementation of the project has been affected by delays in procuring goods and services.**

The project faced difficulties in procuring goods and services, which has affected its overall efficiency. Numerous administrative delays occurred during the lifetime of the project and affected the delivery of project activities/deliverables; though difficult and complex conditions to implement such a project in a small island state such as Tuvalu was recognized. Overall, the project enjoyed a good collaboration with all stakeholders with a good participative approach. The project implementation team used adaptive management to secure project deliverables while maintaining adherence to the overall project design and also to adapt to a constantly changing environment. External expertise and contractors were hired as needed to secure the implementation of activities. However, the various delays in procuring goods and services affected the implementation timeline.

### **e) Implementing a project in Tuvalu comes with high costs to transport goods and services to outer islands.**

The unique conditions for implementing a project in Tuvalu – a small island with dispersed outer islands – comes with relatively high costs. The only options to implement a project in outer islands – i.e. the need to regularly go to outer islands transporting project teams and procured goods - is either chartering a vessel (if one is available) or purchase a vessel. Based on the experience of the “*Tala Moana*”, the cost for a ten-day mission to visit three islands, with a three-day stay on each island is up to USD 50,000, depending the proximity of the islands visited. It is the “*cost of doing business*” in such a situation that is unique in this world and which needs to be taken into account when designing projects for such environment.

### **f) The project performance has been well monitored and measured using a good set of indicators and targets.**

The M&E approach – including its set of performance indicators – has provided the project with a good framework to measure its progress/performance. APR/PIRs were produced timely as well as quarterly progress reports. These reports are comprehensive reports providing good monitoring information and documenting the project’s progress year over year. The project has been well monitored and this information has been used to plan and implement day-to-day activities, including the need to adapt the implementation approach when corrective actions were needed.

## ***Project Results***

### **g) The project has been effective in delivering its expected results.**

NAPA-2 should meet most of its targets in June 2019. The project contributed “*to strengthen the resilience of island communities to climate change variability and risks through participatory island-level planning, budgeting and execution and community-led investments*”. It should have a long-term impact on the resilience of island communities in Tuvalu to climate variability and risks. NAPA-2 contributed to a greater resilience of marine-based coastal livelihoods, developed capacities of island communities to respond to climate induced hydro-meteorological risks, including the access to communication infrastructure for timely and accurate hydro-meteorological risks, and greater access to financing for community-based climate change adaptation actions. The project was able to achieve what it was intended to achieve in the planned timeframe.

However, due to management and administrative challenges of implementing a project in a small island state such as Tuvalu, delays occurred in procuring goods and services to the project. It resulted in delaying some activities such as the installation of FADs in outer islands and the installation of the aquaponic system, which have not taken place yet. In both cases, NAPA-2 already made the investments; however, with an expected late installation of FADs, capacities to operate and maintain these FADs may not be adequate for the long-term sustainability of these activities. Additionally, due to a shortage of LDCF funds, the support to fishers to use traditional canoes for accessing near-shore and oceanic resources with a lower cost than with powered boats, and with FADs providing the fishing grounds for canoes will not be implemented by NAPA-2. Negotiations are under way with the government and other projects such as R2R, TCAP and PROP to fund this activity in the near future.

#### **h) Three critical success factors contributed to this effectiveness.**

Three critical success factors contributed to the effectiveness of NAPA-2: (i) the project was well designed, responding to clear national priorities aligned with *Te Kakeeg II*, the national strategy for sustainable development for Tuvalu, which resulted in a good engagement and participation of stakeholders. NAPA-2 supported activities became part of the government instruments to implement its sustainable development strategy; (ii) the project enjoyed a strong engagement of government departments; particularly TFD, DRD and the Met Office. They played a key role to implement the respective activities under each outcome. It also contributed to an early institutionalization of results; and (iii) a good flexibility in allocating project resources and implementing activities to be able to respond to stakeholders needs while maintain adherence to the overall project design.

#### **i) The project has been very relevant for Tuvalu by addressing key national priorities.**

The project was very relevant for Tuvalu. Its timing was good; it provided the government with financial resources to strengthen the resilience of island communities to climate variability and risks. The project was formulated on the basis of a good contextual review and consultations with stakeholders, which resulted in a project document that has guided the implementation of the project. The project concept emerged from national priorities, which were published in 2007 through NAPA and which are part of the government strategy to implement TK III, particularly to facilitate the development of outer islands. The result is a very relevant project, which has been a direct response to national prioritized needs. The participative process to design and implement the project also contributed to a strong stakeholder ownership and made this project all the more relevant.

#### ***Sustainability***

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

For the most part, project achievements are already well institutionalized within the departments engaged in implementing the project (DOE, TFD, Met Office and DRD). In addition, the good participation of stakeholders throughout the implementation of the project led to a good ownership of results achieved by the project; which will contribute to the long-term sustainability of these achievements. The techniques to increase the resilience of coastal communities have been well accepted by outer island communities. The Met Office is the custodian of the communication infrastructure and the operating procedures financed by NAPA-2 and the revised ISPs for outer islands are “owned” by each Kaupules and financed projects are implemented by them as well. Overall, there are good indications that achievements of NAPA-2 will be sustained over the long-term.

The only risk to sustainability of project achievements is linked to the funding of adaptation actions identified within the implementation of ISPs on each outer island. Currently, 8 actions are underway and were financed; however, more of these actions should be developed in the near future and it will be critical for these outer island communities to access the necessary funding. A second risk is linked to the operation and maintenance of the vessel “*Tala Moana*”. It is a necessary transportation system to work in outer islands; however, the cost of running and maintaining such a vessel is high and the government may face difficulties to ensure its cost recovery approach by chartering the vessel. The cost of a ten-day mission to visit three islands could be up to USD 50,000, depending the proximity of the islands visited.

### **1.3. Recommendations**

Based on the findings of this terminal evaluation, the following recommendations are suggested.

**Recommendation 1: It is recommended to develop a “Roadmap for the Way Forward”.**

#### ***Issue to Address***

NAPA-2 will be completed in the coming months. Yet some activities are still on-going such as the installation of FADs and the aquaponic system. Additionally, communication infrastructure was installed on all 9 islands; capacities of coastal communities in outer islands were developed to improve their resilience to climate

variability and risks; and finally, the capacities of Kaupules and local communities to develop their own sustainable development plans were developed. Despite that the project is ending, all these activities will not stop, and expectations were raised for improving the overall resilience of these communities. It is recommended to formulate a brief “*Roadmap for the Way Forward*”, detailing what needs to be done, when, how and who. This brief roadmap will contribute to ensure the long-term sustainability of NAPA-2 achievements and provide useful information for the future directions/needs in outer islands.

**Recommendation 2: It is recommended to search for alternative means of financial support to implement the “canoe building” activity.**

***Issue to Address***

Due to a shortage of LDCF funds, the support to fishers to use traditional canoes for accessing near-shore and oceanic resources with a lower cost than with powered boats, and with FADs providing the fishing grounds for canoes will not be implemented by NAPA-2. This activity was in response to the fact that fewer and fewer outer island households have access to traditional raw materials (shortage of logs) and traditional knowledge for canoe-building. The plan was to build 10 canoes per island and hoping that over the long-term, this activity will expand using locally available materials and skill built among community members. The project would have drawn lessons from other countries in the region such as PNG and Kiribati and seek to merge old and new materials and technologies to ensure that dwindling tree resources are preserved and that the most efficient designs would be available to fishers to use. It is recommended that UNDP and the government of Tuvalu search for financial support to implement this important activity, which is also expected by the outer island communities.

**Recommendation 3: It is recommended to conduct a planning exercise of GEF-7 resources.**

***Issue to Address***

GEF-7 was launched in July 2018. The initial GEF-7 STAR country allocation for Tuvalu is a total of USD 6M, including \$1.5M for climate change, \$3M for biodiversity, and \$1.5M for land degradation with the flexibility to program its allocations across the three focal areas. As one year passed already, it is recommended for UNDP and the government of Tuvalu to conduct a planning exercise of GEF-7 resources and use the GEF programming strategy on adaptation to climate change for the LDCF and the SCCF for the period July 2018 to June 2022<sup>2</sup> as background information. It should start with the identification of project ideas based on lessons learned from NAPA-2 project and other projects. Areas of interest could include sustainable management of fisheries, sustainable management of MMAs-MPAs, sustainable livelihood of fishing communities in outer islands, disaster preparedness, and local sustainable development planning in outer islands.

**Recommendation 4: It is recommended to conduct a social acceptance study of soil-less food production systems.**

***Issue to Address***

NAPA-1 focused on promoting home gardening and NAPA-2 was, initially, to demonstrate community-based adaptation measures focusing on near-shore cage farming, in-land spawning and aquaculture, reaching 18 villages and benefiting at least 400 households. In this area, the design of NAPA-2 project evolved to be concluded with the demonstration of one aquaponic system located in a school on Vaitupu island. This aquaponic system was purchased by NAPA-2; it is now waiting to be installed at the Port in Funafuti. As a result, no demonstration has taken place so far under NAPA-2. However, in addition to the need to test the technical feasibility of such food production systems, it is recommended to conduct a social acceptance study to assess how such systems (soil-less) would be accepted in Tuvalu. It should include not only aquaponic but all soil-less systems such as hydroponic and aeroponic systems and also review the home garden initiative and results implemented by NAPA-1 in outer islands.

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<sup>2</sup> GEF, June 26, 2018, *GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund and the Special Climate Change Fund and Operational Improvements - July 2018 To June 2022*

**Recommendation 5: It is recommended to make NAPA-2 knowledge, lessons learned and best practices available to all development actors in Tuvalu, including other development projects.**

*Issue to Address*

Over the years of implementation, NAPA-2 has accumulated a large amount of knowledge, learned lessons and identified best practices. The project will close in a few weeks. As much as possible, it is recommended that the information that could be useful for other projects and for government departments be rendered accessible. It includes survey results, data from the vulnerability and capacity assessments (VCAs) conducted in outer islands as part of strengthening the ISPs, community integrated management and monitoring plan for each outer island, etc. An inventory list the information available is recommended at a minimum.

#### **1.4. Lessons Learnt**

Several lessons learned are presented below. There are based on the review of project documents, interviews with key informants and analysis of the information collected for this evaluation:

- Implementing development projects in small island states such as Tuvalu come with severe constraints and logistical challenges and is costly. The cost for a ten-day mission to visit three outer islands could be up to USD 50,000, depending the proximity of the visited islands. It is the “*cost of doing business*” in such a unique situation, which needs to be taken into account when designing projects for such context.
- The availability of a vessel to transport project teams, experts and, when needed, goods is a critical success factor for implementing development projects in small island states. This is the only option for reaching out to outer island communities. It confirms the call made at the 2014 International Conference on Small Islands Developing States (SIDS) for investment in increased inter-island connectivity as essential for attaining sustainable development.
- A project that is a response to national needs and priorities is often very relevant for stakeholders and beneficiaries and its chance of being implemented effectively are maximized.
- A good assessment of needs and priorities of targeted beneficiaries facilitates the implementation of interventions. It provides a response to national priorities and lead to realistic solutions well adapted to the local context. It ensures a greater "ownership" of these interventions by the beneficiaries and by extension a greater chance for the long-term sustainability of these achievements.
- Flexibility is a necessary management mechanism when implementing a project. It allows to better respond to beneficiaries' needs and priorities and align the implementation of activities in an efficient way. It provides the project with the capacity to adapt to changes, including disruptive events and yet keep its overall efficiency and effectiveness. It also allows the flexibility to share additional sources of funding if available and align procedures and agendas with other Partners.
- 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 (log-frame) and of the monitoring framework, mainstreaming gender considerations becomes part of the implementation of the project as well as part of reporting project progress.
- A project of this nature implemented successfully provides a lot of lessons and best practices that are important to document. Conducting a technical review of such project near its end would be an excellent way to document/detail the achievements of the project. It would provide a body of knowledge - approaches, methodologies, lessons learned and best practices - that should be made available and used worldwide.

## 1.5. TE Ratings and Achievement Summary Table

Below is the rating table as requested in the TORs. It includes the required performance criteria rated as per the rating scales presented in Annex 9 of this report. Supportive information is also provided throughout this report in the respective sections.

**Table 2:** TE Ratings and Achievement Summary Table

<b>Evaluation Ratings:</b>			
<b>1. Monitoring and Evaluation</b>	<i>Rating</i>	<b>2. IA&amp; EA Execution</b>	<i>Rating</i>
M&E design at entry	S	Quality of UNDP Implementation	S
M&E Plan Implementation	S	Quality of Execution - Executing Agency	S
Overall quality of M&E	S	Overall quality of Implementation / Execution	S
<b>3. Assessment of Outcomes</b>	<i>Rating</i>	<b>4. Sustainability</b>	<i>Rating</i>
Relevance	R	Financial resources	ML
Effectiveness	S	Socio-political	L
Efficiency	MS	Institutional framework and governance	L
Overall Project Outcome Rating	S	Environmental	L
		Overall likelihood of sustainability	L

## 2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT<sup>3</sup>

1. Tuvalu is the fourth smallest nation in the world with a landmass of 25.9km<sup>2</sup> and 9,561 people scattered across nine inhabited islands spread across the central Pacific. The country's exclusive economic zone covers 900,000 km<sup>2</sup>. Distance from international markets, remoteness of the islands-country, the size of the country and of the economy which is extremely vulnerable to external shocks, and limited natural resource base all contribute to the development challenges that Tuvalu faces. Much of the government revenues are derived from fishing license fees from foreign fishing vessels, 'dotTV' internet domain, and income from the Tuvalu Trust Fund.

2. Following the impact of the global economic crisis, it is estimated that the GDP growth in 2009 and 2010 was no more than 1.0%. It inevitably led to heavy dependence on subsistence for main livelihoods, exploiting extremely poor soils and/or abundant marine resources but also contributed to a persistent level of poverty and an increasing level of inequality. As a response, the government, through its national sustainable development strategy - *Te Kakeega II (TK-II)* - focuses on strengthening local governance in the outer islands and improving service delivery in order to achieve equitable and sustainable economic growth.

3. However, the viability of subsistence-based livelihoods in Tuvalu is likely to be undermined significantly by climate change. The available climate science indicates a major shift in marine ecosystems, on which Tuvaluans' livelihoods heavily depend, and an increase in intensity of tropical cyclones, which have been an important factor historically that has caused significant damages to infrastructure and livelihood assets and setbacks to development gains.

4. Tuvalu is one of the most vulnerable countries in the world to the impacts of climate change. Tuvalu's atolls are extremely exposed to projected sea-level rise, increases in the severity of cyclones, increases in ocean temperatures and ocean acidification. When combined with considerable development challenges, a narrow resource base economy and chronic capacity constraints, the extremely high levels of vulnerability are likely to have severe long-term effects on sustainable development and achievement of the SDGs in Tuvalu.

5. The development challenges in Tuvalu can be grouped into three interrelated categories:

- *Marine resource dependence of outer island communities:* It is estimated that the subsistence food production as a percentage of household income for Tuvalu is 55% and that 90% of households in Tuvalu engage in subsistence harvesting of marine resources as an important part of their food source, which is well above the regional average. Yet, marine resources, both near-shore and in lagoons are declining;
- *Small size and remoteness of Tuvalu as a whole - and particularly its outer islands:* Outer island remoteness, and the small overall size of Tuvalu's population and physical size, has critical development implications. Extreme outer island isolation results in limited opportunities for viable economic activities and significant communication challenges;
- *Extreme physical exposure and sensitivity of Tuvalu's atolls:* The low-lying islands of Tuvalu rarely exceed three meters above mean sea level and have very poor soil conditions to support agricultural productions; placing increasing pressure on marine resources as a food source to outer island communities. It makes Tuvalu highly vulnerable to extreme weather events, particularly to tropical cyclones.

6. As described in the national development strategy (TK-II), the key to sustainable and climate-resilient development in Tuvalu is to strengthen outer island administrations (i.e. *Kaupules*) through a more outer-island community participative planning process, resulting in Island Strategy Plans (ISP) addressing locally-specific development priorities. However, a set of barriers exist when addressing the above development challenges; they include:

- *Knowledge of and access to resilient marine-based livelihood options:* There is a significant knowledge gap with regards to realistic measures which outer island communities can implement to increase the resilience of marine-based livelihoods;

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<sup>3</sup> Information in this section has been summarized from the project document.

- *Awareness about climate risks and response measures:* Although it exists a certain level of general awareness among Tuvaluans about climate change, there is a limited knowledge about specific measures people can employ to increase the resilience or reduce vulnerability to the impacts of climate change;
- *Limited infrastructure for timely and accurate dissemination of imminent hydro-meteorological risks:* The ability to provide information on climate risks is hampered by the lack of reliable communication systems enabling effective early response; resulting in higher risks on human lives, but also on critical livelihood assets, which once destroyed have significant human development impacts;
- *Capacity for climate-resilient planning, budgeting and monitoring both at local and national levels:* Capacities within outer island administrations for facilitating participatory local development planning process is still underdeveloped, despite some progress made in recent years. The ability of outer island administrations to identify additional risks, such as increasing climate variability, set out proposed actions to address them, budget them and reflect them in their respective ISPs has not yet been developed or reflected in a set of tools available to them.

7. In 2006-2007 Tuvalu prepared its National Adaptation Programme of Action (NAPA). The process selected priority activities to address urgent and pressing needs arising from the adverse effects of climate change. Among the seven priority adaptation measures identified in this NAPA, this project has addressed three of them: (a) strengthening community-based conservation programmes on highly vulnerable near-shore marine ecosystems; (b) strengthening community disaster preparedness and response potential; and (c) adaptation to near-shore coastal shellfish fisheries resources and coral reef ecosystem productivity.

8. The objective of the project has been to strengthen the resilience of island communities to climate change variability and risks through participatory island-level planning, budgeting and execution and community-led investments. It is to be achieved through the delivery of three expected outcomes (*see more detailed about the project strategy in Annex 1*):

- **Outcome 1:** Marine based coastal livelihoods of Tuvaluan outer islands made resilient to declining productivity induced by climate variability and change
- **Outcome 2:** Capacity of outer islands enhanced to respond to increasing/intensifying climate induced hydro-meteorological risks
- **Outcome 3:** Enhanced capacity of communities to access internal/external financing for community-based climate change adaptation through existing participatory development planning processes

9. This is a project supported by UNDP, GEF, and the Government of Tuvalu. It is funded by a grant from the GEF-LDCF of USD 4,200,000, a cash contribution of USD 62,176 from the government of Tuvalu, a parallel co-financing of USD 911,190 from UNDP and other in-kind contributions of USD 18,865,514 for a total financing of USD 24,038,880. The project started in June 2013 and its duration was 4 years but was extended to June 30, 2019. It is implemented under the "*National Implementation Modality (NIM)*".

10. The implementing partner is the Department of the Environment, Ministry of Foreign Affairs, Environment, Trade, Labor and Tourism. Other implementing entities include the Ministry of Natural Resources (Department of Fisheries) for Outcome 1; and the Ministry of Home Affairs and Rural Development (Department of Rural Development) for Outcome 3.

11. Other stakeholders identified at the outset of the project include:

- Department of Fisheries
- Department of Environment
- Department of Rural Development
- Disaster Management Office
- Meteorological Services
- Kaupule and Fisher's association in each island
- Island Disaster management Committees (DMC)
- Kaupule staff on each outer island
- Falekaupule Trust Fund in Funafuti

- Radio Tuvalu on Funafuti
- Islands Communities
- Island representatives in Funafuti
- NGOs
- Oceanic/Coastal Fisheries Division of SPC
- SOPAC Division of SPC
- Fisheries Advisor of the New Zealand Aid Programme (NZAP)

12. The project has been monitored with a set of 9 performance indicators aligned with the LDCF Adaptation Monitorign and Assessment Tool (AMAT) and a set of 11 targets. There are SMART indicators, which were used to measure the performance of the project over time.

### 3. EVALUATION FRAMEWORK

13. This terminal evaluation - a requirement of UNDP and GEF procedures - has been initiated by UNDP Pacific Office in Fiji, the Commissioning Unit and the GEF Implementing Agency for this project. This evaluation provides an in-depth assessment of project achievements and progress towards its objective and outcomes and recommendations for other similar UNDP-supported and GEF-financed projects in the region and worldwide.

#### 3.1. Objectives

14. The objective of this Terminal Evaluation (TE) is to promote accountability and transparency, to assess and disclose the extent of project accomplishments against the expected objective and outcomes and how they contribute to the achievements of GEF strategic objectives aimed at global environmental benefits, to draw lessons that can both improve the sustainability of benefits from this project and aid in the overall enhancement of future UNDP programming.

#### 3.2. Scope

15. As indicated in the TORs (*see Annex 2*), the scope of this TE was to conduct an assessment of achievements of project results and the extent to which the project has successfully carried out adaptive management, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of future UNDP programming. The Evaluator framed the evaluation effort using the evaluation criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined and explained in the *UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects*. Under each of these criteria, evaluation questions were identified and compiled in an evaluation matrix (*see Annex 3*).

16. The scope of this evaluation is divided into three parts in accordance with the TORs and the UNDP guidance for conducting TE of GEF financed projects. A summary of the scope of this TE is presented below:

##### I. Project Design and Formulation:

- Review the problem addressed by the project and the underlying assumptions;
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results;
- Review how the project addresses country priorities.
- Review country ownership;
- Review decision-making processes;
- Review the extent to which relevant gender issues were raised in the project design;
- Undertake a critical analysis of the project's log-frame indicators and targets;
- Review the project's objectives and outcomes/components and how feasible they can be reached within the project's time frame;
- Assess how gender aspects are integrated into the project design;
- Review UNDP comparative advantage.



## II. Project Implementation

- Review how adaptive management was implemented during the implementation of the project;
- Review overall effectiveness of project management as outlined in the project document;
- Review the quality of execution of the Executing Agency/Implementing Partner(s);
- Review any delays in project start-up and implementation;
- Review how Results-Based Management is being implemented
- Examine the use of the project's results framework/ log-frame as a management tool.
- Consider the financial management of the project, including cost-effectiveness;
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions;
- Review the decision-making processes to align financing priorities and annual work plans?
- Review the monitoring tools currently being used and the project progress reporting function;
- Review project partnerships arrangements;
- Review stakeholders' participation and country-driven project implementation processes;
- Review project communications.

## III. Project Results

- Review the progress made against the log-frame indicators and the end-of-project targets;
- Assess the stakeholders' ownership of project achievements;
- Compare and analyze the GEF Tracking Tool at the Baseline with the one completed at the time of TE;
- Identify remaining barriers to achieving the project objective in the remainder of the project;
- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date;
- Assess risks to sustainability in term of financial risks, socio-economic risks, institutional framework and governance risks, and environmental risks.
- Review and possibly identify ways in which the project can further expand its achievements.

### 3.3. Methodology

17. The methodology that was used to conduct this TE complies with international criteria and professional norms and standards; including the norms and standards adopted by the UN Evaluation Group (UNEG) and the *Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects*.

#### 3.3.1. Overall Approach

18. The evaluation was conducted in accordance with the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP "*Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects*", and the UNEG Standards and Norms for Evaluation in the UN System. The evaluation was undertaken in-line with GEF principles which are: *independence, impartiality, transparency, disclosure, ethical, partnership, competencies/capacities, credibility and utility*. The process promoted accountability for the achievement of project objective and outcomes and promoted learning, feedback and knowledge sharing on results and lessons learned among the GEF and its Partners.

19. The evaluation adopted a *Utilization Focused Evaluation (UFE)*<sup>4</sup> approach, which was predicated on maximizing the practical value of the evaluation to project stakeholders. The TE was planned and conducted in ways that enhanced the likely utilization of both the findings and of the process itself to inform decisions and improve performance of the project. Using this approach, the Evaluator did not make decisions independently of the intended users, but he rather facilitated decision making amongst the people who will use the findings of the terminal evaluation.

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4 [http://www.betterevaluation.org/en/plan/approach/utilization\\_focused\\_evaluation](http://www.betterevaluation.org/en/plan/approach/utilization_focused_evaluation)

20. The Evaluator developed evaluation tools in accordance with UNDP and GEF policies and guidelines to ensure an effective project evaluation. The evaluation was conducted, and findings were structured around the GEF five major evaluation criteria; which are also the five internationally accepted evaluation criteria set out by the Development Assistance Committee (DAC) of the Organization for Economic Co-operation and Development (OECD). 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.
- *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.

21. In addition to the UNDP and GEF guidance for evaluating projects, the Evaluator applied to this mandate his knowledge of evaluation methodologies and approaches and his expertise in environmental management, including the application of multilateral environmental agreements in national environmental frameworks. He also applied several methodological principles such as (i) *Validity of information*: multiple measures and sources were sought out to ensure that the results are 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; and (iii) *Respect and anonymity*: All participants had the right to provide information in confidence.

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

**Table 3: Steps Used to Conduct the Evaluation**

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

23. Finally, the Evaluator signed and applied the “*Code of Conduct*” for Evaluation Consultants (*see Annex 4*). The Evaluator Team conducted evaluation activities, which were *independent, impartial* and *rigorous*. This TE clearly contributed to learning and accountability and the Evaluator had personal and professional integrity and was guided by propriety in the conduct of its business.

### **3.3.2. Evaluation Instruments**

24. The evaluation provides evidence-based information that is *credible, reliable* and *useful*. Information was mined from project documents, as secondary information, and as primary information obtained through data-gathering activities conducted for this evaluation; most prominently key informant interviews and site visits. Using several evaluation tools and gathering information from different types of stakeholders at different levels of management, the information collected was triangulated<sup>5</sup> through the concept of “*multiple*

<sup>5</sup> *Triangulation*: The use of three or more theories, sources or types of information to verify and substantiate an assessment. By combining multiple data sources, methods, analyses or theories, evaluators seek to overcome the bias that inevitably comes from single informants, single methods, single observations or single theories. (DFID, *Guidance on Evaluation and Review for DFID Staff*, London. 2005)

*lines of evidence*”, which validated the findings. 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 TORs, 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 provides 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 Tuvalu and in Canada (home office). In addition to be a main source of information, documents were also used as preparation for the mission of the Evaluator in Tuvalu. 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 to be reviewed was completed during the mission (*see Annex 5*).

**Interview Protocol:** Based on the evaluation matrix, an interview protocol was developed (*see Annex 6*) 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 Tuvalu was developed during the preparatory phase (*see Annex 7*). The list of stakeholders to be interviewed was reviewed, ensuring it represents all project stakeholders and beneficiaries. 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 and beneficiaries’ views during the limited time allocated to the mission.

**Key Informant Interviews:** Stakeholders were interviewed, ensuring that a proper balance of men and women be selected (*see Annex 8*). The semi-structured interviews were conducted using the interview protocol 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 evaluation report.

**Field Visits:** As per the TORs, visits to project sites were conducted during the mission of the Evaluator in Tuvalu. It ensured that the Evaluator has direct primary sources of information from the field and project end-users (beneficiaries). It gave opportunities to the Evaluator to observe project achievements and obtain views from stakeholders and beneficiaries at the sites level.

**Achievement Rating:** The Evaluator rated project achievements using the “*TE Ratings*” 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 (*see Annex 9*).

### **3.4. Evaluation Users**

25. This TE, initiated by UNDP Pacific Office, provides Project Implementing Partner Managers and UNDP-Pacific Office with strategy and policy options for more effectively and efficiently replicating/scaling-up successful initiatives of the project or for filling gaps not covered by the project. It also provides the basis for learning and accountability for these managers.

### **3.5. Evaluation Output**

26. This terminal evaluation report documents the achievements of the project. It starts with an executive summary and includes four chapters. Chapter 1 presents an overview of the project; chapter 2 briefly describes the objective, scope, methodology, evaluation users and limitations of the evaluation; chapter 3 presents the findings of the evaluation; and chapter 4 presents the main conclusions, recommendations and lessons learned. Relevant annexes are found at the back end of the report.

### **3.6. Limitations and Constraints**

27. The approach for this terminal evaluation was based on a planned level of effort of 32 days. It comprised a two-week mission to Fiji/Tuvalu to interview key stakeholders, collect evaluative evidence; including visits to project sites where the project support activities. The original plan for the two-week mission to Fiji/Tuvalu

included a few days to go to two outer islands (Nukufetau and Vaitupu) by boat. However, due to bad weather conditions during the stay of the Evaluator in Funafuti (proximity of cyclone Pola), these visits to outer islands were not possible and had to be cancelled. In order to compensate for this lack of primary observations of project results and interviews of communities on outer islands, the Evaluator expanded its reach to all consultants who worked on the project to particularly maximize the collection of data on activities implemented by the project on outer islands.

28. Nevertheless, within the context of these resources, the Evaluator was able to conduct a detailed assessment of actual results against expected results and successfully ascertains whether the project met 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 made recommendations for reinforcing the long-term sustainability of project achievements.

## 4. EVALUATION FINDINGS

29. This section presents the findings of this TE adhering to the basic structure proposed in the TORs and as reflected in the UNDP project evaluation guidance.

### 4.1. Project Formulation

30. This section discusses the assessment of the formulation of the project, its overall design and strategy in the context of Tuvalu.

#### 4.1.1. Analysis of Project Results Framework

31. The *Project Results Framework* identified during the design phase of this project presents a good and clear set of expected results. No changes were made to the *Project Results Framework* during the inception phase. The review of the objective and outcomes indicates a good logical “*chain of results*” – Activities → Outputs → Outcomes → Objective. Project resources have been used to implement planned activities to reach a set of expected outputs (8), which contributed in achieving a set of expected outcomes (3), which together contributed in achieving the overall objective of the project. This *Project Results Framework* also includes - for the objective and each outcome - a set of indicators with baseline and target values to be achieved by the end of the project. These indicators and targets have been used to monitor the performance of the project.

32. As presented in section 2 above, this project - called NAPA-2 - was developed as a follow up project to a first project – NAPA-1 – to address 3 priorities identified in the National Adaptation Programme of Action (NAPA). This programme of action, which was published in May 2007 included 7 priorities; NAPA-1 addressed 3 priorities and NAPA-2 has been addressing 3 additional priorities<sup>6</sup>. The objective of NAPA-2 is to strengthen the resilience of island communities to climate change variability and risks through participatory island-level planning, budgeting and execution and community-led investments. The project has been addressing locally-specific development priorities, which is in-line with the national strategy for sustainable development 2016-2020 (Te Kakeega III – TKIII). It is also a response to address some existing barriers hampering the development of outer islands. These barriers include: a) Knowledge of and access to resilient marine-based livelihood options; b) Awareness about climate risks and response measures; c) Limited infrastructure for timely and accurate dissemination of imminent hydro-meteorological risks; and d) Capacity for climate-resilient planning, budgeting and monitoring both at local and national levels.

33. The logic model of the project presented in the *Project Results Framework* is summarized in table 4 below. It includes one objective, three outcomes and eight outputs. For each expected outcome and the objective, targets to be achieved at the end of the project were identified.

**Table 4: Project Logic Model**

Expected Results	Targets at End of Project
<b>Project Objective:</b> Resilience of island communities to climate change variability and risks is strengthened through participatory island-level planning, budgeting and execution and community-led investments.	<ul style="list-style-type: none"> <li>● By the end of the Project at least 40% of the targeted households adopted at least one form of traditional resilient marine livelihood methods (including canoe building, traditional fishing methods, postharvest fish processing, or aquaculture)</li> <li>● 95% of Tuvaluan receives early warning in a timely manner using one of the multiple communication lines</li> <li>● By the end of the project at least eight adaptation priority actions (one in each island) at the island level, outlined in ISPs, are financed by either domestic or external resources and executed.</li> </ul>
<b>Outcome 1 -</b> Marine based coastal livelihoods of Tuvaluan outer islands made resilient to declining productivity induced by climate variability and change.	<ul style="list-style-type: none"> <li>● Score improved to 4: By the end of the project at least 50% of targeted outer islands households have access to climate resilient marine-based livelihood methods introduced/strengthened in the project</li> </ul>

<sup>6</sup> One last priority related to health “*protecting community health through control of vector borne/climate sensitive diseases and promotion community access to quality potable water*” has not been addressed yet.

Expected Results	Targets at End of Project
<ul style="list-style-type: none"> <li>● <b>Output 1.1:</b> Climate-resilient marine-based livelihood techniques are implemented benefiting at least 50% of the population</li> <li>● <b>Output 1.2:</b> Capacity of local administrations, CSOs, communities and Community Fisheries Centers enhanced to integrate climate risks in the community-based management of MMA/MPA including zoning guidance, marine resource stock surveys and monitoring and enforcement</li> <li>● <b>Output 1.3:</b> Awareness enhanced for at least 2,000 people including island Kaupules, central government staff, CSOs, and community members to understand and respond to the impacts of climate induced risks on marine based coastal livelihoods</li> </ul>	<ul style="list-style-type: none"> <li>● The area of MPA/MMAs is clarified and some form of management applied to at least a quarter of the reef area on each outer island (area to be calculated) with a corresponding climate-resilient community management plan or Kaupule by-law.</li> <li>● Capacity to undertake creel surveys and maintain the database developed among community-based MPA/MMA management groups.</li> <li>● At least 50% of Fisheries staff, Kaupule, women, youth and fishers interviewed confirm a clear link between resource management and resilience of livelihoods</li> </ul>
<p><b>Outcome 2</b> – Capacity of outer islands enhanced to respond to increasing/intensifying climate induced hydro-meteorological risks.</p> <ul style="list-style-type: none"> <li>● <b>Output 2.1:</b> Each island is equipped with robust communication facilities and early warning system facilities</li> <li>● <b>Output 2.2:</b> Raised awareness and preparedness of outer island communities for climate-induced extreme events</li> </ul>	<ul style="list-style-type: none"> <li>● By the end of the project at least 95% of populations are able to receive and respond to early warnings and take the appropriate actions following the warning</li> </ul>
<p><b>Outcome 3</b> - Enhanced capacity of communities to access internal/external financing for community-based climate change adaptation through existing participatory development planning processes.</p> <ul style="list-style-type: none"> <li>● <b>Output 3.1:</b> All outer Island Strategic Plans integrate island-specific climate risks through existing gender-sensitive, participatory processes</li> <li>● <b>Output 3.2:</b> Capacity of Kaupules, Falekaupules and community members for monitoring adaptation investments strengthened</li> <li>● <b>Output 3.3:</b> National and outer island capacity to leverage, sequence and combine domestic resource for climate change adaptation investments strengthened</li> </ul>	<ul style="list-style-type: none"> <li>● By the end of the project, all outer islands have their ISPs revised to integrate climate risks</li> <li>● Annual budgeting process building on the ISP is in place</li> <li>● By the end of the project at least eight adaptation priority actions (one in each island) at the island level, outlined in ISPs, are financed by either domestic or external resources and executed.</li> </ul>

Source: Project Document.

34. When comparing this *Project Results Framework* with the project framework presented in the Project Identification Form (PIF), a key difference is under the first component (outcome 1) which was to implement community-based climate resilient livelihood options to reduce vulnerability to future climate change. The set of planned options was changed as well as the targeted beneficiaries. Under this component, it was anticipated in the PIF that the project will implement community-based adaptation measures focusing on near-shore cage farming, in-land spawning and aquaculture, reaching 18 villages and benefiting at least 400 households (i.e. 2,000 people and at least 50% of which being women).

35. These anticipated measures were discussed extensively during the formulation of the project. It resulted in a project document with a different set of community-based adaptation measures under output 1.1. It was changed to implement climate-resilient marine-based livelihood techniques benefiting at least 50% of the population. These different set of measures were to achieve the same original outcome that was to make marine based coastal livelihoods of Tuvaluan outer islands more resilient to declining productivity induced by climate variability and change. They included near-shore fish-aggregating devices (FADs), strengthening canoe-

building, strengthening traditional fishing methods, improving postharvest fish processing and testing/demonstrating aquaponics.

36. The overall project – its rationale, its strategy, its proposed management structure – as detailed in the project document was reviewed during an inception workshop held on May 20, 2014 in Funafuti. No changes were made to the strategy and Stakeholders reconfirmed the relevance of this project to address the existing need for having a common platform for more effective and sustainable ways of cooperating on climate change adaptation issues and intervening in three key areas: a) increase the resilience to declining productivity induced by climate variability and change; b) increase the capacity of outer island to respond to increasing climate induced hydro-meteorological risks; and c) to increase the capacity to access internal/external financing for community-based climate change adaptation through existing participatory development planning processes.

37. However, the Evaluator noted that in the inception workshop report it was reported that the “*baseline level of knowledge about the specific NAPA-2 Project was low and that most stakeholders appeared to be unsure of the distinctions between NAPA-1, NAPA-2, Ridge to Reef project (R2R) and other donor activities in Tuvalu*”. Furthermore, it was also noted that aquaponics was regarded as something that was not a priority for outer islands, including milkfish production. It was recognized that so far activities to develop vegetable and fish farming production have had little success in Tuvalu and that more awareness raising would be needed to raise the interest of communities in Tuvalu regarding this new type of food production systems.

38. The detailed review of the project formulation conducted for this evaluation revealed a project strategy that was well aligned with the national strategy for sustainable development (TK III) and presented a clear set of planned activities, which were expected to lead to the achievement of a set of expected results (*see Annex I*). Overall, the project document has been used as a “*blue-print*” to guide the project management team through the implementation of the project.

#### 4.1.2. Assumptions and Risks

39. Risks and assumptions were identified and presented in the project document. The table below presents the risks that were identified under the objective and each outcome and included in the *Project Results Framework*.

**Table 5:** List of Risks and Assumptions Identified in the Project Document

Project Risks	Assumptions
<b>Objective:</b> Resilience of island communities to climate change variability and risks is strengthened through participatory island-level planning, budgeting and execution and community-led investments.	
<ol style="list-style-type: none"> <li>1. There is insufficient ownership by communities for greater impact and sustainability</li> <li>2. Local capacity constrains for implementation</li> <li>3. Logistics of working in outer island</li> </ol>	<ul style="list-style-type: none"> <li>• Tangible socio-economic benefits are generated for and recognized by the project beneficiaries</li> <li>• Project activities are fully participatory</li> <li>• Project team has access to a dedicated vessel to meet expectations of communities and timely delivery of project activities</li> <li>• Sufficient political commitment from key stakeholder governments are ensured throughout the life cycle of the project</li> <li>• The government is able to attract high-quality project staff</li> </ul>
<b>Outcome 1 -</b> Marine based coastal livelihoods of Tuvaluan outer islands made resilient to declining productivity induced by climate variability and change.	
<ol style="list-style-type: none"> <li>4. Shipping schedules and weather impede transmission of trainers and materials.</li> <li>5. People fail to carry out creel surveys systematically</li> <li>6. Unexpected increase in shipping schedules and costs makes it too difficult to run annual events.</li> <li>7. Uptake of knowledge is low, and resilience not significantly improved</li> </ol>	<ul style="list-style-type: none"> <li>• People on outer islands see traditional and resilient methods as desirable given development imperatives and lifestyle preferences.</li> <li>• People on outer islands see managed areas as a common resource, not just for VIP visitors</li> </ul>
<b>Outcome 2 –</b> Capacity of outer islands enhanced to respond to increasing/intensifying climate induced hydro-meteorological risks.	

Project Risks	Assumptions
8. High turn-over among key stakeholders in the government and NGO sector during the project implementation results in loss of knowledge and experience 9. Bureaucratic process causes delays in the revision of the Disaster Management Arrangement Bill	<ul style="list-style-type: none"> <li>• AM Radio infrastructure, which is the primary baseline project for covering 100% of population continues to operate under extreme conditions</li> <li>• Disaster Management Arrangement Bill is revised in a timely manner to planned to be revised with assistance from SOPAC</li> <li>• There is sufficient technical capacity and human resources for installation of communication equipment</li> </ul>
<b>Outcome 3</b> - Enhanced capacity of communities to access internal/external financing for community-based climate change adaptation through existing participatory development planning processes.	
10. Agreements are not made among communities on the adaptation priority actions financed by domestic resources 11. Limited capacity within technical agencies to support the execution of island-level priority actions 12. Disruptions in periodic visits result in non-completion of annual budgets	<ul style="list-style-type: none"> <li>• By the commencement of the project, all remaining islands complete ISPs</li> <li>• There is high level commitment and buy-ins from officials in the central and outer island government to revise their ISPs and use domestic resources for adaptation purposes</li> <li>• Communities are prepared to set aside time and funds for monitoring of available resources and execution of adaptive investments</li> <li>• There is compliance of the Falekaupule Act by Kaupules</li> <li>• Available domestic resources to outer islands (SDE, FTF and core revenues) remain viable sources</li> </ul>

Source: Project Document.

40. The review of these risks indicates that they essentially cover all key risks linked to the implementation of the project. They particularly include risks linked to existing local capacities and logistical aspects to communicate, coordinate and support project activities in the outer islands. These two risks were highlighted in the project document. In addition to the detailed risks identified in the *Project Results Framework* and presented in the table above, the section on risk in the project document discussed the main two risks in line with UNDP project risk management practices. They are:

- *Severe local capacity constraints:* The limited number of government officers, compounded by frequent overseas travels that they engage in, poses a difficulty in ensuring continuity of support from relevant government agencies involved. This risk was mitigated by formal agreements with relevant government departments to assign a dedicated senior government officer (supported by an alternate) as the focal point for project activities.
- *Considerable logistical challenges related to travelling to, and communicating with, the Outer Islands:* When considering the distances between islands, the irregularity of government vessel travel, the lack of air or other transport options, and the considerable times (often weeks) required to be spent on each island as a result, it could cause the project to fail and leave outer island communities frustrated. This risk was mitigated with a plan to purchase a dedicated project vessel, capable of travelling to the outer islands through a predictable schedule managed by the project.

41. Based on the information collected for this evaluation, the Evaluator confirms that these two risks are by far the most critical risks any project with activities in outer islands in Tuvalu would face. It was good that the project recognized these two risks from the outset of the project. The purchase of a vessel was a key decision to provide a transportation system to a link with the outer islands. It allowed the project to implement activities in the outer islands with support from the project team. However, the cost of such transportation – given that it is the only option to travel to the outer islands – has negatively affected the cost-effectiveness of the project (see Section 4.2.3).

#### 4.1.3. Linkages between the Project and Other Interventions

42. NAPA-2 was formulated within the context of implementing NAPA priorities in Tuvalu released in May 2007. Globally, National Adaptation Programmes of Action (NAPAs) provide a process for Least Developed Countries (LDCs) to identify priority activities that respond to their urgent and immediate needs to adapt to climate change; those for which further delay would increase vulnerability and/or costs at a later stage. It is an initiative agreed under the UN Framework Convention on Climate Change (UNFCCC), at its Conference of the Parties in 2001 (COP-7). The aim of NAPAs is to build adaptive capacity in the most vulnerable countries, the LDCs. Based on their NAPAs, LDCs can then develop prioritized lists of adaptation



projects to help them cope with the adverse effects of climate change. These prioritized adaptation projects are then eligible for funding through the Least Developed Countries Fund (LDCF), which is a fund designed through the UNFCCC to specifically assist least developed countries, as they are particularly vulnerable to the effects of climate change.

43. Following the Tuvalu Initial National Communication released in 1999, which documented early identified needs and vulnerabilities of the country to the effect of climate change, Tuvalu developed and released its NAPA in May 2007. It was developed following the 10 guiding elements stipulated in the NAPA guidelines published by the UNFCCC Least Developed Countries Expert Group. It includes community participatory approach; consensus approach; multidisciplinary approach; complementary approach at all levels of community; sustainable development; gender equality; country-drivenness; sound environmental management; cost-effectiveness; and simplicity.

44. The process to develop NAPA included a countrywide public consultation with the participation of stakeholders from the nine islands of Tuvalu. The identification of urgent and immediate adaptation needs was done through the identification of existing problems due to climate change; identification of local coping strategies and the articulation of adaptation needs based on ideas from stakeholders and sectoral experts. The process was concluded by the release of the NAPA report in May 2007 which provides detailed information about the current and possible future impacts of climate change in Tuvalu. These needs were also highlighted in the first Tuvalu's National Strategy for Sustainable Development for the period of 2005 to 2015 (Te Kakeega II).

45. This programme of actions was developed to support the Te Kakeega II; in synergy with other action plans and other development aspirations of the government of Tuvalu. The goal of the Tuvalu NAPA was to provide a framework that will guide the coordination and implementation of adaptation activities in the country. Its objectives were to develop a country-wide programme that encompass urgent and immediate needs of communities; to implement immediate and urgent adaptation activities to climate change and variability; to enhance communities' awareness and livelihood; and to mainstream adaptation measures into national and sectoral planning.

46. The main outcome of this programme of actions are the identification of Tuvalu's adaptation strategies to reduce adverse impacts of climate change, variability and extreme events. These strategies were developed based on community needs. They are presented below in descending order of priority:

1. **Coastal:** Increasing resilience of Coastal Areas and Settlement to climate change.
2. **Agricultural:** Increasing subsistence pit grown pulaka productivity through introduction of a salt-tolerant pulaka species.
3. **Water:** Adaptation to frequent water shortages through increasing household water capacity, water collection accessories, and water conservation techniques.
4. **Health:** Strengthening of Community health through control of vector borne/climate sensitive diseases and promotion access to quality potable water.
5. **Fisheries:** Strengthening of Community Based Conservation Programmes on Highly Vulnerable near-shore Marine Ecosystems.
6. **Fisheries:** Adaptation to Near-Shore Coastal Shellfish Fisheries Resources and Coral Reef Ecosystem Productivity.
7. **Disaster:** Strengthening Community Disaster Preparedness and Response Potential.

47. Following NAPA released in May 2007, the government of Tuvalu and UNDP submitted a Project Information Form (PIF) to GEF in May 2008 for a project to implement the three first adaptation strategies above. This project titled "*Increasing Resilience of Coastal Areas and Community Settlements to Climate Change in Tuvalu*" also referred as NAPA-1 was approved for implementation by GEF in November 2009 with a GEF-LDCF grant of USD 3,000,000 and was completed in July 2016. The objective of this project was "*to increase the protection of livelihoods in coastal areas from dynamic risks related to climate change and climate variability*". It was implemented through three outcomes: i) *Enhanced capacity of public administration, Island Kaupules, communities and NGOs, with policy support to plan for and respond to climate change risks in coastal areas and settlements*; ii) *Enhanced capacity of local communities to adapt to dynamic climate-related threats through implementation of practical community-based adaptation measures*

*specifically tailored to each island; iii) Project knowledge and lessons learned are captured, analysed and disseminated to facilitate replication of practical adaptation solutions in all islands.*

48. In addition to the LDCF grant, Australia decided to contribute to NAPA-1 under their *International Climate Change Adaptation Initiative (ICCAI)* focusing on the fourth objective of this initiative that was to “*identify and help finance priority adaptation measures to increase the resilience of partner countries to the impacts of climate change*”. AusAID contributed a grant of USD 1M for the period 2011-2013 to support replication and up-scaling of adaptation measures implemented by the NAPA-1 project. Their contribution was called NAPA-1+.

49. Therefore, NAPA-1 was a response to the first three priority adaptation strategies identified in NAPA and NAPA-2 has been a response to the last three priorities. These three strategic adaptation priorities were the key elements to conceptualize NAPA-2.

#### **4.1.4. Lessons from other Relevant Projects/Initiatives**

50. As stated in the project document, lessons learned from the implementation of NAPA-1 were core considerations that underpinned the formulation of NAPA-2, which were also used as opportunities to harmonize NAPA-2 with the NAPA-1 project within the context of implementing the overall NAPA.

51. As a source of lessons learned and recommendations, both NAPA-1 and NAPA-1+ were evaluated: NAPA-1+ was evaluated in June 2014. The evaluation team focused on food security through the home gardening component of the project, which intervened in all 9 islands of Tuvalu. At the time of the evaluation, the progress was assessed as slow and several challenges were noted, including: shortages and delays in the supply of seeds; shortages in the provision of tools; lack of information; inadequacies in the fencing materials and delays in provision; ongoing water shortages; pest damage; and lack of shade/screen materials. The evaluation identified several priorities that focused mostly on the development of home gardening; they included:

- Address the shortage and variety of seeds to improve project sustainability;
- Provide further training/agriculture expertise;
- C.Os to remain on island for as much as possible of remaining project time;
- Ensure monitoring activities conducted and sharing of information between islands;
- Prioritise activities regarding long-term staple crops;
- Address the waiting lists of registered home gardens;
- Expand the program on Funafuti to include non-indigenous Funafuti communities;
- Further recommendations:
  - Address the shortage of tools;
  - Introduce local pesticide options;
  - Encourage use/demonstration of local materials for shade requirements;
  - Address water security hand in hand with food security;
  - Ensure provision of shelter for wood chippers.

52. The terminal evaluation of NAPA-1 was completed in August 2016. It reviewed the entire project and concluded that for the most part, the project was not successful. It rated as marginally acceptable project areas such as formulation, implementation, monitoring and evaluation, achieved results, effectiveness, and sustainability; and rated the efficiency as unacceptable. Two key elements raised in this evaluation were useful for the formulation of NAPA-2: a) consider the significant challenges posed by communications and transport infrastructure to the outer islands; and b) avoid severe delays in using project time, resources and budget. These findings were also corroborated by some interviewees conducted for this evaluation. Key challenges in implementing projects in Tuvalu are mostly related to management capacity. As a result, NAPA-2 planned to purchase a vessel to provide a transportation system to the outer islands. Additionally, a technical assistance budget was also allocated to provide a qualified and experienced technical advisor to the project.

#### **4.1.5. Planned Stakeholder Participation**

53. Stakeholders were consulted during the project preparation phase (PPG) phase as part of the formulation process of this project. It included a wide range of stakeholders such as government line ministries to implement and support the project implementation, NGOs, island-specific Kaupules and Falekaupules and local communities including some of their interest/community groups. These consultations were tailored to the specific needs of each component (3) of the project; recognizing that each component has its own group of stakeholders:

- *Component 1:* was to be delivered by the Department of Fisheries with the deployment of staff in the various activities to be supported by the project. It was also anticipated that the project will work closely with the Oceanic/Coastal Fisheries Division of SPC (based in Noumea, New Caledonia) and the Fisheries Advisor of the New Zealand Aid Programme (NZAP), both of which are providing co-financing to the project. Kaupule and Fisher's association in each island were to be the main interface for the project at the subnational level. Finally, fishers, women and youth were anticipated to be the main direct beneficiaries on the outer islands.
- *Component 2:* focusing on communications and early warning systems, it was to be delivered by the Department of Environment in close collaboration with the Disaster Management Office, Meteorological Services, and Radio Tuvalu on Funafuti. It was also anticipated that the project would work closely with the SOPAC Division of SPC, especially on integrating new procedures for the new communication capacity enhancement measures into the revised National Disaster Management Plan. On the outer islands, the main stakeholders included the communities themselves, the island Disaster management Committees (DMC) and relevant NGOs which were to act as service providers related to awareness raising.
- *Component 3:* was to be delivered in close collaboration with the Department of Rural Development and the Falekaupule Trust Fund in Funafuti. On the outer islands, the main stakeholders were to be the Kaupules to enhance their strategic planning and budgeting processes and ensure adaptation would be built into island level planning.

54. Consultations of stakeholders were conducted during the PPG phase to obtain their views on the requirements for meeting the objective of the project, but also to inform them of the need for and approach to addressing the negative effect of climate change. A detailed survey on outer islands and in Funafuti was also completed with 77 interviews (reaching 214 individuals – 55% male and 45% female) of key informants and focus groups. The survey ensured a good balance of gender and interest groups, specifically targeting local government, women, youth and fishers. The survey (interviews) also acted to inform people of the approach to the project and the responses were overwhelmingly positive.

55. The project also recognized that all activities to be implemented in the outer islands would be carried out through the assistance of the Ministry of Home Affairs and Development and the island representatives in Funafuti; the official conduits to work in outer islands. The project would also work through Kaupule staff on each outer island as the executives of each island's Falekaupule (governing council); they would be involved in all project interventions on outer islands.

56. Once key stakeholders and the mode of operation were identified to work on the outer islands, the project planned to involve stakeholders/beneficiaries in project decision-making through regular meetings, workshops and training events to be organized in community halls (maneapa). An extensive stakeholder involvement plan was identified during the formulation of the project and presented in the project document.

57. The design team also recognized that for an effective stakeholder involvement of island communities, a good understanding of Tuvalu's clan-based social structure and communal traditions is required. They are key building blocks of Tuvaluan society. While these structures have traditionally sought to promote egalitarianism, it is recognized that women have taken a limited role in traditional community meetings in the past, their voices were usually heard through representation by the head of the household in village meetings. As a result, it was planned that the project would use a combination of contact strategies in both outer islands and in Funafuti, building on the generally-accepted practice – at the time of the formulation of the project - of calling specific meetings with women and youth groups and also including marginalized groups; ensuring the targeting of specific needs for different community groups.

58. In conclusion, the review of the planned stakeholder participation indicates that project stakeholders were well identified during the formulation phase as well as the gender and the social structure dimensions of project's stakeholders/beneficiaries. The project document also included a good description of the Tuvaluan society structures through which the project should channel its support.

#### **4.1.6. Planned Replication Approach**

59. The replicability of project results was briefly discussed in the project document. It mostly consisted of:
- Improve the collection and exchange of knowledge and thus enhance the replicability of successful marine-based livelihoods, disaster risk reduction and climate financing both within Tuvalu and in other countries;
  - Systematic contribution to the UNDP led Adaptation Learning Mechanism (ALM)
  - Hosting national workshops on traditional marine-based livelihoods supported by the project;
  - Create synergies with other regional processes and projects (such as those undertaken by SPC) while the global network of UNDP, assisted by the Fiji Multi Country Office and Region-based Technical Advisors, will play an additional role in disseminating good practices to other countries;
  - Share knowledge and experience acquired through the marine livelihood component (outcome 1) within each island (between elders and youth), among islands and within the greater Pacific community, through an extensive array of communication pathways.

60. The review conducted for this evaluation indicates that this approach was not convincing. It does not provide details on how this knowledge and experience would be disseminated; particularly in "other countries". The Evaluator also noted that replicability and dissemination of results were not really part of the project strategy; particularly to disseminate the results to other countries in the region. In the meantime, it is noted that the project activities have targeted a large part of the country's population including in outer islands. It was not a demonstration or pilot project but a project to improve the resilience of all island communities to the effect of climate change with an extensive reach such as 95% of the population should be able to receive and respond to the early warning systems installed in all Tuvalu 9 islands.

61. Additionally, the project is ending soon, and it is true that through implementation of the planned activities the project has accumulated knowledge and best practices. However, the various implementation delays prevented the experience to be fully ready to be disseminated during the lifetime of the project. For instance, the experience with supporting the installation of Fish Aggregating Devices (FADs) in outer islands would constitute a good experience to be disseminated throughout the Pacific. However, at the time of this terminal evaluation only 2 FADs were installed around the Funafuti island, the others are still in transit at the port in Funafuti waiting to be shipped to the outer islands. As a result, the project is not in a position to disseminate any best practices on the subject at the moment.

#### **4.1.7. UNDP Comparative Advantage**

62. The project was developed within the context of the *United Nations Development Assistance Framework (UNDAF) for the Pacific Region 2013-2017* and more specifically the *UNDP Sub-regional Programme Document for the Pacific Island Countries (2013-2017)*. The UNDAF 2013-2017 focused on 5 main areas: environmental management, climate and disaster risk management; gender equality; poverty reduction and inclusive economic growth; basic services (health and education); and governance and human rights. Within this framework, UNDP programme for the period 2013-2017, focused on governance; inclusive growth and poverty reduction; gender equality, including mainstreaming gender across all areas of the programme; and environment management, climate change and disaster risk management.

63. Under the latter area, UNDP planned to bolster the resilience of communities in Pacific countries and territories to cope with climate change, and to implement strategies that integrate environmental management, climate change adaptation and mitigation, and disaster risk reduction. It was also anticipated that through these actions, UNDP would facilitate the transition/mainstreaming of climate change into sectoral planning and

national strategic development strategies, and through public expenditure and institutional reviews, as appropriate.

64. Under the current *Regional Programme Document for Asia and the Pacific (2018-2021)*, UNDP focuses on 6 Signature Programmes: 1) Keep people out of poverty and support an inclusive and sustainable urban transition; 2) Governance systems and institutions are responsive, inclusive and accountable for delivering services, ensuring justice, and sustaining peace; 3) Enhance prevention and recovery for resilient societies; 4) Promote nature-based solutions for a sustainable planet; 5) Close the energy gap; and 6) Strengthen gender equality.

65. UNDP has a long history of supporting the development of Pacific countries, including Tuvalu. Back in 1997, following the enactment of the Falekaupule Act and the process of devolution of authority in Tuvalu, UNDP started to assist the government in its effort to reform local governance. Since 2005, UNDP has been supporting the development of capacities of Kaupules to formulate Island Strategic Plans (ISPs). In the environmental area, UNDP played a leading role in 1996 to establish the only national conservation area that exists in Tuvalu – the Funafuti Conservation Area – with the financial assistance from GEF as part of the *Regional South Pacific Biodiversity Conservation Programme*. Furthermore, UNDP has been supporting the department of environment in meeting Tuvalu’s global environmental agreements such as the initial national communication (INC) and the second national communication (SNC) to UNFCCC, the National Biodiversity Strategy and Action Plan (NBSAP) and as discussed above its NAPA. UNDP was also the implementing agency for the NAPA-1 project funded by GEF-LDCF and, in collaboration with TANGO, has been assisting the government in promoting community-based management of marine resources through the GEF Small Grant Programme (SGP).

66. The experience accumulated over the years in Tuvalu and the presence of an UN Coordination Specialist in the country - UNDP is the only GEF agency that has a full-time resident presence in Tuvalu - gave UNDP a definite comparative advantage as the implementing agency of NAPA-2. In addition to this advantage due to its long-term presence in Tuvalu, the implementation of the NAPA-2 project has also been supported operationally, administratively and technically by the Fiji UNDP Multi Country Office; and the access to the regional advisory capacity based in the UNDP Asia Pacific Regional Centre in Bangkok, including dedicated Regional Technical Advisers focusing on supporting adaptation programming and implementation.

#### **4.1.8. Management Arrangements**

67. The management arrangements planned at the onset of the project included:

- *GEF Implementing Agency*: UNDP served as the GEF implementing agency for the project. It was a member of the Project Board and was the *Senior Supplier*, representing the interests of the GEF. As such, its primary function within the Board was to provide guidance regarding the technical feasibility of the project. It was also to make sure that progress towards expected results remains consistent from a *supplier* perspective, that the supplier resources were made available and ensure a quality assurance role in the implementation of the project.
- *Implementing Partner (IP)*: The Ministry of Foreign Affairs, Trade, Tourism, Environment and Labor (MOFATTEL), acted as the Implementing Partner (*Project Executive*) of the project. It has assigned the Department of Environment (DOE) to undertake day-to-day implementation activities of the NAPA-2. Based on the standard NIM procedures, MOFATTEL has been responsible for the overall project and reporting to UNDP Fiji Multi-Country Office. The DoE established a Project Management Unit (PMU) in Funafuti with a full time National Project Coordinator and project staff. The *Project Executive* appointed the *National Project Director (NPD)*, who was supported by the National Project Coordinator.
- *Responsible Parties*: MOFATTEL designated two responsible parties to implement two Components of NAPA-2: The Tuvalu Fisheries Department (TFD) within the Ministry of Natural Resources (MNR) was the Responsible Party for Outcome 1; and The Department of Rural Development (DRD) within the Ministry of Home Affairs and Rural Development (MOHARD) was the Responsible Party for Outcome 3. A Memorandum of Understanding between the MOFATTEL and the respective departments was signed at the outset of NAPA-2. Each

department appointed a senior government official as the primary interface with DOE and the PMU.

- *Project Board (PB)*: A PB was constituted to serve as the executive decision-making body for the project. It included representatives from key partners to the project. It met 9 times during the lifetime of the project. The PB provided strategic directions and management guidance for the implementation of the project. The PB ensured that the required resources were committed and arbitrated on any conflicts within the project or negotiated a solution to any problems with external bodies. The PB approved the Annual Work Plans (AWPs), reviewed the Annual Progress Reports/Project Implementation Reports (PIRs), and reviewed/approved corrective measures when needed. It ensured that the project remained on course to deliver the desired outcomes of the required quality.
- *Project Management Unit (PMU)*: A PMU was established in Funafuti to carry out the coordination and day-to-day management of project activities with due time and diligence including preparation of annual work-plans and progress reports and ensuring compliance with applicable UNDP/GEF-LDCF/Government of Tuvalu rules and regulations. It was headed by a full time *National Project Coordinator (PC)* full time and supported by a Finance/Administrative Assistant.
- *National Project Coordinator (NPC)*: The NPC had the authority to run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Project Board. The NPC's prime responsibility was to ensure that the project produced the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.
- *Chief Technical Advisor (CTA)*: A CTA was hired to provide technical support to the PMU and contribute to the achievement of expected results following the required quality standards and within the specified constraints of time and cost.
- *Technical Experts*: As required the project implementation team hired technical experts to provide technical support for the different components of the project.
- "Embedded" Staff: The project also hired two national Fisheries Officers, one ISP Officer and one Community Support Officer. The two Fisheries Officers were based at FDT and the other two Officers were based within DRD.
- *Management Procedures*: The financial arrangements and procedures for the project were governed by UNDP rules and regulations applicable for project implemented through the National Implementation Modality (NIM)<sup>7</sup>. All procurement and financial transactions were governed by applicable UNDP regulations, including the recruitment of staff and consultants/experts using standard UNDP recruitment procedures.

68. The Evaluator found that the management arrangements were adequate and effective for the implementation of the project. They provided the project with clear roles and responsibilities for all parties including clear reporting lines of authority. The PB met regularly to monitor the implementation of the project and approve the AWPs and progress reports. The good functioning of the Project Board provided an effective way to communicate, keep stakeholders engaged, a forum to discuss and resolve critical management issues and nurtured a good national ownership of project achievements.

## 4.2. Project Implementation

69. 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.

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<sup>7</sup> UNDP defines NIM (National Implementation Modality) as the management of UNDP programme activities in a specific programme country carried out by an eligible national entity of that country. It is expected to contribute most effectively to: (i) greater national self-reliance by effective use and strengthening of the management capabilities, and technical expertise of national institutions and individuals, through learning by doing; (ii) enhanced sustainability of development programmes and projects by increasing national ownership of, and commitment to development activities; and (iii) reduced workload and integration with national programmes through greater use of appropriate national systems and procedures. (Source: UNDP *Financial Resources*)

#### **4.2.1. Adaptive Management**

70. When considering the conditions of implementing such a project on Pacific islands, the management of the project was adequate. The Project Team followed the UNDP/GEF and the government of Tuvalu procedures for the implementation of the project and used adaptive management extensively to secure project deliverables while maintaining adherence to the overall project design.

71. In the meantime, implementing this project has been a complicated affair, particularly to procure and export goods and services to Tuvalu. The project was implemented under the NIM modality, which means that the project was managed by the department of environment (DOE) in Tuvalu. Day-to-day activities were coordinated by a project management unit under the supervision of DOE, and the UNDP representative in Tuvalu monitored the project and liaised with the UNDP office in Suva, Fiji. The UNDP office in Fiji has been responsible for the delivery of goods and services to the project.

72. Within the context of the remoteness of Tuvalu and particularly of its outer islands (for accessibility and communication), the project implementation team used adaptive management to adapt the implementation of the project to this reality. Several examples of the use of adaptive management were noted by the Evaluator. It includes the need in 2015 to find a solution after the suspension of both NAPA projects by the government of Tuvalu. The issue was that NAPA-1 did not have a sufficient remaining budget to finance planned coastal protection work. As part of finding a solution, the UNDP Senior Management went to Tuvalu to meet with government officials. It included the Resident Coordinator, the Team Leader Environment Unit and the Regional Technical Advisor. The meeting in Tuvalu was followed by regular communications until a solution was found and both projects were able to re-start their implementation.

73. Another example is the implementation of the second component of NAPA-2 which was to install early warning systems in all nine islands in Tuvalu. Due to its highly technical characteristics, this component has necessitated the services of a highly experienced expert to guide the implementation of activities under this component. UNDP supported the project implementation team in finding a competent expert. UNDP also participated in the negotiations between the project, the expert, the government and the potential suppliers of early warning systems to ensure that the procurement of this equipment would be synchronized with other systems already in place in Tuvalu.

74. The review conducted for this evaluation reveals that despite adequate procedures in place, the difficulties to access and communicate with the outer islands of Tuvalu hampered the delivery of goods and services and, often, required the use of adaptive management. Most activities involving services or goods to be imported in Tuvalu were delayed. For instance, the project was to deliver and install Fish Aggregating Devices (FADs) on all nine islands in Tuvalu. Only two FADs had been installed in Funafuti so far; at the time of this evaluation, the other FADs are still stored in container at the port in Tuvalu waiting to be delivered and installed in outer islands. The installation of other FADs was delayed mostly due to problems with the installation of ecosounders. The same is true for the aquaponic kit that is also stored at the port, waiting to be installed in Funafuti. It was delayed pending for some expertise in aquaponic to help the project with this initiative. The initial plan was to have an expert from FAO to help. After waiting a few months with no target dates set for the intervention of the FAO expert, the decision was taken to change the plan. It should now happen with the help of an expert from SPC.

75. Adaptive management was also used to purchase a vessel for the project. The process to purchase this vessel, which was planned in the project document, highlights the administration and management difficulties of implementing such a project in Tuvalu. The project document included a budget for the purchase of a vessel to facilitate the communication and transport of the project goods and services to outer islands in Tuvalu. As a development agency, UNDP staff did not have a particular expertise for such a purchase and the remoteness of Tuvalu rendered the process extremely difficult. After initial searches for an adequate boat, which would meet the requirements, a decision was taken to hire a company (*Billett Wright and Associates Ltd* from Suva, Fiji) to help the Parties of the project (UNDP and government of Tuvalu) to find an adequate boat. This company started to identify the requirements for the project in the context of Tuvalu. Based on these requirements, several available options in the Pacific region, New Zealand and Australia were identified. After a review of these options, the decision was made to purchase the *Tala Moana* boat, a multi-purpose vessel,

which was deemed to provide the necessary requirements for NAPA-2. As a steel monohull oil rig supply vessel, the *Tala Moana* is equipped with facilities for a team of about 15 people. In the case of NAPA-2 and the government of Tuvalu, it has provided an adequate transportation system to outer islands, which could also be used as a base to conduct work in the outer islands such as delivery of workshops, surveys, installing equipment, etc.

76. It goes without saying that procuring such an item is complex and comes with definite risks. UNDP and project staff had to learn on the fly how to purchase a vessel and ensuring that UNDP procedures were followed. Purchasing a vessel is much different from purchasing other goods such as cars and laptops. These items are mass-produced and readily available for purchase. Boats are usually built to specific designs/requirements. Therefore, the search for a vessel which best met needs/specifications of the NAPA-2 project took some time. The company hired to help in the purchase of the vessel, identified first the needs/specifications, then identified the available options on the market. These options were presented to UNDP in Suva, Fiji and to the Department of Fishery, the Department of Environment and the Marine Department in Tuvalu. Finally, following the review of these options, the selection was endorsed by all these stakeholders before proceeding with the purchase and the delivery of the vessel to Tuvalu. Nevertheless, despite a complex and lengthy process, a vessel had been purchased and delivered to Tuvalu in 2015. Since that date, it has been operating in Tuvalu as a key transportation system to outer islands. NAPA-2 has benefited from having access to this boat; without it limited project activities would have taken place in the outer islands; a situation which would have been similar to NAPA-1.

77. Following the process to purchase the vessel, the total cost ended to be about \$950k, which was much more than the budget of \$300k allocated to this purchase in the project document. Following the purchase, the project implementation team initiated discussions with the government of Tuvalu and UNDP to negotiate a solution to share this cost. These negotiations were concluded with the decision to share the total cost among three Parties: NAPA-2 would contribute the sum of USD 300,000; R2R the sum of USD 300,000; and the government of Tuvalu – through TFD - the sum of USD 350,000 toward the purchase of the RV “*Tala Moana*”. It allowed NAPA-2 to stay on budget and have the vessel available, a critical transportation mean to implement activities in the outer islands.

78. Finally, despite the agreement to share the cost among the three Parties, no transparent cash transfers back to NAPA-2 took place. Instead, more discussions/negotiations on the cost sharing took place and resulted with the R2R project and TFD to directly finance NAPA-2 activities up to the amount owned to NAPA-2. At the time of this evaluation, both, the R2R project and the government of Tuvalu through TFD had financed NAPA-2 activities up to an almost equivalent amount own to NAPA-2 by these two Parties.

79. In conclusion, the review of project management activities reveals that adaptive management was used extensively as a management approach, particularly to find effective ways to procure goods and services to the project in Tuvalu on time and on budget. In the meantime, despite UNDP efforts to respond to changing circumstances, the delays in procuring goods and services prevented the project to have more time to further develop capacities necessary to sustain some initiatives such as the use of FADs and the analysis of the potential of aquaponic in Tuvalu.

#### **4.2.2. Partnership Arrangements**

80. As discussed in Section 4.1.5 and 4.1.8, stakeholder engagement and the management arrangements of the project were adequate for the implementation of the project. They provided the project with clear roles and responsibilities for each party. In addition, when considering that NAPA-2 is part of the implementation of NAPA’s seven priorities in Tuvalu (see Section 4.1.3), which support the implementation of TK II – the national sustainable development strategy – it has provided an excellent context for partnering with related government agencies.

81. As described in section 4.1.5, a partnership arrangement was set up with one government department for each component. Department of fisheries for component 1, Office of Disaster Management/Meteorological Office for component 2 and Department of Rural Development for component 3. In addition, the project has benefited from a good stakeholders’ consultation process during the formulation phase, which has contributed to the development of a project as a strong response to needs of these communities.



82. One feature of the project that was positively mentioned by several interviewees was the project strategy to finance staff, who, instead of being based at the PMU, were based within the implementation partners' offices. It included two national Fisheries Officers based at TFD, and one ISP Officer and one Community Support Officer based within DRD. It certainly contributed in developing good partnerships with these Partners and also with community groups in outer islands.

83. Overall, the project implementation team enjoyed a good collaboration with all stakeholders; particularly key Partners (DOE, TFD, Met Office and DRD) and outer island Kaupules. This collaboration happened through formal meetings but also through regular more informal communications among each other to keep everybody abreast of the progress made. Throughout the implementation of project activities, the flow of communications kept all stakeholders engaged in the project. As a small technical unit, supporting the implementation of activities and allocating project financial resources, the PMU fulfilled its coordination role, provided a good collaboration approach with Partners, and communicated with all stakeholders to keep them up-to-date and engaged in the project. This support was recognized by stakeholders interviewed during this evaluation.

#### 4.2.3. Project Finance

84. As indicated earlier, the implementation modality of the project to allocate, administer and report on project resources is the UNDP support to NIM (National Implementation Modality) approach; that is project activities are carried out by the project management team under the supervision of the DOE, the national executing agency for the project.

85. The financial records are consolidated into the UNDP-ATLAS system as the accounting and financial system for all UNDP projects. It allows the project management team to obtain financial reports to the last point of data entry. These reports - Combined Delivery Reports (CDRs) - produce financial information broken down by line items such as local consultant fees, travel tickets, printing and publications, utilities, etc. and presented by outcome (three + project management).

86. A financial audit of the NAPA-2 operations was conducted in 2015, 2016 and 2017. For each audited year, auditors reviewed the statements of project expenditures, and assets. Each audit concluded that these statements provided "fairly, in all material respects, the balance of inventory of Effective and Responsive Island-level Governance to Secure and Diversify Climate Resilient Marine-based Coastal Livelihoods and Enhance Climate Hazard Response Capacity (NAPA 2) Project, amounting to USD xxxxx as at 31 December 20nn in accordance with UNDP accounting policies". Financial records maintained in the Atlas system were accepted as accurate and reflecting the financial status of the project.

87. The total investments in the project were estimated at USD 24,038,880, of which USD 4,200,000 (17%) constituted the funding grant from GEF-LDCF, USD 167,188 as co-financing in-kind from the government of Tuvalu, USD 62,176 as co-financing in cash from the Government of Tuvalu and USD 19,609,516 (82%) as parallel financing, including USD 14,267,842 (59%) as parallel financing from the Government of Tuvalu.

#### GEF-LDCF Funds

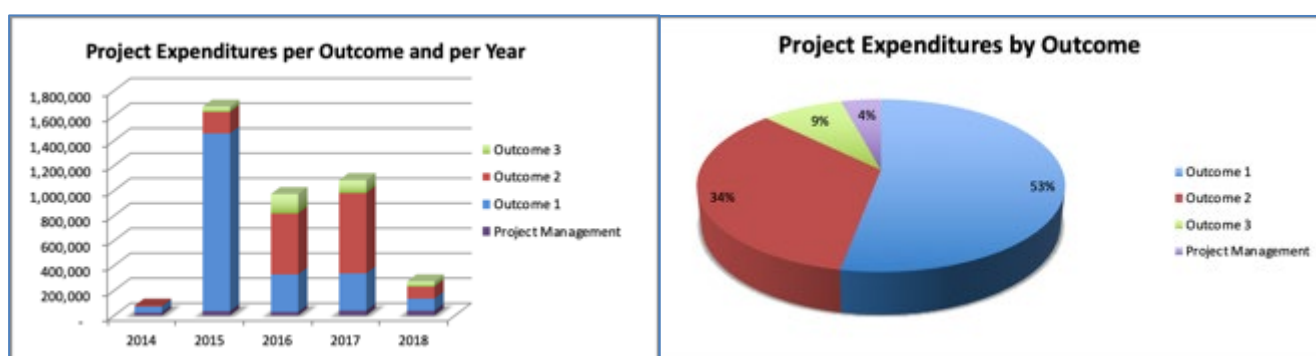
88. The review of financial records as recorded in the UNDP Atlas system indicates that almost USD 4.1M (over 97%) of the GEF-LDCF grant has already been expended as of December 31, 2018. It is expected that 100% of the GEF-LDCF grant will be expended by the end of project in June 2019. The breakdown of project expenditures by outcome and by year is presented in the table below.

**Table 6:** Disbursement Status of GEF-LDCF Funds (in USD)

Component	Budget (USD)	2014	2015	2016	2017	2018	Total (USD)	Outcome /Total Expenses
Outcome 1	2,000,000	47,563	1,422,156	299,351	296,247	95,694	2,161,012	53%
Outcome 2	1,500,000	6,769	170,263	487,373	641,968	95,278	1,401,651	34%

Component	Budget (USD)	2014	2015	2016	2017	2018	Total (USD)	Outcome /Total Expenses
Outcome 3	500,000		43,260	155,821	104,261	42,862	346,203	9%
Project Management	200,000	24,496	35,878	29,548	41,068	39,587	170,576	4%
<b>TOTAL</b>	<b>4,200,000</b>	78,828	1,671,557	972,093	1,083,544	<b>273,421</b>	<b>4,079,441</b>	<b>100%</b>

Sources: UNDP Atlas Financial Reports (Combined Delivery Reports to October 2018 (CDRs)) and information collected from the project management team.



89. The financial figures presented above indicate that so far 53% of the total GEF-LDCF grant was expended on outcome 1 that was to “make coastal livelihoods in outer islands resilient to declining productivity induced by climate change”. Another 34% of the total GEF-LDCF grant was expended on outcome 2 that was to “enhance the capacity of outer islands to respond to hydro-meteorological risks due to climate change”; and 9% was expended on outcome 3 that was to “enhance the capacity of communities to access internal/external financing for community-based development projects in the context of adapting to climate change”. The remaining expenditures (4%) were expended on project management.

90. When comparing the actual expenditures per outcome to the original budget per outcome developed during the formulation of the project, slight deviations can be observed. So far, project expenditures recorded under outcome 1 are USD 161,012 over the initial budget (+8%); expenditures recorded under outcome 2 are USD 98,349 under the initial budget (-7%); expenditures recorded under outcome 3 are USD 153,797 under the initial budget (-31%); and project management expenditures are USD 29,424 under budget (-15%).

91. These financial figures indicate disbursements that are aligned with the implementation timeline of the project: 2014 (2% of total GEF-LDCF grant expenditures) was the inception phase of the project; then 2015<sup>8</sup>, 2016 and 2017 were the peak years in term of project expenditures (respectively 41%, 24% and 27% of total GEF-LDCF grant expenditures) to conduct most planned activities, including the purchase of a vessel; finally 2018 (7% of total GEF-LDCF grant expenditures) was a year of consolidation of project achievements.

92. As of the end of December 2018, there was a remaining amount of USD 120,559 (3% of the GEF-LDCF grant) to be disbursed/expended during the period January 1 to June 2019. According to the project management team and UNDP, this amount should be completely expended and based on the review of project financial reports, it is expected that the GEF-LDCF grant of USD 4,200,000 will be fully expended by the end of the project.

93. The review of AWP budgets against the yearly actual expenditures (GEF-LDCF grant) indicates some variances from year to year. As indicated in the table below, among the 4 years with data available, the project underspent 3 years: 2015 with 88%; 2016 with 61%; and 2018 with 76%. In 2017, the project expended 115% of the AWP for that year.

<sup>8</sup> It was noted that the total cost to purchase the vessel, which was about USD 0.95M was included in the 2015 expenditures. It included the purchase of the vessel (USD 500,000) plus expenses to source the vessel, slippage fees and transport to Tuvalu (USD 450,000).

**Table 7: Annual Work Plans versus Actual Expenditures (GEF-LDCF grant)**

Years	AWP Budgets	Actual Expenditures	% Spent
2014	n/a	78,828	-
2015	1,900,000	1,671,557	88%
2016	1,602,112	972,093	61%
2017	944,481	1,083,544	115%
2018	357,790	273,421	76%
2019	60,000	n/a	-

Sources: Project AWP's and UNDP-Atlas CDR Reports

94. The Evaluator noted that in 2015, a decision had been taken to allocate USD 400,000 from the NAPA-2 GEF-LDCF grant to finance coastal protection work on the island of Nukufetau. This activity was supposed to be financed by the NAPA-1 project; however, due to lack of funds, NAPA-1 could not finance this operation. It was decided to finance it with NAPA-2 funds. This decision was the end-result of negotiation between the government of Tuvalu and UNDP to end the suspension of both projects NAPA-1 and NAPA-2. Both were suspended by the government of Tuvalu for 2 months in 2014 until a satisfactory outcome could be found. The issue was resolved, and the projects were able to get on with the implementation of activities. However, it also decreased the available GEF-LDCF budget of NAPA-2 by USD 400,000, creating a new challenge to implement the project with fewer financial resources.

95. A second observation from the 2015 project expenditures is that it includes the purchase of the vessel RV “*Tala Moana*” for a total cost of about USD 950,000. This amount was fully logged in the UNDP Atlas financial system in 2015 against an allocated budget of USD 300,000 for the purchase of a boat. However, negotiations took place at the time of the purchase in 2015 and in 2016 between the government, UNDP and the project team to share this cost. The decision was to share this amount among three Parties: NAPA-2, R2R and the government of Tuvalu through TFD: NAPA-2 would contribute the sum of USD 300,000; R2R the sum of USD 300,000; and the government of Tuvalu the sum of USD 350,000 toward the purchase of the RV “*Tala Moana*”.

96. However, instead of ending with transparent cash transfers back to the NAPA-2 account, no exchange of cash took place between the three Parties following the decision to share the purchase cost as detailed above. Instead, more discussions/negotiations on the cost sharing resulted with the R2R project and TFD to directly finance NAPA-2 activities up to the amount owned to NAPA-2. At the time of this evaluation, the R2R project had financed NAPA-2 activities for a total amount of about USD 280,000 (out of USD 300,000 owed) and the government of Tuvalu through the TFD financed the cost of trips to outer islands (Metronome trips) and some other costs such as the purchase of an Echo Sounder for a FAD for an approximate amount almost equivalent to the amount owned to NAPA-2.

97. The review of the entire process related to the purchase of the vessel, the cost sharing and the running cost of the vessel indicates that it was complex and difficult due mostly to the lack of expertise/experience in this area. People involved in this process had to learn on the fly how to purchase, run and maintain a vessel while ensuring that procurement procedures were followed. It is also true that cash-wise, the process was not the most transparent process in the NAPA-2 accounting books. Considering that the full amount of USD 950k was logged in 2015 as NAPA-2 project expenditures, it inflated the disbursements for this year for NAPA-2 when in fact 2/3 of this amount (USD 650k) were pre-paid NAPA-2 activities, which were implemented and financed by either R2R or TFD in the following years with no trace in NAPA-2 accounting books during these following years.

98. Nevertheless, the vessel “*Tala Moana*” has been available for NAPA-2 implementation team but also for other projects and particularly for TFD staff to conduct work in outer islands. It has been a critical purchase, which has helped positively NAPA-2 implementation. Based on the review conducted for this evaluation, no

other realistic options were available; the “*Tala Moana*” has been part of the critical success factors to implement NAPA-2. It is also a vessel available to the government and any other opportunities willing to charter the vessel if available. It has been a great addition for the development of Tuvalu.

### ***Co-financing / Parallel Financing***

99. The co-financing and parallel financing commitments at the outset of the project totaled the amount of USD 19,609,516 and represents 82% of the total financing of NAPA-2. Furthermore, 99% of this co-financing commitments are parallel financing. The table below indicates the breakdown of these commitments. It shows that 73% of these co-financing commitments were from the government of Tuvalu, 10% from SPC and the remaining parallel commitments from UNDP-SGP, NZAP, Tuvalu Red Cross and Falekaupule Trust Funds. These amounts indicated in the table below were the object of co-financing letters confirming these commitments.

**Table 8: Co-financing Status**

Partner	Type	Commitments (USD)	%
Government of Tuvalu	In-kind	167,188	1%
Government of Tuvalu	Cash	62,176	-
Government of Tuvalu	Parallel	14,267,842	72%
UNDP – SGP	Parallel	911,190	5%
SPC	Parallel	1,979,460	10%
NZAP	Parallel	1,000,000	5%
Tuvalu Red Cross	Parallel	207,500	1%
Falekaupule Trust Fund	Parallel	1,243,524	6%
<b>Total (USD)</b>		<b>19,838,880</b>	<b>100%</b>

Source: Project Document and information collected from the project management team.

100. The project document discussed the additional co-financing resources; it said that “*the project will catalyze and leverage additional co-financing resources from domestic, bilateral and other multilateral sources*”. The justification of this large amount of co-financing and parallel financing was based on the fact that LDCF resources were to build on the domestic resources that were made available to outer islands (through the Special Development Expenditure, Falekaupule Trust Fund distributions, and core revenues), and through the integration of climate risks into Island Strategic Plans (ISPs) and continuous assistance in the island-level annual budgeting process. However, at the time of this evaluation, no reporting has been done on co-financing and parallel financing.

101. Nevertheless, despite that no figures were available, the Evaluator confirms that project partners did contribute critical in-kind resources to the implementation of NAPA-2 activities. Considering the large amount that was identified at the formulation stage, it is not possible to estimate these contributions. However, the project was actively supported by a management team of UNDP office in Funafuti and Suva (Fiji) which played a key role in procuring and exporting project goods and services to Tuvalu as well as participating to various meetings including project board meetings. NAPA-2 benefited from the expertise of the NZAP-financed Fisheries Advisor, who was based at the TFD and worked closely with the SPC’s Oceanic/Coastal Fisheries Division. The project also worked closely with SPC - Applied Geoscience and Technology Division (SOPAC) under component 2, especially on integrating new procedures for the new communication capacity enhancement measures - financed by the GEF-LDCF resources - into the revised National Disaster Management Plan. Under the third component, the project worked with the Falekaupule Trust Fund – a fund created in 1999 to assist outer islands in addressing priority community development needs – which finances actions identified in the ISPs. Finally, through the various departments involved in the implementation of NAPA-2, the government certainly contributed its own resources, including the Kaupules in the outer islands.

102. As discussed in section 4.1.5, and 4.1.8, the project has benefited from strong partnerships with government departments and SPC – a regional institution acting as the principal scientific and technical

organization in the Pacific region. These entities have been fully committed and engaged in the implementation of NAPA-2. Despite that no specific figures on co-financing and parallel financing contributions were available at the time of this review, the Evaluator confirms that the narrative included in the project document discussing how these partners would contribute to the implementation of NAPA-2 activities happened. The project did benefit from the expertise of the NZAP-financed Fisheries Advisor, the SPC and the good involvement of government departments, including the Falekaupule Trust Fund and the Kaupules in the outer islands.

#### **4.2.4. Monitoring & Evaluation (M&E) Approach**

103. A Monitoring Framework and Evaluation Plan was developed during the formulation of the project in accordance with UNDP and GEF procedures. A total indicative cost of USD 94,000 was budgeted, representing about 2.2% of the total GEF-LDCF grant. 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. The plan was based on the *Project Results Framework* that included a set of performance monitoring indicators along with their corresponding sources of verification.

104. A summary of the operating modalities of the M&E plan is as follows:

- *Performance indicators:* A set of 9 indicators with their respective baselines and 11 targets by the end of the project were identified and documented in the *Project Results Framework*. They have been used to monitor/measure the performance of the project at the objective and outcomes level and this information has been reported in annual progress reports;
- An *inception workshop* was planned to assist all partners to fully understand and take ownership of the project and review the entire project strategy including its monitoring and evaluation. This workshop was conducted on May 20., 2014 in Funafuti. No changes were made to the project implementation strategy; however, participants to the workshop emphasized on the need to effectively communicate NAPA-2 activities and anticipated results, focusing on the specificity of NAPA-2 versus other projects including NAPA-1. An inception workshop report was prepared to summarize the findings from the workshop.
- The *Project Coordinator ensured the day-to-day monitoring*, particularly to monitor the implementation of annual work plans;
- The PMU had the responsibility to produce progress reports documenting/measuring the progress made by the project for any given period and to report the progress made by the project to the Project Board. The reporting function has included two main types of progress reports:
  - *Quarterly Progress Reports:* This is a UNDP requirement. Recorded in Atlas, the progress has been monitored and risks have been reviewed and logged in the Atlas system;
  - *Annual Project Reviews / Project Implementation Reports (APR/PIRs):* These reports are both UNDP and GEF requirements, following specific guidelines. They are annual progress report measuring the progress made by the project during the past year and overall since its inception. They include a review of the development objective, measuring the progress made - using the performance indicators - to achieve the overall expected objective and outcomes; and a review of the implementation measuring the progress made during the past year;
- *Periodic Monitoring through site visits:* UNDP staff based in Suva and UNDP-GEF regional office conducted visits to project sites in Tuvalu. Following each visit, Back To Office Reports (BTORs) were prepared.
- *Mid-term and Final Evaluations:* The project was to be subjected to two independent external evaluations. A mid-term evaluation and a terminal evaluation to determine the progress made at specific points in time, including progress made against expected results; reviewing the implementation modalities; identify any need for corrective actions; and finally, to identify any lessons learned. The mid-term evaluation was conducted during the period June to October 2017.
- *Learning and Knowledge Sharing:* Results from the project were to be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.
- *Financial Audit:* Audits were to be conducted by the legally recognized auditor of UNDP Pacific office, in accordance with UNDP Financial Regulations and Rules and applicable Audit policies.

105. The set of indicators to measure the progress of the project at the objective and outcomes level was reviewed by the Evaluator. The project was approved with a set of 9 indicators, which were presented in the *Project Results Framework* with their respective baselines and 11 related targets to be achieved by the end of the project. No changes were made to these indicators during the inception phase. The list of indicators and their respective targets are presented in the table below:

**Table 9:** List of Performance Indicators

Project Outcomes	Indicators	Targets
<p><b>Objective</b> - Resilience of island communities to climate change variability and risks is strengthened through participatory island-level planning, budgeting and execution and community-led investments.</p>	1. Take up of climate resilient marine based livelihood options	<ul style="list-style-type: none"> <li>By the end of the Project at least 40% of the targeted households adopted at least one form of traditional resilient marine livelihood methods (including canoe building, traditional fishing methods, postharvest fish processing, or aquaculture)</li> </ul>
	2. Percentage of the Tuvaluan population covered by the 24/7 early warning system	<ul style="list-style-type: none"> <li>95% of Tuvaluan receives early warning in a timely manner using one of the multiple communication lines</li> </ul>
	3. Outer island communities able to access climate/development funds using climate mainstreamed ISPs	<ul style="list-style-type: none"> <li>By the end of the project at least eight adaptation priority actions (one in each island) at the island level, outlined in ISPs, are financed by either domestic or external resources and executed</li> </ul>
<p><b>Outcome 1</b> - Marine based coastal livelihoods of Tuvaluan outer islands made resilient to declining productivity induced by climate variability and change.</p> <ul style="list-style-type: none"> <li><b>Output 1.1:</b> Climate-resilient marine-based livelihood techniques are implemented benefiting at least 50% of the population</li> <li><b>Output 1.2:</b> Capacity of local administrations, CSOs, communities and Community Fisheries Centers enhanced to integrate climate risks in the community-based management of MMA/MPA including zoning guidance, marine resource stock surveys and monitoring and enforcement</li> <li><b>Output 1.3:</b> Awareness enhanced for at least 2,000 people including island Kaupules, central government staff, CSOs, and community members to understand and respond to the impacts of climate induced risks on marine based coastal livelihoods</li> </ul>	4. Households and communities have more secure access to livelihood assets – disaggregated by gender	<ul style="list-style-type: none"> <li>Score improved to 4: By the end of the project at least 50% of targeted outer islands households have access to climate resilient marine-based livelihood methods introduced/strengthened in the project</li> </ul>
	5. The area of Marine Protected Areas (MPAs) or Locally Managed Marine Areas (LMMAs) managed in a climate-resilient manner	<ul style="list-style-type: none"> <li>The area of MPA/MMAs is clarified and some form of management applied to at least a quarter of the reef area on each outer island (area to be calculated) with a corresponding climate-resilient community management plan or Kaupule by-law.</li> <li>Capacity to undertake creel surveys and maintain the database developed among community-based MPA/MMA management groups</li> </ul>
	6. The level of awareness about links between improved marine ecosystem management and sustainability and resilience of subsistence marine based livelihoods	<ul style="list-style-type: none"> <li>At least 50% of Fisheries staff, Kaupule, women, youth and fishers interviewed confirm a clear link between resource management and resilience of livelihoods</li> </ul>
<p><b>Outcome 2</b> – Capacity of outer islands enhanced to respond to increasing/ intensifying climate induced hydro-meteorological risks.</p> <ul style="list-style-type: none"> <li><b>Output 2.1:</b> Each island is equipped with robust communication facilities and early warning system facilities</li> </ul>	7. Relevant risk information disseminated to stakeholder	<ul style="list-style-type: none"> <li>By the end of the project at least 95% of populations are able to receive and respond to early warnings and take the appropriate actions following the warning</li> </ul>

Project Outcomes	Indicators	Targets
<ul style="list-style-type: none"> <li>● <b>Output 2.2:</b> Raised awareness and preparedness of outer island communities for climate-induced extreme events</li> </ul>		
<p><b>Outcome 3</b> - Enhanced capacity of communities to access internal/external financing for community-based climate change adaptation through existing participatory development planning processes.</p> <ul style="list-style-type: none"> <li>● <b>Output 3.1:</b> All outer Island Strategic Plans integrate island-specific climate risks through existing gender-sensitive, participatory processes</li> <li>● <b>Output 3.2:</b> Capacity of Kaupules, Falekaupules and community members for monitoring adaptation investments strengthened</li> <li>● <b>Output 3.3:</b> National and outer island capacity to leverage, sequence and combine domestic resource for climate change adaptation investments strengthened</li> </ul>	8. Local development framework (i.e. ISP) that integrate climate risks	<ul style="list-style-type: none"> <li>● By the end of the project, all outer islands have their ISPs revised to integrate climate risks</li> <li>● Annual budgeting process building on the ISP is in place</li> </ul>
	9. Adaptation actions implemented from island level plans (no. and type)	<ul style="list-style-type: none"> <li>● By the end of the project at least eight adaptation priority actions (one in each island) at the island level, outlined in ISPs, are financed by either domestic or external resources and executed</li> </ul>

Source: Project Document and PIRs

106. These 9 indicators were identified to measure how well the project was progressing toward its outcomes and objective. As per the project document, these indicators were aligned with the LDCF Adaptation Monitoring and Assessment Tool (AMAT)<sup>9</sup>. These 9 indicators have been used yearly to report progress made in the APR/PIR reports. The review of these indicators and their respective targets reveals that they are SMART indicators. It is a good set of indicators that was used to measure how well the project was progressing. With clear targets, it makes them unambiguous indicators that are specific, measurable, available and relevant for the project in a timely manner.

107. The M&E plan – including its set of performance indicators - provided the project with a good framework to measure its progress/performance. APR/PIRs and Quarterly Progress Reports were produced timely and reviewed by the Project Board. The review of annual PIRs reveals that they are comprehensive reports that provide good monitoring information documenting the project’s progress year over year. The assessment conducted by the Evaluator reveals that the project was satisfactorily monitored, and that this information was used to plan and implement day-to-day activities, including the need to adapt the implementation approach when corrective actions were needed. Reports were endorsed by the PB and were opportunities to discuss issues and solutions.

108. Finally, the ratings given in each PIR were reviewed by the Evaluator and compared to those given in this terminal evaluation. In the PIR 2015, ratings for progress toward the development objective and yearly implementation progress were all rated as *Moderately Satisfactory*. In both PIR 2016 and 2017, ratings for progress toward the development objective and yearly implementation progress were all rated as *Satisfactory*. In the last PIR 2018, ratings varied between the Project Coordinator, the UNDP Country Office and the UNDP

9 The Adaptation Monitoring and Assessment Tool (AMAT) was launched in April 2011 by the GEF Secretariat and the GEF Independent Evaluation Office. It was the first GEF tracking tool developed for climate change adaptation projects funded under the LDCF and the SCCF. In 2014, the 2014-2018 Programming Strategy on Adaptation was launched; it provided an updated RBM framework for climate change adaptation projects funded by the LDCF and SCCF and a set of revised monitoring indicators. From 52 indicators included in the AMAT, the new RBM framework includes 14 indicators.

Regional Technical Adviser (RTA) with the *Satisfactory* rating given by the Project Coordinator and the UNDP Country Office but the RTA rated the project as *Moderately Satisfactory* for progress toward the development objective and *Moderately Unsatisfactory* for the implementation progress in 2018. The main justification for these lower ratings were that, “*despite considerable improvements in the effective and efficient delivery of project results when compared to NAPA-1, there were significant shortcomings in the achievement of the original project targets and results*”. This terminal evaluation was concluded with an overall rating of *Satisfactory* which is approximately in line with ratings given in PIRs. When considering the conditions to implement such a project in a small island state such as Tuvalu, there are high risks to face various delays, which affect directly the delivery of project activities. By the end of the project, NAPA-2 was able to deliver most of its expected results and outer island communities in Tuvalu are now better equipped to be more resilient to climate variability and risks.

#### **4.2.5. Contribution of UNDP and Implementing Partners**

109. The quality of UNDP implementation and the quality of execution of the DOE, TFD, Met Office and DRD - as respectively the GEF implementing agency and the national executing agencies of the project in Tuvalu - to support the implementation of the project was satisfactory. In their respective area of responsibility, they provided good support to the implementation team to ensure an efficient use of GEF-LDCF resources and an effective implementation of the project. These institutions participated actively in the design and the implementation of the project.

110. UNDP provided the required guidance to apply UNDP project management procedures such as procurement, hiring and contracting as well as guidance for reporting project progress. The UNDP office in Suva, Fiji played a key role in exporting goods and services to Tuvalu. It also played a role of quality assurance over the implementation of the project, ensuring that the required qualities for project activities were fulfilled. Overall, UNDP backstopped the project with its own resources, supported the project management team throughout the implementation including the participation in the decision-making process for implementing the project through the PB.

111. MOFATTEL, as the national implementing partner for NAPA-2, played an important role in the implementation of this project as the main government anchor point of the project. As discussed in section 4.1.8, it assigned the Department of Environment as the agency responsible for supervising the day-to-day implementation of the project. The Director of DOE has chaired the PB; providing leadership in guiding the implementation of the project. Additionally, through memoranda of understanding, MOFATTEL also designated 2 other government agencies: TFD as the responsible government agency for the implementation of outcome 1 and DRD for outcome 3. These implementing partners – with clear roles and responsibilities - provided important facilitator roles for the project. They provided the government/institutional context for the legitimization of project-supported activities; particularly for linking up project supported activities with the national policy and legislation context.

112. One arrangement that facilitated this good “chemistry” between the project and these government agencies was the decision to finance technical staff “embedded” within the partners’ offices. NAPA-2 hired two national Fisheries Officers for 2 years and based at TFD; and one ISP Officer and one Community Support Officer for 2 years and based at DRD. It created a strong link between these departments and the NAPA-2’s MPU. Moreover, these Officers are now part of these departments; after their 2 years as project staff, they were hired by their respective departments and are now part of the agencies’ staff. This approach has been viewed as very positive by several stakeholders interviewed for this evaluation. It contributed to building the capacity of the respective departments in areas supported by NAPA-2 and it is anticipated that it will facilitate the institutionalization of NAPA-2 achievements. This approach is also now replicated by other projects.

#### **4.2.6. Summary of the Mid-Term Review (MTR)**

113. One external Evaluator conducted a Mid-Term Review (MTR) over the period June-October 2017. The Evaluator reviewed the project at mid-point following the UNDP and GEF evaluation guidelines. It concluded at the time that the project had progressed well towards its objective of having resilience of outer island communities to climate change variability and risks, and resilience have improved through participatory island level planning, budgeting and execution and community-led investments.



114. The MTR stated that some progress had been achieved: under outcome 1 for enhancing the resilience of marine based coastal livelihood of Tuvaluan in the outer islands; under outcome 2 with the installations of the early warning systems in some outer islands and the enhancement of capacities of outer islands communities to respond to increasing/intensifying climate induced hydro-meteorological risks; and under outcome 3 with the enhancement of capacities of Kaupules and the local communities on incorporating climate change risks into ISPs; including the development of capacities of communities to access internal and external financing for community-based adaptation actions.

115. In the meantime, the MTR noted that gender inequalities were still evident in the traditional decision-making structure and stated that this will need to be tackled in future projects so that the project design specifically addresses gender disparity that continues to exist in society.

116. Under the analysis of “*Operations, Policies and Procedures*”, the MTR detailed the numerous challenges faced by NAPA-2. It includes the review of the transportation issue to outer islands and the recognition that the purchase of a vessel by the project was an important positive decision to address this issue; the limitations in communications infrastructure on outer islands; the lengthy recruitment process to hire staff and consultants; and the numerous delays for procuring goods and services, payments, manufacturing and shipping to Tuvalu.

117. Overall, the MTR rated the progress made by the project and the sustainability of the achievements as satisfactory. It concluded with the following set of 8 recommendations:

- A project extension of 12 months
- Expedite aquaponics activity for Outcome 1.
- Formulation of fisheries management plan for 4 islands
- Collect data on FADs Catch Data for 4 outer islands and all Outcome 1 activities are to focus on these four outer islands
- Ensure PMU remains at the Department of Environment during the lifetime of NAPA 2
- Establish regular meetings between PMU and CCPDCU
- Ensure staff continuity within PMU, Department of Fisheries and the Department of Rural Development
- The Ridge to Reef (R2R) project should expedite the processing and payment of the USD\$300,000 for its share of payment for the purchase of the vessel "Tala Moana".

118. A management response was developed to plan how to address these recommendations, including key actions, timeframe, responsibility and tracking the implementation of each recommendation. At the time of this evaluation, MTR recommendations had been implemented or are in progress for the most part. Those recommendations that are still in progress include the implementation of the aquaponic system, the formulation of fisheries management plans for 4 islands and the collection of data on these 4 islands. The Evaluator also noted that in addition to these ongoing activities, the installation of most FADs is also on-going at the time of this evaluation.

### **4.3. Project Results**

119. This section discusses the assessment of project results; how effective was the project to deliver its expected results, how sustainable these achievements will be over the long-term, and what are the remaining barriers limiting the effectiveness of the project.

#### **4.3.1. Overall Achievements/Results**

120. As presented in Sections 4.1, the project has been implemented through three (3) components. The implementation progress is measured through a set of 9 indicators, each one with its respective target(s) to be achieved by the end of the project. Below is a table listing key results achieved by the project against each expected outcome, using the corresponding targets to measure the progress made. Additionally, a color “*traffic light system*” code was used to represent the level of progress achieved by the project.

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

**Table 10:** List of Achievements vs. Expected Outcomes and Targets

Expected Results	Project Targets	Results	TE Assess.
<p><b>Outcome 1</b> - Marine based coastal livelihoods of Tuvaluan outer islands made resilient to declining productivity induced by climate variability and change.</p> <ul style="list-style-type: none"> <li>● <b>Output 1.1:</b> Climate-resilient marine-based livelihood techniques are implemented benefiting at least 50% of the population</li> <li>● <b>Output 1.2:</b> Capacity of local administrations, CSOs, communities and Community Fisheries Centers enhanced to integrate climate risks in the community-based management of MMA/MPA including zoning guidance, marine resource stock surveys and monitoring and enforcement</li> <li>● <b>Output 1.3:</b> Awareness enhanced for at least 2,000 people including island Kaupules, central government staff, CSOs, and community members to understand and respond to the impacts of climate induced risks on marine based coastal livelihoods</li> </ul>	<ul style="list-style-type: none"> <li>● Score improved to 4: By the end of the project at least 50% of targeted outer islands households have access to climate resilient marine-based livelihood methods introduced/strengthened in the project</li> </ul>	<ul style="list-style-type: none"> <li>● Demonstrations of traditional fishing methods and post-harvest fish processing methods, so far only held in Funafuti, were delivered to 38% of the total households (HHs) in Funafuti, or 240 HHs.</li> <li>● Four out of the five fish processing methods used in demonstrations targeted women, youth and people with disabilities. The Department of Fisheries will expand the demonstration to outer islands later in the year.</li> <li>● Funded the procurement of 80 of the 146 Grab bags consisting of sea-safety equipment to Fishermen (10 per islands) containing contain the following items: <i>personal locator beacon, medical kits, strobe lights, sea anchor drogues, Garmin GPS, VHF Radio Unit, Sea Rescue Streamers, AA batteries, signal mirrors, laser flares, inflatable life jackets, map compass, thermal blankets, and thermal bags.</i></li> <li>● So far, the Grab bags have managed to save 7 lives of Fishermen. 3 fishermen from <b>Funafuti</b>, 1 from <b>Niulakita</b>, 1 from <b>Nukufetau</b> and 1 from <b>Niutao</b>. The 7 fishermen activated the personal locator beacon in the grab bag.</li> <li>● Project financially supported the SPC-led training in the rig and deployment of Fish Aggregating Devices (FADs) for 14 Fisheries officers. From this training, 3 FADs were rigged and deployed in <b>Funafuti</b>: <ul style="list-style-type: none"> <li>○ 1 Lagoon FAD; South-East of <b>Funafuti</b> at 44m deep.</li> <li>○ 1 Offshore surface FAD; South-West of <b>Funafuti</b> with a distance of 1,870m from shore.</li> <li>○ 1 Offshore surface FAD; East of Funafuti at 1,500m from shore</li> </ul> </li> <li>● The deployment of three FADs has benefitted the 599 fishermen on Funafuti which constitutes to around 61% of households in <b>Funafuti</b> and it is equivalent to 26% of households in Tuvalu.</li> <li>● 4 FADs per island (8) are in <b>Funafuti</b> waiting to be deployed in outer islands</li> <li>● 1 aquaponic system is in <b>Funafuti</b> waiting to be deployed in <b>Funafuti</b> by TFD</li> <li>● The completion of 6 out of the 7 training centers (13m X 8m) in <b>Nanumea, Nanumaga, Niutao, Nui, Vaitupu</b> and <b>Nukulaelae</b> has enabled Fisheries to organize trainings in a proper facility that were built exclusively for training purposes.</li> </ul>	

Expected Results	Project Targets	Results	TE Assess.
		<ul style="list-style-type: none"> <li>• A 30m vessel RV “<i>Tala Moana</i>” was purchased from Australia and arrived in Tuvalu on January 22, 2016. It has provided a transportation system for the NAPA-2 implementation team to go to the outer islands.</li> </ul>	
	<ul style="list-style-type: none"> <li>• The area of MPA/MMAs is clarified and some form of management applied to at least a quarter of the reef area on each outer island (area to be calculated) with a corresponding climate-resilient community management plan or Kaupule by-law.</li> <li>• Capacity to undertake creel surveys and maintain the database developed among community-based MPA/MMA management groups</li> </ul>	<ul style="list-style-type: none"> <li>• MPA/MMA boundaries were clarified. The total area of MPA/MMA has increased from 103.306 km<sup>2</sup> to 239.453 km<sup>2</sup> but 20% of reef area, as opposed to the target of 25%, is under protection. Current status is: <ul style="list-style-type: none"> <li>○ <b>Funafuti:</b> Increased its Marine LMMA/MPA by 4.05km<sup>2</sup></li> <li>○ <b>Vaitupu:</b> LMMA has been demarcated. No By-Law but Customary Law is applied. 2009 Management Plan in place. Increased its Marine LMMA/MPA by 0.233km<sup>2</sup></li> <li>○ <b>Nukulaelae:</b> LMMA has been demarcated. Kaupule 2007 By-Law in place to manage LMMA. Increased its Marine LMMA/MPA by 3.31km<sup>2</sup></li> <li>○ <b>Nanumea:</b> LMMA has been demarcated. Kaupule 2014 By-Law in place to manage LMMA. Increased its Marine LMMA/MPA by 2.68km<sup>2</sup></li> <li>○ <b>Nukufetau:</b> LMMA has reduced from initial boundary. Kaupule By-Law was passed in 2005. Increased its Marine LMMA/MPA by 116km<sup>2</sup></li> <li>○ <b>Nui:</b> LMMA has been demarcated. No By-Law but Customary Law is practiced. Increased its Marine LMMA/MPA by 7.297km<sup>2</sup></li> <li>○ <b>Niutao:</b> No LMMA, No By-Law. Increased its Marine LMMA/MPA by 2.68km<sup>2</sup></li> <li>○ <b>Niulakita:</b> No LMMA. No By-Law but used Customary Law to manage their resources. Decreased its Marine LMMA/MPA by 0.19km<sup>2</sup></li> <li>○ <b>Nanumaga:</b> LMMA has been demarcated. No By-Law but Customary Law is applied to manage the LMMA. Increased its Marine LMMA/MPA by 0.924km<sup>2</sup></li> </ul> </li> <li>• Consultation for the increase of MMA/MPA included both men and women. NAPA-2 in collaboration with Ridge-to-Reef Project and Tuvalu Fisheries Department are in the process of carrying out consultation for the formulation of Management and Monitoring Plans for all LMMAs and MPAs. To date, consultation has been completed for <b>Nukulaelae</b> and <b>Niulakita</b>.</li> </ul>	
	<ul style="list-style-type: none"> <li>• At least 50% of Fisheries staff, Kaupule, women, youth and fishers interviewed confirm a clear link between resource management and resilience of livelihoods</li> </ul>	<ul style="list-style-type: none"> <li>• 28 training on creel surveys have been organized by Fisheries Officers for Outer Island Data Collectors, and R2R Island Officers. Creel Surveys in Funafuti is an ongoing activity, whereas creel surveys on the islands are conducted during Metronome trips.</li> </ul>	

Expected Results	Project Targets	Results	TE Assess.
		<ul style="list-style-type: none"> <li>● So far, the number of Creel Surveys undertaken are: <ul style="list-style-type: none"> <li>○ 2015 – 65</li> <li>○ 2016 – 210</li> <li>○ 2017 – 1,491</li> <li>○ 2018 – ongoing</li> </ul> </li> <li>● The results from Creel Surveys yielded the following comparisons from stressed fishing resources of both invertebrates and fish species in 2016 and 2017: <ul style="list-style-type: none"> <li>○ <b>Funafuti</b>: 43% in 2016 and decreased to 31% in 2017.</li> <li>○ <b>Nanumaga</b>: 0% in 2016 and increased to 62% in 2017.</li> <li>○ <b>Nanumea</b>: no data in 2016 to 50% in 2017.</li> <li>○ <b>Niutao</b>: 100% in 2016 and decreased to 53% in 2017.</li> <li>○ <b>Nui</b>: there was no change in Nui, as the percentage of stressed resources remained at 42%.</li> <li>○ <b>Nukufetau</b>: 56% in 2016 and decreased to 40% in 2017.</li> <li>○ <b>Nukulaelae</b>: 70% in 2016 and decreased to 63% in 2017.</li> <li>○ <b>Vaitupu</b>: no data for 2016 and 2017 has 50% of stressed resources.</li> </ul> </li> </ul>	
<p><b>Outcome 2</b> – Capacity of outer islands enhanced to respond to increasing/intensifying climate induced hydro-meteorological risks.</p> <ul style="list-style-type: none"> <li>● <b>Output 2.1</b>: Each island is equipped with robust communication facilities and early warning system facilities</li> <li>● <b>Output 2.2</b>: Raised awareness and preparedness of outer island communities for climate-induced extreme events</li> </ul>	<ul style="list-style-type: none"> <li>● By the end of the project at least 95% of populations are able to receive and respond to early warnings and take the appropriate actions following the warning</li> </ul>	<ul style="list-style-type: none"> <li>● 100% of the Tuvaluan populations is covered by multiple communication lines.</li> <li>● With the installation of communication infrastructure in place, the project in collaboration with the Climate Change Policy and Disaster Coordination Unit (CCPDCU), Tuvalu Red Cross, Attorney General's Office and Tuvalu Meteorological Services are working together to achieve the following: <ul style="list-style-type: none"> <li>○ Conducted Vulnerability and Capacity Assessment (VCAs<sup>10</sup>) in all 9 islands of Tuvalu</li> <li>○ Revision of Tuvalu Meteorological Services and Disaster Coordination Unit; Standard Operating Procedures (SOPs) on sudden onset event such as Tsunami and fire to incorporate the new communication infrastructure.</li> <li>○ 8 Island Disaster Plans for <b>Nanumea, Nanumaga, Niutao, Nui, Vaitupu, Nukufetau, Nukulaelae</b> and <b>Niulakita</b>.</li> <li>○ Review of the National Disaster Management Act (NDMA). Consultation has yet to be completed. Proposed changes to the current National Disaster Management Act includes the communication infrastructure installed by the project. Revised NDMA is scheduled to be endorsed by the next Parliament sitting.</li> </ul> </li> </ul>	

10 Vulnerability and capacity assessment (VCA) is a process of participatory investigation designed to assess and address major risks affecting communities. It aims to determine people's vulnerability to those risks, and their capacity to cope and recover from a disaster.

Expected Results	Project Targets	Results	TE Assess.
		<ul style="list-style-type: none"> <li>• Currently these activities are ongoing and are expected to be completed prior to the end of the project life.</li> <li>• 2 videos (a long and a short video) on the deployment of the early warning system in Tuvalu were developed</li> </ul>	
<p><b>Outcome 3</b> - Enhanced capacity of communities to access internal/external financing for community-based climate change adaptation through existing participatory development planning processes.</p> <ul style="list-style-type: none"> <li>• <b>Output 3.1:</b> All outer Island Strategic Plans integrate island-specific climate risks through existing gender-sensitive, participatory processes</li> <li>• <b>Output 3.2:</b> Capacity of Kaupules, Falekaupules and community members for monitoring adaptation investments strengthened</li> <li>• <b>Output 3.3:</b> National and outer island capacity to leverage, sequence and combine domestic resource for climate change adaptation investments strengthened</li> </ul>	<ul style="list-style-type: none"> <li>• By the end of the project, all outer islands have their ISPs revised to integrate climate risks</li> <li>• Annual budgeting process building on the ISP is in place</li> </ul>	<ul style="list-style-type: none"> <li>• All 8 ISPs have either been reviewed or formulated. 7 out of the 8 ISPs have been endorsed by their respective island communities and implemented by the Island Council.</li> <li>• The project in partnership with LoCAL, the Auditor General's Office, and the Department of Rural Development has carried out an average of 2 or more budget training per island. The Island Leaders Assembly in 2017 resulted in a mandate that the Island Council's Annual Work Plan be directly linked to each Island Council's Capital Investment Plan which eventually links to their respective Island Strategic Plans. Annual Budgets can only be approved if it directly links to Annual Work Plan.</li> </ul>	
	<ul style="list-style-type: none"> <li>• By the end of the project at least eight adaptation priority actions (one in each island) at the island level, outlined in ISPs, are financed by either domestic or external resources and executed</li> </ul>	<ul style="list-style-type: none"> <li>• 8 adaptation projects are being implemented, with 75% of the projects being funded locally while the remaining 25% of adaptation projects are being funded by external sources.</li> </ul>	

Source: Adapted from project progress reports and information collected during the mission in Tuvalu.

121. The review of achievements of the project indicates a successful and effective project; it should meet most of its targets by June 2019. Outcome 1 was assessed as “*On target to be achieved*”. The main reason is that the installation of FADs in outer islands and the installation of the aquaponic system have not taken place yet at the time of this evaluation. Nevertheless, the project was able to achieve what it was intended to achieve in the planned timeframe. As discussed in Section 4.2.1 the project used adaptive management to provide flexibility in the project’s approach working with partners and related government departments. As discussed in Section 4.1.3, the project was a response to national priorities identified under the NAPA process; as a result, it benefited from a good national ownership.

122. Regarding the first indicator for measuring the performance of outcome 1 (the AMAT score), which was 2 at the time of formulation of the project (*Poor access to secure access to marine livelihood assets*) was targeted to be 4 by the end of the project (*Secure access to marine livelihood assets*). No assessment had been done at the end of the project, but based on the results of the project at the time of this evaluation, it can be considered as achieved. The various activities conducted under this outcome in the outer islands have contributed to give better access to marine livelihood assets and improved the resilience of these communities to negative impacts of climate change. Regarding the third indicator under this same outcome 1 (*level of awareness about links between improved marine ecosystem management and sustainability and resilience of subsistence marinebased livelihoods*), the target was that at least 50% of Fisheries staff, Kaupule, women, youth and fishers interviewed confirm a clear link between resource management and resilience of livelihoods. No assessment, nor reporting could be found during this evaluation to ascertain if this target has been reached.

123. The Evaluator noted that despite a rather slow start, which was properly documented in the PIRs, the pace of implementation picked up drastically once the vessel RV “*Tala Moana*” arrived in Tuvalu. It allowed the project team and partners to go to outer islands more regularly and coordinate the implementation of the

planned activities. It is well illustrated by the disbursement profile of the project (*see diagram in section 4.2.3*). In terms of disbursements, the first year (2014) was a slow start. In 2015, the 30m vessel RV “*Tala Moana*” was purchased; with a total cost of USD 950,000, it contributed to the high disbursement that year. Then, with the help of the RV “*Tala Moana*”, the project moved forward with the procurement of goods and services over the years 2016 and 2017.

124. The assessment conducted for this TE identified three critical success factors that explain this effectiveness: (i) the project was well designed, responding to national priorities which resulted in a good engagement and participation of stakeholders. As discussed in Section 4.1.3, NAPA-2 has been addressing 3 priorities identified in NAPA, which in turn was a thematic plan (climate change adaptation plan) supporting the implementation of the *Te Kakeeg II*, the national strategy for sustainable development for Tuvalu. NAPA-2 supported activities became part of the government to implement its sustainable development strategy; (ii) related to the relevance of the project for Tuvalu, the project enjoyed a strong engagement of government departments; particularly TFD, DRD and the Met Office. They played a key role to implement the respective activities under each outcome. It also contributed to an early institutionalization of results; and (iii) a good flexibility in allocating project resources and implementing activities to be able to respond to stakeholders needs and maintain adherence to the overall project design. It is worth noting here that the project had a budget of “only” USD 300,000 to purchase a boat, and that the final cost was over USD 0.8M. This extra expense affected the overall budget of NAPA-2; however, negotiations with the Ridge to Reef (R2R) project and the government took place and ended with an agreement to share the cost of the vessel (*see also Section 4.3.4*).

125. In the meantime, the Evaluator noted that the various delays in procuring the goods and services to the project affected the timing to implement some activities, which resulted in a few cases with the possibility of unfinished activities by the end of the project. It is the case for the FADs. The plan was to install 3 FADs on the island of Funafuti and 4 FADs on each of the eight outer islands. As of the time of this evaluation, only the 3 FADs for Funafuti are installed and in operation. The other 32 FADs are still at the port in Funafuti waiting to be deployed to the outer islands. So, in terms of disbursements, NAPA-2 met its target by investing in the purchase of FADs; however, with an expected late installation of FADs, capacities to operate and maintain these FADs may not be adequate for the long-term sustainability of these activities. The same can be said about the aquaponic system. A unit was bought and exported to Tuvalu; it is also now waiting at the port in Funafuti to be installed. In both cases, the good news is that TFD is committed to install these FADs in outer islands and the aquaponic system in Funafuti and provide the necessary assistance to adequately operate and maintain these systems with or without the support of NAPA-2. Nevertheless, NAPA-2 will not be able to assess the impact of these technologies and identify the best practices to be replicable. In the case of the aquaponic system, NAPA-2 will not know if this technology is viable or not in Tuvalu.

126. One planned activity<sup>11</sup> under this project that will now not be implemented is to support fishers to use traditional canoes for accessing near-shore and oceanic resources with a far lower cost than with powered boats, and with FADs providing the fishing grounds for canoes. This activity was in response to the fact that fewer and fewer outer island households have access to traditional raw materials (shortage of logs) and traditional knowledge for canoe-building. In addition, these outer island communities have no access to outside (international) information on making a transition in their marine-based livelihood practices, including improved canoe designs and materials. The plan was to build 10 canoes per island during the lifetime of the project, directly benefiting 58 people in each island or 464 people overall and representing 9% of outer island population. It was also anticipated that over the long-term, this activity will expand using locally available materials and skill built among community members. The project would have drawn lessons from other countries in the region such as PNG and Kiribati and seek to merge old and new materials and technologies to ensure that dwindling tree resources are preserved and the that the most efficient designs would be available to fishers to use.

127. Increasing the use of canoes is seen as part of coastal marine livelihoods. More fishers would be able to gain lower cost access to a wider range of fishing grounds (e.g. inside lagoons during bad weather; FADs outside the lagoon in good weather) without being dependent on dwindling supplies of fuel, boats and outboard motors that need costly repairs or a separate income to buy the fuel when it is available. Ultimately, the greater

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<sup>11</sup> Under Activity 1.1.4, output 1.1, outcome 1



use of canoes would contribute to increase the supply of marine seafood on the islands ensuring food security during periods when fishing is not possible.

128. As part of this activity to develop the capacity in building traditional canoes, the plan was to promote it during the yearly festival “*Sipikana*” that is held every year in Funafuti in September. The Evaluator noted that despite that NAPA-2 will be not able to financially support this activity, the TFD is still committed to implement this activity. Negotiations are underway with other projects such as R2R, TCAP and PROP projects currently underway in Tuvalu to fund this activity in the near future.

129. Nevertheless, despite that this canoe building activity has not been implemented, all other activities were implemented or will be completed soon after this evaluation. As a result of these activities supported by the project, island communities in Tuvalu are now better equipped to be more resilient to climate variability and risks, including greater resilience of marine-based coastal livelihoods, better capacities of island communities to respond to climate induced hydro-meteorological risks, and greater access to financing for community-based climate change adaptation actions. Altogether, NAPA-2 results should all contribute to bettering the livelihood of these island communities while conserving the marine resources.

#### 4.3.2. Attainment of Project Objective / Impact

130. The review of project achievements presented in the previous section 4.3.1 reveals that the implementation was *satisfactory* and should meet most expected outcomes formulated at the outset of the project when the project will be fully closed. Island communities in Tuvalu are now better equipped to be more resilient to climate variability and risks. The table below presents the key results of this project against the objective and its performance indicators/targets.

**Table 11:** List of Achievements vs. Objective and Targets

Expected Result	Project Target	Results	TE Assess.
<p><b>Project Objective:</b> Resilience of island communities to climate change variability and risks is strengthened through participatory island-level planning, budgeting and execution and community-led investments.</p>	<ul style="list-style-type: none"> <li>● By the end of the Project at least 40% of the targeted households adopted at least one form of traditional resilient marine livelihood methods (including canoe building, traditional fishing methods, postharvest fish processing, or aquaculture)</li> <li>● 95% of Tuvaluan receives early warning in a timely manner using one of the multiple communication lines</li> <li>● By the end of the project at least eight adaptation priority actions (one in each island) at the island level, outlined in ISPs, are financed by either domestic or external resources and executed</li> </ul>	<ul style="list-style-type: none"> <li>● So far, two forms of traditional resilient marine livelihood methods – traditional fishing methods and five post-harvest fish processing – have been introduced only in Funafuti. However, the demonstrations in Funafuti alone covered approximately 240 households, compared against the indicator target of approximately 310 households (i.e. the project targets 50% of the total households – 1,568 – in the country; 40% of the target is about 310 HHs).</li> <li>● 100% of the Tuvaluan population is covered by multiple communication lines which are: <ul style="list-style-type: none"> <li>○ AM radio, the reliability of which was strengthened through a portable outside broadcast unit, enabling continuous radio transmission from the emergency operations center</li> <li>○ Solar-powered AM/FM radio units distributed to 1,201 households</li> <li>○ 12 Chatty Beetles, enabling SMA-based two-way communications between <b>Funafuti</b> and outer islands</li> <li>○ 12 Iridium Antenna (for Chatty Beetle and Satellite Phones)</li> <li>○ 11 Barrett HF Radio</li> </ul> </li> <li>● The project support resulted in the formulation/ revision of all Island Strategic Plans. The following adaptation actions have been identified in the ISPs and financed through non-project resources. <ul style="list-style-type: none"> <li>○ <b>Nanumea</b> – Piggery Farming</li> <li>○ <b>Nanumaga</b> – Water Cistern for Island Chapel</li> <li>○ <b>Niutao</b> - Kaupule Office</li> <li>○ <b>Nui</b> – Sanitation Project</li> <li>○ <b>Vaitupu</b> – Kitchen Project</li> </ul> </li> </ul>	

Expected Result	Project Target	Results	TE Assess.
		<ul style="list-style-type: none"> <li>○ <b>Nukufetau</b> – Evacuation Center</li> <li>○ <b>Funafuti</b> – Housing Project</li> <li>○ <b>Nukulaelae</b> – Climate resilience housing</li> <li>● 8 Island projects are funded by the Special Development Expenditure Grant from government, Vessel Day Scheme, Falekaupule Trust Fund, India and LoCAL.</li> </ul>	

Source: Adapted from project progress reports and information collected during the field mission

131. When comparing the key results above with the objective and the targets established during the formulation of the project, the project has certainly contributed “to strengthen the resilience of island communities to climate change variability and risks through participatory island-level planning, budgeting and execution and community-led investments”. The project should have a long-term impact on the resilience of island communities in Tuvalu to climate variability and risks.

#### **Impact of the project on barriers identified during the formulation of NAPA-2**

132. In Section 2 of this report and further in Section 4.1.3, the context and rationale of this project was discussed. NAPA-2 is part of implementing the NAPA priorities and is a response to support the implementation of TK II. The project was to directly address these three priorities: a) *Strengthening of Community Based Conservation Programmes on Highly Vulnerable near-shore Marine Ecosystems*; b) *Adaptation to Near-Shore Coastal Shellfish Fisheries Resources and Coral Reef Ecosystem Productivity*; and c) *Strengthening Community Disaster Preparedness and Response Potential*. In addition, the project was part of the responses from the government to address the development challenges and particularly a set of four barriers: 1) *Knowledge of and access to resilient marine-based livelihood options*; 2) *Awareness about climate risks and response measures*; 3) *Limited infrastructure for timely and accurate dissemination of imminent hydro-meteorological risks*; and 4) *Capacity for climate-resilient planning, budgeting and monitoring both at local and national levels*.

133. The review of these barriers indicates clearly that NAPA-2 achievements will have a positive impact on the development of outer islands in Tuvalu. Under component 1, the project contributed to increase the knowledge and access to resilient marine-based livelihood options; under component 2, the project raised the awareness on climate risks and respond measures, including the access to communication infrastructure for timely and accurate hydro-meteorological risks; and under component 3, the project contributed to the strengthening of the local development planning process (ISPs) to include climate variability and risks and to the financing of local community-based investments.

134. Despite that it is difficult to measure the contribution of the project in removing these barriers, the assessment conducted for this terminal evaluation reveals the certainty that project activities contributed in the partial removal of these barriers. Island communities in Tuvalu are now better equipped to be more resilient to climate variability and risks

#### **4.3.3. Relevance**

135. As discussed in chapter 3.1, the project was very relevant for Tuvalu. Its timing was good; it provided the government with financial resources to strengthen the resilience of island communities to climate variability and risks. The project was formulated on the basis of a good contextual review and consultations with stakeholders, which resulted in a project document that has guided the implementation of the project.

136. The project concept emerged from national priorities, which were published in 2007 through NAPA. This programme of action identified 7 priority activities to respond to urgent and immediate needs to adapt to climate change. The NAPA-1 project focused on the first three priorities and NAPA-2 was developed to address the last three priorities. The last priority in NAPA focus on health. Furthermore, as discussed in the previous section, these priorities were also part of the policy instruments that the government used to implement its national strategy for sustainable development (TK III). The result was a relevant project, which



has been a direct response to national prioritized needs. The participative process to design and implement the project also contributed to a strong stakeholder ownership and made this project all the more relevant.

137. As discussed in section 2, the government, through its national strategy for sustainable development (TK II), has been setting new outer island development policy objectives since 2005. Recognizing that the outer islands have been facing a population decline and a fall in production in the traditional subsistence economy, the strategy seek to halt the depopulation, raise the quality of basic service delivery and create new development opportunities, including greater access to microcredit. To facilitate this development, the government established the Falekaupule Trust Fund, increased the outer island autonomy, implement the Falekaupule Act and other relevant legislation, improve the local standard of governance, management and administration, and has been delivering additional financial resources to support island autonomy (mainly through the Falekaupule Trust Fund). Within this context, the NAPA-2 project was very relevant for Tuvalu and particularly for the outer islands. It contributed to a greater resilience of marine-based coastal livelihoods, develop capacities of island communities to respond to climate induced hydro-meteorological risks, including the access to communication infrastructure for timely and accurate hydro-meteorological risks, and greater access to financing for community-based climate change adaptation actions.

138. NAPA-2 is also relevant in the context of the GEF-LDCF and the UNFCCC. The LDCF was established as a response to the guidance from the seventh COP of the UNFCCC (Marrakesh, Morocco). its objective has been to finance the special needs of the least developed countries under the Convention with the priority of preparing and implementing NAPAs. The NAPA-2 project in Tuvalu is part of a long list of similar projects worldwide that are also financed by LDCF. The focus of NAPA-2 on resilience to climate variability and risks is also much aligned with the current GEF-7 Adaptation Strategy, which is “*to strengthen resilience and reduce vulnerability to the adverse impacts of climate change in developing countries and support their efforts to enhance adaptive capacity*”.

139. Finally, as discussed in Section 4.1.7, NAPA-2 is also well aligned with both the *United Nations Development Assistance Framework (UNDAF) for the Pacific Region 2013-2017* and more specifically the *UNDP Sub-regional Programme Document for the Pacific Island Countries (2013-2017)*. The NAPA-2 project has been part of the UNDP programme 2013-2017, which included a focus on climate change and disaster risk management. Within these areas, UNDP planned to bolster the resilience of communities in Pacific countries and territories to cope with climate change, and to implement strategies that integrate environmental management, climate change adaptation and mitigation, and disaster risk reduction. It was also anticipated that through these actions, UNDP would facilitate the transition/mainstreaming of climate change into sectoral planning and national strategic development strategies, and through public expenditure and institutional reviews, as appropriate.

#### **4.3.4. Efficiency**

140. Based on the review conducted for this evaluation, the efficiency of the project was satisfactory. An efficient project implementation team followed the government of Tuvalu and UNDP procedures for implementing the project and used adaptive management to secure project deliverables while maintaining adherence to the overall project design. Progress reports were produced timely and reviewed/endorsed by the PB and stakeholders were engaged in the implementation of project activities. Noting the difficult and complex conditions to implement such a project in a small island state such as Tuvalu, the project has, however, faced some difficulties in administrative procedures to procure goods and services; it has affected its overall efficiency. Numerous administrative delays occurred during the lifetime of the project and affected the delivery of project activities/deliverables.

141. Nevertheless, the review of the management and the partnership arrangements revealed that the project enjoyed a good collaboration with all key stakeholders with a good participative approach through the PB as well as constant informal communications through phone, emails, and visits. The implementation team worked closely with the PB to prudently allocate project resources. Furthermore, the assessment revealed that the project team used adaptive management to secure project deliverables while maintaining adherence to the overall project design and also to adapt to a constantly changing environment. External expertise and contractors were hired as needed to secure the implementation of activities.

142. Despite the fact that it is always difficult to analyze and compare the cost-benefit of such projects and assess the value for money, the review of all these management elements concluded that implementing such a project in these conditions is costly. In addition, despite the prudent approach to engage project funds, which would be translated into good value for money, the project has faced two major issues that affected somewhat its value for money: a) the financing of some coastal protection work on the island of Nukufetau in 2015 for a total amount of USD 400,000, which was not budgeted in the GEF-LDCF grant; and b) the purchase of the vessel “*Tala Moana*” for a total price of about USD 0.95M versus a budgeted amount of USD 0.3M.

143. The first issue was the conclusion of negotiations between the government and UNDP to finance coastal protection work (*see more in Section 4.2.3*) following the suspension of implementation of both projects - NAPA-1 and NAPA-2 - by the government. This operation was to be funded by NAPA-1; however, due to the fact no budget was available under the NAPA-1 project, it was decided to be financed by the NAPA-2 project. Hence, it decreased the amount of the LDCF grant for NAPA-2 activities by the same amount of USD 400,000 creating a new challenge to implement the project with fewer financial resources.

144. Regarding the second issue, the purchase of the vessel ended up costing a lot more than anticipated/budgeted. However, despite that the total cost of USD 950k was logged in the UNDP Atlas financial system under this project, negotiations between UNDP and the government of Tuvalu were concluded with an agreement to share this cost. NAPA-2 would finance USD 300k, R2R would contribute the sum of USD 300k and the government of Tuvalu the sum of USD 350k. However, instead of a more transparent cash transfers to reimburse NAPA-2, it was decided that R2R and the government finance directly NAPA-2 activities up to the equivalent of the amounts owed to NAPA-2. From a financial point of view, the NAPA-2 project expended USD 300,000 on the purchase of the vessel as budgeted. However, despite a satisfactory outcome, it was a complex affair. It used/diverted a lot of implementation time from the implementation team, the government and UNDP.

#### ***The purchase of the RV “Tala Moana”:***

145. During the formulation of the project and the lessons learned from NAPA-1, it was found that when considering the distances between islands, the irregularity of government vessel travel, the lack of air or other transport options, and the time required to be spent on each island as a result, the project could fail. In order to mitigate this risk, the purchase of a dedicated project vessel was planned and a budget of USD 300k was allocated for the purchase of a vessel. The purchase of the vessel was also justified as a direct response to the call that emerged from the 2014 International Conference on Small Islands Developing States (SIDS) for investment in increased inter-island connectivity as essential for attaining sustainable development.

146. The purchase of the vessel has been a complex affair. In order to have the proper expertise, a decision was taken to hire a company to help UNDP and the government of Tuvalu to find an adequate vessel. The company identified the requirements and identified several available options in the Pacific region, New Zealand and Australia. After a review of these options, the decision was made to purchase the “*Tala Moana*” vessel, a multi-purpose vessel, which was deemed to provide the necessary requirements for NAPA-2. As a steel monohull oil rig supply vessel, the *Tala Moana* is equipped with facilities for a team of about 15 people.

147. The vessel was purchased and arrived in Funafuti on January 22, 2016 and the ownership of the vessel was immediately transferred to the government of Tuvalu. Since that date, it has been operating in Tuvalu as a key transportation system to outer islands. NAPA-2 has benefited from having access to this boat; without it, limited project activities would have taken place in the outer islands; a situation which would have been similar to NAPA-1. “*Tala Moana*” has provided an adequate transportation system to outer islands, which has been used as a base to conduct work in the outer islands such as delivery of workshops, surveys, installing equipment, etc. As a result, the pace of implementation of NAPA-2 activities picked up drastically once the vessel RV “*Tala Moana*” arrived in Tuvalu. It allowed the project team and partners to go to outer islands more regularly and coordinate the implementation of the planned activities.

148. In order to operate the vessel on a sustainable basis, the government of Tuvalu and UNDP have explored the costs to operate and maintain such a vessel. The cost analysis was complex, and the goal was to charge fees on a “cost recovery plus” basis. This analysis was concluded with a Cabinet decision to open a “*Tala Moana*” Operating bank account to administer the fees and expenses to run the vessel. Then, based on the cost analysis to run the vessel, a daily operating cost was set with a range from AU\$ 5,000 per day to more than

AU\$ 10,000 per day depending the destination and the steaming time (AU\$ 300 per hour). The decision also included that TFD, NAPA-2, R2R, PROP and TFSP as priority department and projects to use the vessel.

149. The review of this matter conducted for this evaluation, reveals that running such a vessel is costly and it comes with high financial risks such as the 2017 unanticipated cost of repairs<sup>12</sup>. However, it is also the only way to transport people and goods to outer islands. NAPA-2 benefited greatly from the service of the “*Tala Moana*”; without the vessel, NAPA-2 would have relied only on the government vessel and would not have reached its expected outcomes. Hopefully other projects and government services will be able to benefit from this transportation system as well.

150. Implementing a project like NAPA-2 in a small island state with outer islands presents a unique set of conditions and comes with a high price for reaching out to island communities. Based on the analysis conducted by UNDP and the government, the cost for a ten-day mission to visit three islands, with a three-day stay on each island would be up to USD 50,000, depending the proximity of the islands visited. It is the “*cost of doing business*” in such a situation that is unique in this world!

#### **4.3.5. Country Ownership**

151. As discussed in other sections of this report, the country ownership is good. NAPA-2 has addressed key national priorities that were identified through the NAPA process. NAPA-2 has focused mostly on increasing the resilience of marine-based coastal livelihoods, including their capacity to respond to climate induced hydro-meteorological risks and a greater access to financing for community-based climate change adaptation actions. The aim was to improve the management and the sustainable productivity of coastal marine resources, while at the same time conserving these marine ecosystems over the long-term.

152. As discussed in section 4.3.3, the timing of the project was good. The project was formulated after the implementation of NAPA-1; therefore, benefiting from lessons learned and best practices identified by this project. NAPA-2 was also part of a set of instruments that the government of Tuvalu has been implemented/ supported in line with the implementation of the national strategy for sustainable development (TK III).

153. One strong indicator of this country ownership is the strong engagement of government departments in implementing project activities; particularly TFD, DRD and the Met Office in the implementation of NAPA-2 but also the Falekaupule Trust Fund and the Kaupules in the outer islands. The project certainly benefited from these strong partnerships and their in-kind contributions contributed to an early institutionalization of results and were critical in the success of this project.

154. Overall, it is expected that this good country ownership will contribute to the long-term sustainability of project achievements. These achievements are, for the most part, already institutionalized and mainstreamed into the respective government departments including the Kaupules in the outer islands. Additionally, from a community point of view, the introduction of FADs is welcome by coastal communities and contributes to increase food security, communication infrastructure provides these communities with a better response to climate induced hydro-meteorological risks, and the greater access to financing for community-based climate change adaptation actions is welcome by these communities for the development of their respective islands. Based on the information collected for this evaluation, the good country ownership should contribute to a good sustainability of project achievements.

#### **4.3.6. Mainstreaming**

155. As discussed above, the review of project achievements indicates that most of them are already institutionalized and mainstreamed within the respective government departments – including Kaupules - and communities. Due to the nature of this project, the project would not have succeeded in implementing its

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12 Towards the end of 2016, the RV “*Tala Moana*” encountered both structural and mechanical issues, which needed to be addressed immediately. Following the review and approval of what was needed to be done, the vessel left Funafuti on April 15, 2017 to go to Suva to be fixed. It returned to Funafuti on July 10, 2017. The total cost of repair was AU\$ 389,180.

activities without a strong engagement and collaboration among stakeholders (communities and government departments).

156. This project - as a direct response to national priorities - was to strengthen the resilience of island communities to climate change variability and risks through participatory island-level planning, budgeting and execution and community-led investments. NAPA-2 contributed to increase the resilience of marine-based coastal livelihoods; to improve the capacities of island communities to respond to climate induced hydro-meteorological risks; and to improve the access to financing for community-based climate change adaptation actions. As a result, coastal communities integrated new techniques for their livelihoods, have better access to communication infrastructure for timely and accurate hydro-meteorological risks and in collaboration with the government and Kaupules have greater capacities to plan and finance their sustainable development.

157. Within the context of implementing SDGs in Tuvalu, NAPA-2 – by increasing the resilience of coastal communities in outer islands - has contributed to the implementation of SDGs in Tuvalu. Better resilience of marine-based coastal livelihoods, greater capacities of island communities to respond to climate induced hydro-meteorological risks, and better access to financing for community-based climate change adaptation actions, are all results contributing to the implementation of SDGs in Tuvalu. The review of the global targets and indicators indicates that NAPA-2 has particularly contributed to several targets under the SDG 13 (*Climate action*) and SDG 14 (*Conserve and sustainably use the oceans, seas and marine resources for sustainable development*):

**SDG 13:**

- Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries
- Integrate climate change measures into national policies, strategies and planning
- Promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries and small island developing States, including focusing on women, youth and local and marginalized communities

**SDG 14:**

- By 2020, sustainably manage and protect marine and coastal ecosystems to avoid significant adverse impacts, including by strengthening their resilience, and take action for their restoration in order to achieve healthy and productive oceans
- By 2020, effectively regulate harvesting and end overfishing, illegal, unreported and unregulated fishing and destructive fishing practices and implement science-based management plans, in order to restore fish stocks in the shortest time feasible, at least to levels that can produce maximum sustainable yield as determined by their biological characteristics
- By 2020, conserve at least 10 per cent of coastal and marine areas, consistent with national and international law and based on the best available scientific information
- By 2030, increase the economic benefits to Small Island developing States and least developed countries from the sustainable use of marine resources, including through sustainable management of fisheries, aquaculture and tourism
- Provide access for small-scale artisanal fishers to marine resources and markets

158. Regarding poverty alleviation – a UNDP priority – the objective of the project is such that it did not have direct links to promote poverty alleviation. However, by increasing the resilience of coastal communities in outer islands, it is expected that NAPA-2 should have a positive impact on improving the livelihood of these communities, including an improved food security, better informed about hydro-meteorological risks, and more resources to finance their development. By extension, it could be said, that NAPA-2 should have a positive impact to alleviate poverty in outer islands.

159. Finally, the gender dimension of NAPA-2 has not been particularly emphasized throughout the implementation of the project. During the preparation/formulation of the project, the gender dimension was considered when a detailed survey on all 9 islands was carried out to ensure a balanced participation of men and women but also youths and people with disabilities. Gender was also considered through the analysis of stakeholders and beneficiaries. The project document stated that NAPA-2 was to be implemented with a “*gender perspective in climate change strategies*” recognizing that “*if resources are not allocated to reduce gender gaps, measures implemented to mitigate or adapt to climate change may contribute to reproduce social*”

*inequalities and run the risk of being less effective*". Furthermore, it stated that the project would be implemented in line with the department of women's strategic plan.

160. The review of implemented activities conducted for this review indicates that a gender approach was considered when initiating activities. For instance, the interventions related to the installation of FADs targeted more men as fishers; but the processing of fish and seafood targeted more women who traditionally are in charge of processing these products. However, the Evaluator noted that no particular project activities aimed at improving gender balance. Furthermore, a gender disparity exists when it comes to decision-making in Tuvalu, whereby customary law on each island is such that decisions are taken mostly by men. This reality was noted by the MTR: "*gender inequalities are still evident in the traditional decision-making structure*". It further stated that "*this will need to be tackled in future projects so that the project design specifically addresses gender disparity that continues to exist in society*".

#### **4.3.7. Sustainability**

161. The sustainability strategy detailed in the project document focuses mostly on three aspects: institutional sustainability, financial sustainability, and environmental sustainability. It details how environmental sustainability will be promoted, and how institutional, and financial sustainability will be achieved. It is a valid strategy, though somewhat passive, relying also on a strong engagement of stakeholders and on component 3, which by integrating climate risks in outer island development plans is expected to contribute to the long-term sustainability of project achievements.

162. Before discussing the various risks to sustainability below, the Evaluator noted that overall project achievements are already well institutionalized within the departments engaged in implementing the project. In addition, as discussed in section 4.3.5, the good participation of stakeholders throughout the implementation of the project led to a good ownership of the results achieved by the project; which will certainly contribute to the long-term sustainability of these achievements. The techniques to increase the resilience of coastal communities have been well accepted by outer island communities. The Met Office is the custodian of the communication infrastructure financed by NAPA-2 and the revised ISPs for each outer island are with each Kaupules and financed projects are implemented by them as well. Overall, there are good indications that the achievements of NAPA-2 will be sustained over the long-term.

#### ***Socio-economic risk to Sustainability***

163. The review indicates that there is no socio-economic risk to sustainability. In the worst-case scenario, which would be that the project has a limited impact over the long term, no negative effect from the project is anticipated other than the continuation of the "*business as usual*" scenario, which would keep island communities more vulnerable to climate variability and risks. Nevertheless, the current scenario is that the project has progressed adequately, and it is expected that project achievements will be sustained over the long term. A greater resilience of marine-based coastal livelihoods, better capacities of island communities to respond to climate induced hydro-meteorological risks, and greater access to financing for community-based climate change adaptation actions should all contribute to bettering the livelihood of these island communities while conserving the marine resources.

#### ***Institutional framework and governance risk to Sustainability***

164. Similar to above, no institutional framework and governance risk to sustainability are anticipated. As discussed earlier in Section 4.1.3, the project is a direct response to address a set of three priorities, which were part of a list of eight priorities identified through the development of the Tuvalu NAPA in 2006-2007. The main focus of NAPA-2 has been on strengthening the resilience of island communities to climate change variability and risks through a three-pronged approach: increase the resilience of marine-based coastal livelihoods; enhance the response of communities to climate induced hydro-meteorological risks; and increase the access to financing for community-based climate change adaptation actions. NAPA-2 has delivered its activities in close collaboration with government departments. It is anticipated that the government will continue in the same direction in the foreseeable future building on the results achieved with the support of the project.

#### ***Environmental risk to Sustainability***

165. The review did not find any environmental risks to the sustainability of project outcomes. The project supports the implementation of adaptation measures to climate variability and change, including climate resilient marine-based livelihood techniques, early warning system facilities, and local climate variability resilient planning. Ultimately, the achievements of the project that is “to strengthen the resilience of island communities to climate change variability and risks through participatory island-level planning, budgeting and execution and community-led investments”, should have a medium and long-term positive environmental impact over the natural resources in the project areas. The implementation of adaptation measures should improve the resilience of islands communities’ livelihoods to climate change variability and risks over the long-term.

#### ***Financial risk to Sustainability***

166. Financial risk is an area where some questions related to the long-term sustainability of project achievements need some attention. As discussed throughout this report, island communities in Tuvalu are now better equipped to be more resilient to climate variability and risks, including greater resilience of marine-based coastal livelihoods, better capacities of island communities to respond to climate induced hydro-meteorological risks, and greater access to financing for community-based climate change adaptation actions. When considering activities and achievements of NAPA-2, two areas face some financial risks.

167. The first area is the financing of future climate adaptation actions to be developed under the ISPs. With the support of the project, 8 actions were financed and are underway. However, more of these actions should be developed in the near future and it will be critical for these outer island communities to access the necessary funding. With the NAPA-2 support, expectations to improve the resilience of these outer island communities have been raised through a participative planning process; it is important that they are able to access additional funds to finance the sustainable development of their islands.

168. The second area of financial risk is linked to the operation and maintenance (O&M) of the vessel purchased by NAPA-2. The vessel was purchased and delivered to Funafuti on January 22, 2016. Since that date, it is operating in Tuvalu under the responsibility of the TFD to transport project teams and government departments to outer islands. However, in 2017, following technical issues, the vessel had to be shipped to Suva to be fixed. It took a total of about 3 months and a total cost of repair of AU\$ 389,180. In order to operate the vessel on a sustainable basis, the government of Tuvalu and UNDP have explored the costs to operate and maintain such a vessel. The cost analysis was complex as no institutions nor people had such expertise to assess the costs to operate such a vessel and the goal was to charge fees on a “cost recovery plus” basis. This analysis was concluded with a Cabinet decision to open a “*Tala Moana*” Operating bank account to administer the fees and expenses to run the vessel. Then, based on the cost analysis to run the vessel, a daily operating cost was set with a range from AU\$ 5,000 per day to more than AU\$ 10,000 per day depending the destination, the steaming time (AU\$ 300 per hour). The decision also included that TFD, NAPA-2, R2R, PROP and TFSP as priority department and projects to use the vessel. Over the long-term, despite the fact that having a vessel to transport people and goods to outer islands is a definite plus for Tuvalu’s development, there is a financial risk attached to the O&M of the “*Tala Moana*”. The repair costs could be very high and the cost of running the vessel is also high, including the cost of the vessel when not in use.

#### **4.3.8. Catalytic Role**

169. The GEF defines the catalytic role of projects as one of the ten operational principles for the development and implementation of the GEF work program. The GEF hopes to fund projects in such a way so as to attract additional resources, pursue strategies that have a greater result than the project itself, and/or accelerate a process of development or change. The review of the catalytic role of the NAPA-2 project is to consider the extent to which the project has demonstrated: a) production of a public good, b) demonstration, c) replication, and d) scaling up.

170. Considering the GEF definition of the catalytic role, NAPA-2 has had a good catalytic role so far. The project produced a public good with the installation of communication infrastructure for an early warning system across all 9 Tuvalu islands. So far, this public good has been demonstrated and tested and is currently operating. Tuvalu is now better equipped with a communication infrastructure throughout its islands. All island communities have now capacities to respond to climate induced hydro-meteorological risks. The next step is to ensure that this infrastructure is operating as it is intended to and that the population is kept aware of

the system and procedures in place.

171. Another public good delivered by NAPA-2 is the integration of climate risks in all ISPs. These ISPs have been endorsed by the respective island communities and are now being implemented by the respective Kaupules. The demonstration is happening throughout the participative process to develop these plans but also through the development, financing and implementation of climate change adaptation actions. At the time of this evaluation, these revised ISPs have resulted in 8 climate change adaptation actions, which are under implementation and funded locally and by external sources. The next step will be to mobilize extra financial resources and multiply these actions in outer islands.

172. The third public good produced by NAPA-2 is the deployment of climate resilient livelihood methods in outer islands, including installation of FADs, distribution of sea-safety equipment (Grab bags) to fishers, refurbishing of training centers and the demonstration of fish processing methods. These techniques, methods and infrastructure have been demonstrated as ways to increase the resilience of coastal communities to climate variability and risks. The Evaluator noted that the use of sea-safety bags has already saved 7 lives after using their personal locator beacon at sea. The next step will be to fully install the FADs that are still in the Port in Funafuti and replicate/scale up the fishing and post-harvest fishing techniques throughout the islands.

173. Overall, it is expected that the NAPA-2 achievements will be used as a basis to continue the development of capacities of outer island communities to sustainably use and conserve their marine resources and to become more resilient to climate variability and risks. Lessons learned and best practices have already been introduced in follow up projects such as the R2R and the TCAP projects.

## Annex 1: Project Expected Results and Planned Activities

The table below was compiled from the list of expected results and planned activities as anticipated in the project document. It was used during the assignment by the Evaluator as a succinct summary of what is expected from this project. Progress made against these expected results and expected targets was assessed during this evaluation and reported in the TE report.

**Long-term goal:** To increase the resilience of outer island communities to future climate change induced risks such as declining marine resources productivity and intensifying climatic hazards.

**Project Objective:** Resilience of island communities to climate change variability and risks is strengthened through participatory island-level planning, budgeting and execution and community-led investments.

Intended Outcomes	Expected Outputs	Budget per Outcome	Indicative Activities	
<b>Outcome 1 –</b> Marine based coastal livelihoods of Tuvaluan outer islands made resilient to declining productivity induced by climate variability and change	<b>Output 1.1:</b> Climate-resilient marine-based livelihood techniques are implemented benefiting at least 50% of the population	<b>GEF (LDCF)</b> <b>\$2,000,000</b>  <b>Co-financing</b> <b>\$2,247,176</b>	<ul style="list-style-type: none"> <li>Organize meetings with outer island fishers, Fisheries Officers and Kaupules to agree on the design and specific locations of FADs</li> <li>Establish two Fish Aggregating Devices (FADs) near the island (200-1000m depth) with Fisheries officers and fishers</li> <li>Refurbishing the existing CFCs as an open-roof area for capacity building training and information exchange as well as storage space for fishing gear</li> <li>Organize training sessions for improved canoe designs, traditional fishing techniques and postharvest processing of fished resources</li> <li>Procurement and installation of sea safety equipment such as solar powered lights at major landing sites.</li> <li>Organize training sessions on sea safety targeting fishers</li> <li>Establishment of a trial of a simple aquaponics system in Motufoua High School on Vaitupu</li> </ul>	
	<b>Output 1.2:</b> Capacity of local administrations, CSOs, communities and Community Fisheries Centers enhanced to integrate climate risks in the community-based management of MMA/MPA including zoning guidance, marine resource stock surveys and monitoring and enforcement			<ul style="list-style-type: none"> <li>Comprehensive, community-based information collection and analysis including GIS mapping, collection of information about existing by-laws and local agreements, and ongoing management practices</li> <li>Organization of a meeting with island Kaupule, fishers and community member (including women and youth) to finalize the locations of new/extended MPAs/LMMAs</li> <li>Training of members of Fisher's associations in outer islands to undertake fisheries resource monitoring using the Creel survey methodology and tool developed by SPC</li> </ul>
	<b>Output 1.3:</b> Awareness enhanced for at least 2000			<ul style="list-style-type: none"> <li>Production of radio programmes and community videos capturing climate-resilient marine based coastal livelihoods, progress of project activities, announcement of annual event. Community videos</li> </ul>



Intended Outcomes	Expected Outputs	Budget per Outcome	Indicative Activities
	people including island Kaupules, central government staff, CSOs, and community members to understand and respond to the impacts of climate induced risks on marine based coastal livelihoods		<p>will be procured as part of the efforts to enhance monitoring and reporting capacity in outer islands (Output 3.2)</p> <ul style="list-style-type: none"> <li>• Production of lessons learned materials on canoe building, climate-resilient postharvest processing technologies, and assessment of MPAs/LMMAs.</li> <li>• Translation of awareness raising material on resilient marine-based coastal livelihoods collated through assessment of relevant resources that are available both within and outside of Tuvalu</li> <li>• Production of radio programmes and community videos</li> <li>• Organization of an annual event at Tuvalu Day for showcasing the project activities on climate-resilient livelihood practices in year 3 and 4</li> </ul>
<p><b>Outcome 2</b> – Capacity of outer islands enhanced to respond to increasing/intensifying climate induced hydro-meteorological risks</p>	<p><b>Output 2.1:</b> Each island is equipped with robust communication facilities and early warning system facilities</p>	<p><b>GEF (LDCF)</b> <b>\$1,500,000</b></p> <p><b>Co-financing</b> <b>\$9,373,429</b></p>	<ul style="list-style-type: none"> <li>• Procurement and installation of improved warnings systems. This will include solar powered radio units (to be distributed to each household in outer islands); 40 KVA diesel powered generator; a portable broadcast console and accessories for Radio Tuvalu; SMS-based communication system with solar panels (15 in number); 20 external antennas for iridium satellite phones; HF system upgrades; and construction of a generator shelter.</li> <li>• Organize technical training sessions for Tuvalu Meteorological Department and Radio Tuvalu for installation, use and maintenance of the communication equipment. A short-term international consultant will be hired for this purpose.</li> <li>• Organize a monitoring visit in year 3 to observe and fix technical issues, if any, with the equipment. This will be carried out by engineers in Tuvalu Meteorological Office and/or Radio Tuvalu.</li> <li>• Organize a refresher training session for Tuvalu Meteorological Services and Radio Tuvalu for use and maintenance of the communication equipment</li> <li>• Establish a system to monitor the use and log issues with equipment. The PMU will work with Radio Tuvalu, DMO, appropriate NGOs, and Island Disaster Committee for respective equipment that each of these stakeholders will be responsible for.</li> <li>• Facilitate dialogue and working groups comprising of DoE, DMO, the SPC SOPAC Division and to integrate the new communication infrastructure, financed by LDCF, into the revision process of the NDMP protocol. This forum will also be used to identify appropriate awareness raising materials (see Activity 2.2.2 below) reflecting SOPAC’s work on the NDMP revision.</li> </ul>
	<p><b>Output 2.2:</b> Raised awareness and preparedness of outer island communities for climate-induced extreme events</p>		<ul style="list-style-type: none"> <li>• Translate at least two existing materials on disaster preparedness produced by SOPAC/SPC/SPREP into Tuvaluan language. The project will recruit a national consultant to undertake this task.</li> <li>• Produce at least two awareness raising materials focusing on improved early warning dissemination protocols defined by the National Disaster Management Plan. The PMU will coordinate with the SPC SOPAC Division that will be working with DMO to revise the NDMP starting from 2013.</li> <li>• Establish a school module the upper primary and secondary school. An international consultant will be recruited to work with the Department of Education. Once the module is established, staff from the Department will visit outer islands to undertake necessary training targeting teachers in respective islands.</li> <li>• Develop a radio programme covering the activities undertaken in the project. This will include general awareness raising about hydro-meteorological disasters and more specific communication protocols and evacuation procedures. The PMU will work with Radio Tuvalu, DMO and appropriate NGOs to</li> </ul>

Intended Outcomes	Expected Outputs	Budget per Outcome	Indicative Activities
			<p>develop a programme that will be broadcast throughout the course of the project.</p> <ul style="list-style-type: none"> <li>Organize at least two mock drill exercises in the last two years of the project. The event will be coordinated by the PMU and involve, at the capital, DMO, appropriate NGOs, Department of Environment and other relevant stakeholders, and at the outer island level, coordination will be supported by appropriate NGOs staff and volunteers in respective islands.</li> </ul>
<p><b>Outcome 3 -</b> Enhanced capacity of communities to access internal/external financing for community-based climate change adaptation through existing participatory development planning processes</p>	<p><b>Output 3.1:</b> All outer Island Strategic Plans integrate island-specific climate risks through existing gender-sensitive, participatory processes</p>	<p><b>GEF (LDCF)</b> <b>\$500,000</b></p> <p><b>Co-financing</b> <b>\$8,025,897</b></p>	<ul style="list-style-type: none"> <li>The level of climate mainstreaming in the current ISPs and Island-level vulnerability assessments undertaken in the first NAPA follow up project are reviewed as well as a water sector assessment by PACC.</li> <li>National training of trainers (ToT) workshop organized for incorporating climate change risks into ISPs targeting Kaupule representatives, minority groups, DRD staff, NGO staff and women's group representatives. The results from Activity 3.1.1 will feed into this event. The same workshop will also cover skill building for prioritization and budgeting of adaptation action items in an annual budgeting process. This will be linked with the Ministerial annual budgeting process at the end of March so that the budgets from outer islands are reflected in DRD's annual budget. An international consultant will be hired to deliver the workshop in Funafuti and to develop a toolkit for mainstreaming climate risks into ISPs, and improving budgeting process.</li> <li>Facilitation of outer island workshops to integrate climate risks into the existing ISP and to produce/enhance annual budgets. Island Planning Officer and Climate Capacity Officer will remain in each island for 2 weeks to initiate and support the process.</li> <li>Translation of revised ISPs into English/Tuvaluan<sup>33</sup></li> <li>Presentation of the revised ISP to outer island communities</li> <li>Compilation, analysis and reporting of all outer island annual budgets by Island Planning Officer. This report will be shared with all other islands and used in the following year to guide iterative planning and budgeting process. This report will also include results from Activity 3.1.7.</li> <li>A follow up national dialogue on climate mainstreaming ISP and budgeting process is organized in Year 3 or 4 of the project. The dialogue will be facilitated by an ISP Officer. This platform will also assess and present the monitoring of ISP implementation and budgeting process as well as the use of the gender-sensitive, participatory scorecard</li> </ul>
	<p><b>Output 3.2:</b> Capacity of Kaupules, Falekaupules and community members for monitoring adaptation investments strengthened</p>		<ul style="list-style-type: none"> <li>Following the national-level ToT in Activity 3.1.2, a broad community-level dialogue platform established in each island including representation from women, youth and minorities for the specific purpose of presenting the progress on climate-resilient investment of resource use in line with the annual budget and ISP.</li> <li>Outer island level awareness raising workshop organized targeting different interest groups such as women, youth, disaster management committee, fisher's association, and NGOs about monitoring of investment execution.</li> <li>A national Training of Trainers workshop organized inviting representatives from these interest groups for participatory video. An international expert will be recruited to conduct the ToT.</li> <li>The gender-sensitive, participatory community scorecard is introduced and carried out once a year in which representatives from communities, covering different interest groups such as women, youth, minorities, disaster management committee, fisher's association, and NGOs, assess performance of</li> </ul>

Intended Outcomes	Expected Outputs	Budget per Outcome	Indicative Activities
			<p>outer island administrations in terms of the use of island resources for the agreed purposes as outlined in the annual budget and ISP.</p> <ul style="list-style-type: none"> <li>• Along with Activity 3.1.7, a national consultation targeting Kaupule, Falekaupule and community members to review the process of annual budgeting, monitoring and evaluation.</li> </ul>
	<b>Output 3.3:</b> National and outer island capacity to leverage, sequence and combine domestic resource for climate change adaptation investments strengthened		<ul style="list-style-type: none"> <li>• Establish a national forum in Funafuti for reviewing priority adaptive action plans produced in outer islands. The frequency of the forum will be determined on a need basis, but at a minimum, an annual forum will be organized inviting key line agencies and outer islands representatives resident in Funafuti</li> <li>• Undertake a climate expenditure review assessment at the national and outer island level.</li> <li>• Present the findings from the climate expenditure review. Senior government officials from ministries whose operations relate to climate sensitive sector such as fisheries, agriculture, public works, and health will participate in this event.</li> <li>• Present findings in outer island level on the results from the expenditure review. This workshop will be carried out as part of the periodic visits by the ISP Officer and Community Support Officer.</li> </ul>
<b>Project Management</b>		<b>GEF: \$200,000 + Co-financing: \$192,378</b>	
	<b>Total Budget</b>	<b>GEF: \$4,200,000 + Co-financing: \$19,838,880 = Total: \$24,038,880</b>	

Source: Project Document

## Annex 2: Terms of Reference

### Tuvalu NAPA-2 Project Terms of Reference

**Position Title:** Terminal Evaluator

**Location:** Home-based and selected duty station

**Duration of contract:** 27 days within 12 weeks period

**Application closure date:** 21<sup>st</sup> December 2018

**Starting date:** December 2018

**Completion date:** March 2019

Consultancy Proposal should be mailed to C/- UNDP Fiji MCO, Private Mail Bag, Suva, Fiji or sent via email to [etenderbox.pacific@undp.org](mailto:etenderbox.pacific@undp.org) no later than **21<sup>st</sup> December , 2018 (Fiji Time)** clearly stating the title of consultancy applied for. Any proposals received after this date/time will not be accepted. Any request for clarification must be sent in writing, or by standard electronic communication to [procurement.fj@undp.org](mailto:procurement.fj@undp.org). UNDP will respond in writing or by standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants. Incomplete, late and joint proposals will not be considered and only offers for which there is further interest will be contacted. **Failure to submit your application as stated as per the application submission guide (Procurement Notice) on the above link will be considered incomplete and therefore application will not be considered.**

#### INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the **Effective and responsive island-level governance to secure and diversify climate resilient marine-based coastal livelihoods and enhance climate hazard response capacity** (PIMS# 4541.). This Project is commonly referred to as the NAPA 2 Project.

The essentials of the project to be evaluated are as follows:

#### PROJECT SUMMARY TABLE

Project Title:	<b>Effective and responsive island-level governance to secure and diversify climate resilient marine-based coastal livelihoods and enhance climate hazard response capacity Project</b>			
GEF Project ID:	00073054		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	00086021	GEF financing:	\$4,200,000	\$4,200,000
Country:	Tuvalu	IA/EA own:	NIL	NIL
Region:	RBAP	Government:	14,497,206	
Focal Area:	CCA	Other:	4,430,484	
FA Objectives, (OP/SP):	1.1 & 5.1	Total co-financing:	19,838,880	
Executing Agency:	Ministry of Foreign Affairs, Trade, Environment and Labor	Total Project Cost:	\$24,038,880	
Other Partners involved:	Ministry of Natural Resource, Ministry of Home Affairs and Rural Development	ProDoc Signature (date project began):		30 August, 2013
		(Operational) Closing Date:	Proposed: 30 August, 2017	Actual: 31 December 2018

## OBJECTIVE AND SCOPE

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The NAPA 2 Project focusses on implementing three such priorities outlined in its NAPA, namely “strengthening of community-based conservation programmes on highly vulnerable near-shore marine ecosystems,” “adaptation to near-shore coastal shellfish fisheries resources and coral reef ecosystem productivity,” and “strengthening community disaster preparedness and response potential.” These priorities are addressed through the following interlinked Components:

Component 1 includes activities for building resilience in marine-based livelihoods to climate impacts through an integrated package of measures that seek to enhance traditional fishing practices and food preservation techniques, facilitate a shift in fishing practices from vulnerable reef resources to more resilient pelagic resources, and strengthen community management of reef resources. These adaptation measures are supported by targeted education, awareness raising and information exchange.

Component 2: Disaster risk management focusses on improving access to disaster early warning systems for people on outer islands. This will include establishing multiple communication channels, both at the national and outer island levels, to ensure reliable communications in the face of intensifying cyclone events in a changing climate and building community capacity to take advantage of the improved communication systems.

Component 3 focusses on integrating locally-specific climate change concerns into existing outer Island Strategic Plans and building capacities of outer island administrations and communities to identify, budget, execute and monitor adaptation investments that are financed by domestic and external resources. This will be supplemented by enhanced awareness among the central government agencies about their existing domestic expenditures on climate sensitive sectors and the adaptation gaps. It is expected that enhanced capacity to guide the future adaptation financing at the outer island level using the climate-smart Island Strategic Plans and to identify gaps and potential adaptation financing at the national level will enable the Government of Tuvalu to effectively combine and sequence available resources to reduce the vulnerability of the country to the impacts of climate change.

The Department of the Environment under the Ministry of Foreign Affairs, Environment, Trade, Labour and Tourism is responsible for execution of this Project. Component 1 is executed through the Department of Fisheries (Ministry of Natural Resources) whilst Component 3 is executed by the Department of Rural Development (Name of Ministry of Home Affairs and Rural Development). Quarterly reporting both financial and narrative are submitted through the Department of Environment to the UNDP Pacific Office based in Suva.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

## EVALUATION APPROACH AND METHOD

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An overall approach and method<sup>13</sup> for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR. The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Tuvalu, *to three islands being Vaitupu and Nukufetau including Funafuti*. Interviews will be held with the following organizations and individuals at a minimum: Department of Environment, Department of Rural Development, UNDP, Department of Fisheries, Tuvalu Red Cross, Tuvaluan Association of Non-Governmental Organizations, project consultants, Office of the Prime Minister, Secretariat of the Pacific Community (SPC), Disaster Management Office, Commonwealth Local Government Forum, Tuvalu Media Department, Island Councils (Kaupule), community members and other important stakeholders.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project

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13 For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#) of this Terms of Reference.

## EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see [Annex A](#)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex D](#).

<b>Evaluation Ratings:</b>			
<b>1. Monitoring and Evaluation</b>	<i>rating</i>	<b>2. IA &amp; EA Execution</b>	<i>rating</i>
M&E design at entry		Quality of UNDP Implementation – Implementing Agency (IA)	
M&E Plan Implementation		Quality of Execution - Executing Agency (EA)	
Overall quality of M&E		Overall quality of Implementation / Execution	
<b>3. Assessment of Outcomes</b>	<i>rating</i>	<b>4. Sustainability</b>	<i>rating</i>
Relevance		Financial resources	
Effectiveness		Socio-political	
Efficiency		Institutional framework and governance	
Overall Project Outcome Rating		Environmental	
		Overall likelihood of sustainability	

## PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

## MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

## IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements. 14

14 A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROTI) method developed by the GEF Evaluation Office: [ROTI Handbook 2009](#)

## CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions, recommendations and lessons**. Conclusions should build on findings and be based in evidence. Recommendations should be prioritized, specific, relevant, and targeted, with suggested implementers of the recommendations. Lessons should have wider applicability to other initiatives across the region, the area of intervention, and for the future.

## IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP Pacific Office in *Fiji*. The UNDP Pacific Office will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The NAPA 2 Project Team will be responsible for liaising with the evaluator to set up stakeholder interviews, arrange field visits, coordinate with the Government etc. The consultant is expected to visit 3 islands in Tuvalu including Funafuti. The Project Team will facilitate travel arrangements in country.

## EVALUATION TIMEFRAME

The total duration of the evaluation will be 27 days over a time of 8 weeks (*recommended: 10-12*) according to the following plan:

Activity	Timing	Completion Date
<b>Preparation</b>	<i>Dec- (2 days)</i>	<i>Dec</i>
<b>Evaluation Mission</b>	<i>Feb 11 - 21 (10 days)</i>	<i>Feb 22</i>
<b>Draft Evaluation Report</b>	<i>Mar 1 – 8 (8 days)</i>	<i>Mar 11</i>
<b>Soliciting of feedback to draft report</b>	<i>Mar 12 – 14 (3 days)</i>	<i>Mar 15</i>
<b>Final Report</b>	<i>Mar 18 - 21 (4 days)</i>	<i>Mar 22</i>

## EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
<b>Inception Report</b>	Evaluator provides clarifications on timing and method	December	Evaluator submits to UNDP CO
<b>Presentation</b>	Initial Findings	End of evaluation mission: February 2	To project management, UNDP CO
<b>Draft Final Report</b>	Full report, (per annexed template) with annexes	February 26	Sent to CO, reviewed by RTA, PCU, GEF OFPs
<b>Final Report*</b>	Revised report	March 15	Sent to CO for uploading to UNDP ERC.

\*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report. See [Annex H](#) for an audit trail template.

## THE CONSULTANT

The consultant shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluator selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The consultant must present the following:

### Qualifications:

- A Master's degree in Natural Resource Management, Conservation, Development, or other closely related field and /or at least 10 years of relevant work experience;



## Experience/Attributes

- Minimum of 5 years of experience facilitating leading and/or facilitating evaluations for development agencies
- Previous experience with results-based monitoring and evaluation methodologies;
- Strong networks and experience with stakeholder engagement
- Technical knowledge in the targeted focal area(s): *climate change adaptation, mitigation,*
- Demonstrated understanding of issues related to gender and biodiversity, land degradation and international waters; experience in gender sensitive evaluation and analysis.
- Excellent communication skills;
- Proficient in English and local language
- Project evaluation/review experiences within United Nations system and managing evaluation teams will be considered an asset;

## Evaluation Criteria

### Cumulative analysis

The award of the contract shall be made to the individual consultant whose offer has been evaluated and determined as a) responsive/compliant/acceptable; and b) having received the highest score out of set of weighted technical criteria (70%). and financial criteria (30%). Financial score shall be computed as a ratio of the proposal being evaluated and the lowest priced proposal received by UNDP for the assignment.

Criteria	Max. Point
<b>Qualification</b> <ul style="list-style-type: none"><li>• A Master's degree in Natural Resource Management, Conservation, Development, or other closely related field and /or at least 10 years of relevant work experience;</li></ul>	10%
<b>Experience</b> <ul style="list-style-type: none"><li>• Minimum of 5 years of experience facilitating leading and/or facilitating evaluations for development agencies</li><li>• Previous experience with results-based monitoring and evaluation methodologies;</li><li>• Technical knowledge in the targeted focal area(s): <i>climate change adaptation, mitigation,</i></li><li>• Strong networks and experience with stakeholder engagement</li><li>• Demonstrated understanding of issues related to gender and biodiversity, land degradation and international waters; experience in gender sensitive evaluation and analysis.</li></ul>	15% 10% 15% 10% 10%
<b>Total</b>	70%

Only candidates obtaining a minimum of 49 points (70% of the total technical points) would be considered for the Financial Evaluation.

## EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#).

## PAYMENT MODALITIES AND SPECIFICATIONS

(this payment schedule is indicative, to be filled in by the CO and UNDP GEF Technical Adviser based on their standard procurement procedures)

%	Milestone
20%	Following signing of contract and approval of work plan
10%	At submission and approval of inception report which will include list of stakeholders to be consulted and methodologies
30%	Following submission and approval of the 1ST draft terminal evaluation report
40%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report



### **Proposal Submission**

Offerors must send the following documents.

- i) Signed CV form including names of at least 3 referees**
- ii) Cover letter setting out:**  
A statement of how the applicant meets the qualifications and experience requirements.
- iii) Completed template for confirmation of Interest and Submission of Financial Proposal**

Consultant must send a financial proposal based on a **Lump Sum Amount**. The total amount quoted shall be all-inclusive and include all costs components required to perform the deliverables identified in the TOR, including professional fee, travel costs, living allowance (if any work is to be done outside the IC's duty station) and any other applicable cost to be incurred by the IC in completing the assignment. The contract price will be fixed output-based price regardless of extension of the herein specified duration. Payments will be done upon completion of the deliverables/outputs.

In general, UNDP shall not accept travel costs exceeding those of an economy class ticket. Should the IC wish to travel on a higher class he/she should do so using their own resources

In the event of unforeseeable travel not anticipated in this TOR, payment of travel costs including tickets, lodging and terminal expenses should be agreed upon, between the respective business unit and the Individual Consultant, prior to travel and will be reimbursed.

*For Detailed Terms of Reference and Template for confirmation of interest and Submission of Financial Proposal is available under the procurement section of UNDP Fiji website ([www.pacific.undp.org](http://www.pacific.undp.org)).*

### **TORs – Annexes:**

**Annex A: Project Logical Framework**

**Annex B: List of Documents to be reviewed by the evaluator**

**Annex C: Evaluation Questions**

**Annex D: Rating Scales**

**Annex E: Evaluation Consultant Code of Conduct and Agreement Form**

**Annex F: Evaluation Report Outline**

**Annex G: Evaluation Report Clearance Form**

**Annex H: TE Report audit trail**

### 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.

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
<b>Review criteria: Relevance - How does the project relate to the main objectives of the GEF, UNDP and to the environment and development priorities at the local, regional and national levels in Tuvalu?</b>				
<i>How is the Project relevant to GEF objectives?</i>	<ul style="list-style-type: none"> <li>▪ How does the Project support the related strategic priorities of the GEF?</li> <li>▪ What regional &amp; international commitments/agreements did the project contribute to?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Level of coherence between project objectives and those of the GEF</li> <li>▪ Level of contribution to GEF tracking tools</li> <li>▪ Participation at international meetings</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project documents</li> <li>▪ GEF policies and strategies</li> <li>▪ GEF web site</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents analyses</li> <li>▪ Interviews with government officials and other partners</li> <li>▪ Field visits</li> </ul>
<i>How is the Project relevant to UNDP objectives?</i>	<ul style="list-style-type: none"> <li>▪ How does the project support the objectives of UNDP in this sector?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Existence of a clear relationship between project objectives and country programme objectives of UNDP</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project documents</li> <li>▪ UNDP strategies and programme</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents analyses</li> <li>▪ Interviews with government officials and other partners</li> <li>▪ Field visits</li> </ul>
<i>How is the Project relevant to Tuvalu's environment and development priorities at local, regional and national levels?</i>	<ul style="list-style-type: none"> <li>▪ Does the project follow the government's stated priorities?</li> <li>▪ How did the project contribute to Island Strategic Plans?</li> <li>▪ How does the Project improve Tuvalu environment and development priorities at local, regional and national levels?</li> <li>▪ Does the project address the identified problem?</li> <li>▪ How country-driven is the Project?</li> <li>▪ Does the Project adequately take into account national realities, both in terms of institutional framework and programming, in its design and its implementation?</li> <li>▪ To what extent were national partners involved in the design of the Project?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Level of community ownership at national and island level</li> <li>▪ Degree of coherence between the project and local, regional and national priorities, policies and strategies; particularly related to resilience of communities to climate change variability and risks</li> <li>▪ Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities?</li> <li>▪ Level of involvement of Government officials and other partners into the project</li> <li>▪ Coherence between needs expressed by national stakeholders and UNDP criteria</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project documents</li> <li>▪ National policies, strategies and programmes</li> <li>▪ Key government officials and other partners</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents analyses</li> <li>▪ Interviews with government officials and other partners</li> </ul>
<i>How does the Project address the</i>	<ul style="list-style-type: none"> <li>▪ How does the project support the needs of target beneficiaries?</li> <li>▪ Is the implementation of the project being inclusive of all relevant Stakeholders?</li> <li>▪ Are local beneficiaries and stakeholders adequately involved in project formulation and implementation?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Strength of the link between project expected results and the needs of target beneficiaries</li> <li>▪ Degree of involvement and inclusiveness of beneficiaries and stakeholders in project design and implementation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Beneficiaries and stakeholders</li> <li>▪ Needs assessment studies</li> <li>▪ Project documents</li> <li>▪ Field observations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document analysis</li> <li>▪ Interviews with beneficiaries and stakeholders</li> <li>▪ Field visits</li> </ul>

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
<i>needs of target beneficiaries?</i>				
<i>Is the Project internally coherent in its design?</i>	<ul style="list-style-type: none"> <li>▪ Were GEF criteria for project identification adequate in view of actual needs?</li> <li>▪ Was the project sourced through a demand-driven approach?</li> <li>▪ 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.)?</li> <li>▪ Is the length of the project conducive to achieve project outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Level of coherence between project expected results and internal project design logic</li> <li>▪ Level of coherence between project design and project implementation approach</li> </ul>	<ul style="list-style-type: none"> <li>▪ Program and project documents</li> <li>▪ Key project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document analysis</li> <li>▪ Key Interviews</li> </ul>
<i>How is the Project relevant in light of other donors?</i>	<ul style="list-style-type: none"> <li>▪ Was the project relevant in terms of areas of focus and targeting of key activities within the context of Tuvalu and other donors' strategies?</li> <li>▪ How does GEF help to fill gaps (or give additional stimulus) that are crucial but are not covered by other donors?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Degree to which the project was coherent and complementary to other donor programming in Tuvalu</li> <li>▪ List of programs and funds in which future developments, ideas and partnerships of the project are eligible?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Other Donors' policies and programming documents</li> <li>▪ Other Donor representatives</li> <li>▪ Project documents</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents analyses</li> <li>▪ Interviews with other Donors</li> </ul>
<b>Future directions for similar Projects</b>	<ul style="list-style-type: none"> <li>▪ 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?</li> <li>▪ How could the project better target and address priorities and development challenges of targeted beneficiaries?</li> </ul>		<ul style="list-style-type: none"> <li>▪ Data collected throughout evaluation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Data analysis</li> </ul>
<b>Review criteria: Effectiveness – To what extent have the expected outcomes and objectives of the project been achieved?</b>				
<i>How is the Project effective in achieving its expected outcomes?</i>	<ul style="list-style-type: none"> <li>▪ How is the project being effective in achieving its expected outcomes? <ul style="list-style-type: none"> <li>○ Marine based coastal livelihoods of Tuvaluan outer islands made resilient to declining productivity induced by climate variability and change</li> <li>○ Capacity of outer islands enhanced to respond to increasing/intensifying climate induced hydro-meteorological risks</li> <li>○ Enhanced capacity of communities to access internal/external financing for community-based climate change adaptation through existing participatory development planning processes</li> </ul> </li> <li>▪ What are the factors which contributed to these achievements?</li> <li>▪ Were there any delays?</li> <li>▪ Were there any factors beyond the control of the project and government which affected the implementation of the project?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Level of execution of outputs under the three outcomes</li> <li>▪ Degree to which the project contribute to Tuvalu's resilience of communities to climate change variability and risks</li> <li>▪ New methodologies, skills and knowledge</li> <li>▪ Change in capacity for information management: knowledge acquisition and sharing; effective data gathering, methods and procedures for reporting.</li> <li>▪ Change in capacity for awareness raising <ul style="list-style-type: none"> <li>○ Stakeholder involvement and government awareness</li> <li>○ Change in local stakeholder behavior</li> </ul> </li> <li>▪ Change in capacity in policy making and planning to improve Tuvalu's resilience of communities to climate change variability and risks: <ul style="list-style-type: none"> <li>○ Policy reform</li> <li>○ Legislation/regulation change</li> <li>○ Development of national and local strategies and plans</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▪ Project documents</li> <li>▪ Key stakeholders including UNDP, Project Team, Representatives of Gov. and other Partners</li> <li>▪ Research findings</li> <li>▪ Observations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents analysis</li> <li>▪ Meetings with main Project Partners and Project Team</li> <li>▪ Interviews with project beneficiaries</li> <li>▪ Field visits</li> </ul>

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
		<ul style="list-style-type: none"> <li>▪ Change in capacity in implementation and enforcement               <ul style="list-style-type: none"> <li>○ Design and implementation of risk assessments</li> <li>○ Implementation of national and local strategies and action plans through adequate institutional frameworks and their maintenance</li> <li>○ Monitoring and evaluation</li> </ul> </li> <li>▪ Change in capacity in mobilizing resources               <ul style="list-style-type: none"> <li>○ Leverage of resources</li> <li>○ Human resources</li> <li>○ Appropriate practices</li> <li>○ Mobilization of advisory services</li> </ul> </li> </ul>		
<i>How is risk and risk mitigation being managed?</i>	<ul style="list-style-type: none"> <li>▪ How well are risks and assumptions being managed?</li> <li>▪ What is the quality of risk mitigation strategies developed? Are they sufficient?</li> <li>▪ Are there clear strategies for risk mitigation related with long-term sustainability of the project?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Completeness of risk identification and assumptions during project planning</li> <li>▪ Quality of existing information systems in place to identify emerging risks and other issues?</li> <li>▪ Quality of risk mitigations strategies developed and followed</li> </ul>	<ul style="list-style-type: none"> <li>▪ Atlas risk log</li> <li>▪ Project documents and evaluations</li> <li>▪ UNDP, Project Team and Project Partners</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document analysis</li> <li>▪ Interviews</li> </ul>
<b>Future directions for similar Projects</b>	<ul style="list-style-type: none"> <li>▪ What lessons have been learnt for the project to achieve its outcomes?</li> <li>▪ 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?</li> <li>▪ How could the project be more effective in achieving its results?</li> </ul>		<ul style="list-style-type: none"> <li>▪ Data collected throughout evaluation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Data analysis</li> </ul>
<b>Review criteria: Efficiency – Was the project implemented efficiently, in-line with international and national norms and standards?</b>				
<i>Is Project resources channeled in an efficient way?</i>	<ul style="list-style-type: none"> <li>▪ Is adaptive management used or needed to ensure efficient resource use?</li> <li>▪ Does the Project Results Framework and work plans and any changes made to them used as management tools during implementation?</li> <li>▪ Are accounting and financial systems in place adequate for project management and producing accurate and timely financial information?</li> <li>▪ How adequate is the M&amp;E framework (indicators &amp; targets)?</li> <li>▪ Are progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes?</li> <li>▪ Is project implementation as cost effective as originally proposed (planned vs. actual)</li> <li>▪ Is the leveraging of funds (co-financing) happened as planned?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Technical and financial delivery of annual work plans</li> <li>▪ Availability and quality of financial and progress reports</li> <li>▪ Timeliness and adequacy of reporting provided</li> <li>▪ Level of discrepancy between planned and utilized financial expenditures</li> <li>▪ Planned vs. actual funds leveraged</li> <li>▪ Cost in view of results achieved compared to costs of similar projects from other organizations</li> <li>▪ Adequacy of project choices in view of existing context, infrastructure and cost</li> <li>▪ Quality of RBM reporting (progress reporting, monitoring and evaluation)</li> <li>▪ Occurrence of change in project formulation/ implementation approach (i.e. restructuring) when needed to improve project efficiency</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project documents and evaluations</li> <li>▪ UNDP, Representatives of Gov. and Project Team</li> <li>▪ Beneficiaries and Project partners</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document analysis</li> <li>▪ Key Interviews</li> </ul>

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
	<ul style="list-style-type: none"> <li>Are financial resources utilized efficiently? Could financial resources have been used more efficiently?</li> <li>How is RBM used during project implementation?</li> <li>Is the project decision-making effective?</li> <li>Does the government provide continuous strategic directions to the project's formulation and implementation?</li> <li>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?</li> <li>Does the project mainstream gender considerations into its implementation?</li> </ul>	<ul style="list-style-type: none"> <li>Existence, quality and use of M&amp;E, feedback and dissemination mechanism to share findings, lessons learned and recommendation on effectiveness of project design.</li> <li>Cost associated with delivery mechanism and management structure compare to alternatives</li> <li>Gender disaggregated data in project documents</li> </ul>		
<i>How efficient are partnership arrangements for the Project?</i>	<ul style="list-style-type: none"> <li>How does the government demonstrate its ownership of the projects?</li> <li>Did the government provide a counterpart to the project?</li> <li>To what extent partnerships/linkages between institutions/ organizations are encouraged and supported?</li> <li>Which partnerships/linkages are facilitated? Which one can be considered sustainable?</li> <li>What is the level of efficiency of cooperation and collaboration arrangements? (between local actors, UNDP and relevant government entities)</li> <li>Which methods were successful or not and why?</li> </ul>	<ul style="list-style-type: none"> <li>Level of ownership of project amongst Department of Rural Development, Fishery and Environment</li> <li>Level of community ownership and implementation of activities at island level</li> <li>Level of stakeholder collaboration and support for execution of activities</li> <li>Identification and justification for activities beyond control of government</li> <li>Specific activities conducted to support the development of cooperative arrangements between partners,</li> <li>Examples of supported partnerships</li> <li>Evidence that particular partnerships/linkages will be sustained</li> <li>Types/quality of partnership cooperation methods utilized</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>Project Partners</li> <li>UNDP, Representatives of Gov. and Project Team</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Does the Project efficiently utilize local capacity in implementation ?</i>	<ul style="list-style-type: none"> <li>Was an appropriate balance struck between utilization of international expertise and local capacity?</li> <li>Does the project support mutual benefits through sharing of knowledge and experiences, training, technology transfer among developing countries?</li> <li>Did the Project take into account local capacity in formulation and implementation of the project?</li> <li>Was there an effective collaboration with scientific institutions with competence in community resilience to climate change variability and risks?</li> </ul>	<ul style="list-style-type: none"> <li>Proportion of total expertise utilized taken from Tuvalu</li> <li>Number/quality of analyses done to assess local capacity potential and absorptive capacity</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>UNDP, Project Team and Project partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<b>Future directions for</b>	<ul style="list-style-type: none"> <li>What lessons can be learnt from the project on efficiency?</li> <li>How could the project have more efficiently addressed its key priorities (in terms of management structures and procedures, partnerships arrangements etc....)?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected throughout evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> </ul>

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
<b>similar Projects</b>	<ul style="list-style-type: none"> <li>What changes could have been made (if any) to the project in order to improve its efficiency?</li> </ul>			
<b>Review criteria: Impacts - Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</b>				
<i>How is the Project effective in achieving its objective?</i>	<ul style="list-style-type: none"> <li>Will the project achieve its objective that is “resilience of island communities to climate change variability and risks is strengthened through participatory island-level planning, budgeting and execution and community-led investments”?</li> <li>Did the project contribute to the reduction of environmental stress and/or ecological stress?</li> </ul>	<ul style="list-style-type: none"> <li>Contributions of impacts to environmental stress and/or ecological stress</li> <li>Changes in capacity: <ul style="list-style-type: none"> <li>To pool/mobilize resources</li> <li>To provide an enabling environment,</li> <li>For implementation of related strategies and programmes through adequate institutional frameworks and their maintenance,</li> </ul> </li> <li>Changes in use and implementation of sustainable alternatives</li> <li>Changes to the quantity and strength of barriers such as change in: <ul style="list-style-type: none"> <li>Knowledge of and access to resilient marine-based livelihood options</li> <li>Awareness about climate risks and response measures</li> <li>Limited infrastructure for timely and accurate dissemination of imminent hydro-meteorological risks</li> <li>Capacity for climate-resilient planning, budgeting and monitoring both at local and national levels</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>Key Stakeholders</li> <li>Research findings</li> <li>Observations</li> </ul>	<ul style="list-style-type: none"> <li>Documents analysis</li> <li>Meetings with UNDP, Project Team and project Partners</li> <li>Interviews with project beneficiaries and other stakeholders</li> <li>Field visits</li> </ul>
<i>How is the Project impacting the local environment?</i>	<ul style="list-style-type: none"> <li>What are the impacts or likely impacts of the project on? <ul style="list-style-type: none"> <li>Local environment;</li> <li>Poverty; and,</li> <li>Other socio-economic issues.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Provide specific examples of impacts at those three levels, as relevant</li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>Key Stakeholders</li> <li>Research findings</li> <li>Observations</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> <li>Interviews with key stakeholders</li> <li>Field visits</li> </ul>
<b>Future directions for the Project</b>	<ul style="list-style-type: none"> <li>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?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected throughout evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> </ul>
<b>Review criteria: Sustainability - To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>				
<i>Are sustainability</i>	<ul style="list-style-type: none"> <li>Were sustainability issues integrated into the formulation and implementation of the project?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence/Quality of sustainability strategy</li> <li>Evidence/Quality of steps taken to address sustainability</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
<i>issues adequately integrated in Project design?</i>	<ul style="list-style-type: none"> <li>Does the project employ government implementing and/or monitoring systems?</li> <li>Is the government involved in the sustainability strategy for project outcomes?</li> </ul>		<ul style="list-style-type: none"> <li>UNDP, Project Team and project Partners</li> <li>Beneficiaries</li> </ul>	
<i>Did the project adequately address financial and economic sustainability issues?</i>	<ul style="list-style-type: none"> <li>Did the project adequately address financial and economic sustainability issues?</li> <li>Are the recurrent costs after project completion sustainable?</li> </ul>	<ul style="list-style-type: none"> <li>Level and source of future financial support to be provided to relevant sectors and activities after project end?</li> <li>Level of recurrent costs after completion of project and funding sources for those recurrent costs</li> <li>Level of financial support to be provided to relevant sectors and activities by in-country actors after project end</li> <li>Evidence of commitments from international partners, governments or other stakeholders to financially support relevant sectors of activities after project end</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>UNDP, Project Team and project Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Are there organizational arrangements and continuation of activities issues?</i>	<ul style="list-style-type: none"> <li>Are project results well assimilated by organizations and their internal systems and procedures?</li> <li>Is there evidence that project partners will continue their activities beyond project support?</li> <li>Has there been a buy-in process, or was there no need to sell the project and buy support?</li> <li>What degree is there of local ownership of initiatives and results?</li> <li>Were appropriate ‘champions’ being identified and/or supported?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which project activities and results have been taken over by local counterparts or institutions/organizations</li> <li>Number/quality of champions identified</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>UNDP, Project Team and project Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Is there an adequate enabling environment to sustain project achievements?</i>	<ul style="list-style-type: none"> <li>Are laws, policies and frameworks addressed through the project, in order to address sustainability of key initiatives and reforms?</li> <li>Are the necessary related capacities for lawmaking and enforcement built?</li> <li>What is the level of political commitment to build on the results of the project?</li> </ul>	<ul style="list-style-type: none"> <li>Efforts to support the development of relevant laws and policies</li> <li>State of enforcement and law making capacity</li> <li>Evidence of commitment by the political class through speeches, enactment of laws and resource allocation to priorities</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>UNDP, Project Team and project Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Will institutional and individual capacities adequate at the end of the project</i>	<ul style="list-style-type: none"> <li>Is the capacity in place at the national, and local level adequate to ensure sustainability of results achieved to date?</li> </ul>	<ul style="list-style-type: none"> <li>Elements in place in those different management functions, at appropriate levels (national and local) in terms of adequate structures, strategies, systems, skills, incentives and interrelationships with other key actors</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>UNDP, Project Team and project Partners</li> <li>Beneficiaries</li> <li>Capacity assessments available, if any</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> <li>Documentation review</li> </ul>

<b>Reviewed Component</b>	<b>Sub-Question</b>	<b>Indicators</b>	<b>Sources</b>	<b>Data Collection Method</b>
<i>Are there any social and/or political sustainability issues?</i>	<ul style="list-style-type: none"> <li>▪ Did the project contribute to key building blocks for social and political sustainability?</li> <li>▪ Did the project contribute to local Stakeholders' acceptance of the new practices?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Example of contributions to sustainable political and social change with regard to the management and monitoring of the environment</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project documents and evaluations</li> <li>▪ UNDP, Project Team and project Partners</li> <li>▪ Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interviews</li> <li>▪ Documentation review</li> </ul>
<i>Will achievements be replicable?</i>	<ul style="list-style-type: none"> <li>▪ Were project activities and results replicated elsewhere and/or scaled up?</li> <li>▪ What was the project contribution to replication or scaling up of innovative practices or mechanisms to improve Tuvalu's resilience of communities to climate change variability and risks?</li> <li>▪ Does the project has a catalytic role?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Number/quality of replicated initiatives</li> <li>▪ Number/quality of replicated innovative initiatives</li> <li>▪ Volume of additional investment leveraged</li> </ul>	<ul style="list-style-type: none"> <li>▪ Other donor programming documents</li> <li>▪ Beneficiaries</li> <li>▪ UNDP, Project Team and project Partners</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document analysis</li> <li>▪ Interviews</li> </ul>
<i>Are there any challenges to sustainability of the Project</i>	<ul style="list-style-type: none"> <li>▪ What are the main challenges that may hinder sustainability of efforts?</li> <li>▪ Have any of these been addressed through project management?</li> <li>▪ What could be possible measures to further contribute to the sustainability of efforts achieved with the project?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Challenges in view of building blocks of sustainability as presented above</li> <li>▪ Recent changes which may present new challenges to the project</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project documents and evaluations</li> <li>▪ Beneficiaries</li> <li>▪ UNDP, Project Team and project Partners</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document analysis</li> <li>▪ Interviews</li> </ul>
<b>Future directions for the Project</b>	<ul style="list-style-type: none"> <li>▪ Which areas/arrangements under the project show the strongest potential for lasting long-term results?</li> <li>▪ What are the key challenges and obstacles to the sustainability of results of project initiatives that must be directly and quickly addressed?</li> <li>▪ How can the experience and good project practices influence the strategies to transform Tuvalu's resilience of communities to climate change variability and risks?</li> <li>▪ Are national decision-making institutions (Parliament, Government etc.) ready to improve their measures to transform Tuvalu's resilience of communities to climate change variability and risks?</li> </ul>		<ul style="list-style-type: none"> <li>▪ Data collected throughout evaluation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Data analysis</li> </ul>



## Annex 4: UNEG Code of Conduct for Evaluation Consultants

### ***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.

### **Evaluation Consultant Agreement Form**

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

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

*Name of Consultant:*  
***Jean-Joseph Bellamy***

*Signed in:* Ottawa on February 1, 2019

*Signature:*  \_\_\_\_\_

## **Annex 5: List of Documents Reviewed**

Australian Government, *Climate Variability, Extremes and Change in the Western Tropical Pacific: New Science and Updated Country Reports 2014*

Care, *Climate Vulnerability and Capacity Analysis – Handbook*

Colin Schulz, *Report on visit to Tuvalu, September 2018*

Colin Schulz, *Report on November 2018 Visit to Tuvalu for NAPA 2*

Department of Planning and Budget, March 26, 2016, *The Implementation of the Istanbul Programme of Action (IPOA) 2011-2020 – Tuvalu Midterm Review Report*

EU, GCCA, Government of Tuvalu, SPC, *Project Document: Improving Agro-Forestry Systems to Enhance Food Security and Build Resilience to Climate Change in Tuvalu*

EY, *NAPA2 Audit 2015, 2016, 2017*

EY, *UNDP HACT Micro-Assessment Climate Change Policy and Disaster Coordination Unit – Government of Tuvalu*

Funafuti Falekaupule, *Funafuti Strategic Plan 2016-2020*

FAO, April 11-13, 2013, *Report of the Tenth Meeting of FAO South West Pacific Ministers for Agriculture Apia, Samoa*

Fialua Monise, Caitlyn Precvich, June 2014, *Challenges and Opportunities to Improve Food Security in Tuvalu in the Face of Climate Change*

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GEF, April 16, 2013, *Request for CEO Endorsement: Effective and responsive island-level governance to secure and diversify climate resilient marine-based coastal livelihoods and enhance climate hazard response capacity*

GEF, *Financing Adaptation Action – LDCF/SCCF*

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GEF, Government of Tuvalu, UNDP, *Terms of Reference: Telecommunication and Early Warning Systems Expert*

GEF, Government of Tuvalu, UNDP, 2016, *NBSAP: Fifth National Report to the CBD*

GEF-IEO, April 2014, *Adaptation to Climate Change – The LDCF: Review of the Implementation of NAPAs*

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GEF, May 21, 2008, *PIF: Increasing Resilience of Coastal Areas and Community Settlements to Climate Change*

GEF, May 21, 2008, *Request for PPG: Increasing Resilience of Coastal Areas and Community Settlements to Climate Change*

GEF, November 3, 2011, *PIF Effective and responsive island-level governance to secure and diversify climate resilient marine-based coastal livelihoods and enhance climate hazard response capacity*

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GEF, *PIF: Pacific Islands Regional Oceanscape Program (PROP)*

GEF, UNDP, Project Implementation Review (PIR) 2014: *Tuvalu: Increasing Resilience of Coastal Areas and Community Settlements to Climate Change*

GEF, UNDP, *Project Implementation Review (PIR) Reports 2015, 2016, 2017, 2018*

GEF, UNDP, SPREP, *Pacific Adaptation to Climate Change Tuvalu – Report of in-Country Consultations*

GEF, *World Bank Appraisal Stage: GEF Data Sheet Request for CEO Endorsement: Pacific Islands Regional Oceanscape Program (PROP)*

Global Climate Change Alliance: Pacific Small Islands States Project, July 2013, *Climate Change Profile – Tuvalu (ver 2)*

Government of Tuvalu, 2012, *Te Kaniva Tuvalu Climate Change Policy*

Government of Tuvalu, AusAid, GEF, UNDP, *Terminal Evaluation fo the Tuvalu National Adaption Programme of Action (NAPA) NAPA-I and NAPA-I+ Projects*

Government of Tuvalu, AusAid, UNDP, *Tuvalu NAPA-I+ - Australia-UNDP-Partnership Programme for the Tuvalu NAPA I<sup>st</sup> Follow-up Full-Size Project 2011-2013*

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Government of Tuvalu, *Funafuti Strategic Plan 2011-2015*

Government of Tuvalu, UNDP, GEF, NAPA2, *Quarterly Progress Report 2016 (4), 2017 (4), 2018 (3)*

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Government of Tuvalu, UNDP, GEF, NAPA2, *Wall charts (logframe)*

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Lale Petaia, Ursula Kaly, February 2017, *Status of Outer Islands Locally-Managed Marine Areas (LMMAs) in Tuvalu: Baseline Report*

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NAPA2, *Copy of contracts signed by the project*

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Nicholas Molyneux, *NAPA II Inception Workshop Report*

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Susie Saitala Kofe, Fakavae Taomia, *Advancing Woment's Political Participation in Tuvalu*

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Tuvalu Fisheries Department, R2R, *Vaitupu Community Management and Monitoring Plan*

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UN, December 7, 2017, *Draft Regional Programme Document for Asia and the Pacific (2018-2021)*

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UNDP, Government of Tuvalu, GEF, *Project Document: Implementing a “Ridge to Reef” Approach to Protect Biodiverity and Ecosystem Functions in Tuvalu (R2R Tuvalu)*

UNDP, Government of Tuvalu, Green Climate Fund, *Tuvalu Coastal Adaptation Project Factsheet*

UNDP, Government of Tuvalu, May 2007, *GEF, Tuvalu's National Adaptation Programme of Action (NAPA)*

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William Sokimi, *Trip Report, Funafuti, Tuvalu - Strategic planning, financing and ordering of FADs, training in FAD rigging and deployments, fishing methods, catch handling, catch monitoring*

World Bank, December 20, 2017, *Implementation Completion and Results Report on Grants to Tuvalu for a 1<sup>st</sup> and 2<sup>nd</sup> Development Policy Operations*

World Bank, *Project Appraisal Document: Pacific Islands Regional Oceanscape Program (PROP)*

\_\_\_\_\_, *Back To Office Reports (BTORs) from UNDP staff*

\_\_\_\_\_, *Climate Change Adaptation – LDCF/SCCF – Adaptation Monitoring and Assessment Tool*

\_\_\_\_\_, *Community Integrated Management and Monitoring Plan for Niulakita Island*

\_\_\_\_\_, *Community Integrated Management and Monitoring Plan for Nanumaga Island*

\_\_\_\_\_, *Community Integrated Management and Monitoring Plan for the Island of Nanumea*

\_\_\_\_\_, *Community Integrated Management and Monitoring Plan for Nukulaelae Island*

\_\_\_\_\_, *Community Integrated Management and Monitoring Plan for Niutao Island*

\_\_\_\_\_, *Creel Survey Reports*

\_\_\_\_\_, *Estimated Population for Each Islands*

\_\_\_\_\_, *Linking the Islands – Early Warning Systems in Tuvalu (short and long videos)*

\_\_\_\_\_, *Local Climate Adaptive Living Program Workshop*

\_\_\_\_\_, *Media Release: Tuvalu Share Stories of Change with Fijian Kinsmen*

\_\_\_\_\_, *Nui Island Strategic Plan*

\_\_\_\_\_, *Strategic Plan 2017-2021 Niutao & Niulakita*

\_\_\_\_\_, *Survey of warning systems in all islands of Tuvalu*

\_\_\_\_\_, *Tracking Tool for Climate Change Adaptation Projects*

\_\_\_\_\_, *Various reports, communications and minutes of meetings regarding the purchase and operation of the Tala Moana (boat)*

### **Website Consulted**

[www.thegef.org](http://www.thegef.org)

## Annex 6: Interview Protocol

*Note: This is a guide for Interviewers (a simplified version of the evaluation matrix). Not all questions were asked to each interviewee; it was a reminder for the Interviewer about the type of information required to complete the evaluation and a guide to prepare the semi-structured interviews. Confidentiality was guaranteed to the Interviewees and the findings once “triangulated” were incorporated in the report.*

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### **I. RELEVANCE** - *How does the project relate to the main objectives of the GEF, UNDP and to the environment and development priorities at the local, regional and national levels in Tuvalu?*

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- I.1. How is the Project relevant to GEF objectives?
- I.2. How is the Project relevant to UNDP objectives?
- I.3. How is the Project relevant to Tuvalu’s environment and development priorities at local, regional and national levels?
- I.4. How 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?

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

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- II.1. How is the Project effective in achieving its expected outcomes?
  - Marine based coastal livelihoods of Tuvaluan outer islands made resilient to declining productivity induced by climate variability and change
  - Capacity of outer islands enhanced to respond to increasing/intensifying climate induced hydro-meteorological risks
  - Enhanced capacity of communities to access internal/external financing for community-based climate change adaptation
- II.2. What are the factors which contributed to these achievements?
- II.3. Were there any delays?
- II.4. Were there any factors beyond the control of the project and government which affected the implementation of the project?
- II.5. How is risk and risk mitigation being managed?

#### ***Future directions for similar projects***

- II.6. What lessons have been learnt for the project to achieve its outcomes?
- II.7. 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?
- II.8. How could the project be more effective in achieving its results?

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

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- III.1. Is adaptive management used or needed to ensure efficient resource use?
- III.2. Do the *Project Results 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. How adequate is the M&E framework (indicators & targets)?
- III.5. Are progress reports produced accurately, timely and respond to reporting requirements including adaptive management changes?
- III.6. Are financial resources utilized efficiently? Could financial resources have been used more efficiently?

- III.7. Is the leveraging of funds (co-financing) happening as planned?
- III.8. Is project implementation as cost effective as originally proposed (planned vs. actual)
- III.9. How is RBM used during project implementation?
- III.10. Are there an institutionalized or informal feedback or dissemination mechanism for lessons learned for ongoing project adjustment and improvement?
- III.11. Does the project mainstream gender considerations into its implementation?
- III.12. How does the government demonstrate its ownership of the projects?
- III.13. To what extent are partnerships/ linkages between institutions/ organizations encouraged and supported?
- III.14. Which partnerships/linkages are facilitated? Which one can be considered sustainable?
- III.15. What is the level of efficiency of cooperation and collaboration arrangements? (between local actors, UNDP, and relevant government entities)
- III.16. Is an appropriate balance struck between utilization of international expertise and local capacity?
- III.17. Did the project take into account local capacity in design and implementation of the project?

***Future directions for the project***

- III.18. What lessons can be learnt from the project on efficiency?
- III.19. How could the project have more efficiently addressed its key priorities (in terms of management structures and procedures, partnerships arrangements, etc.)?

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**IV. IMPACTS** - *Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?*

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- IV.1. Will the project achieve its objective that is "*resilience of island communities to climate change variability and risks is strengthened through participatory island-level planning, budgeting and execution and community-led investments*"?
- IV.2. Did the project contribute to the reduction of environmental stress and/or ecological stress?
- IV.3. How is the Project impacting local environment and socio-economic issues?

***Future directions for the project***

- IV.4. 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?

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

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- V.1. Were sustainability issues adequately integrated in project formulation?
- V.2. Did the project adequately address financial and economic sustainability issues?
- V.3. Are laws, policies and frameworks being addressed through the project, in order to address sustainability of key initiatives and reforms?
- V.4. Is the capacity in place at the national and local levels adequate to ensure sustainability of results achieved to date?
- V.5. Is there evidence that project partners will continue their activities beyond project support?
- 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?
- V.11. Are national decision-making institutions (Parliament, Government etc.) ready to improve their measures to transform Tuvalu's resilience of communities to climate change variability and risks?

## Annex 7: Evaluation Mission Agenda

Project Terminal Evaluation  
(International Evaluator: Jean-Joseph Bellamy)

*Mission Agenda for February 18 to March 1, 2019*

Date / Time	Organization	Name
<b>Thursday (14/02/2019)</b>		
15:00	Departure from Ottawa	
<b>Friday (15/02/2019)</b>		
	Travelling	
<b>Saturday (16/02/2019)</b>		
21:00	Arrival in Suva, Fiji	
<b>Sunday (17/02/2019)</b>		
	Hotel Suva Motor Inn.	Rest day
<b>Monday (18/02/2019)</b>		
10:00	UNDP Suva	Mr. Floyd Robinson, Programme Analyst Mr. Vasiti Navuku, Programme Associate
12:00 – 14:00	Prepared mission to Tuvalu	
15:00	UNDP	Ms. ...name?....., Communication Specialist
<b>Tuesday (19/02/2019)</b>		
9:00 – 11:35	Fly to Funafuti, Tuvalu	
14:00	NAPA-2 Office	Ms. Petesa Finikaso, Deputy Project Coordinator
<b>Wednesday (20/02/2018)</b>		
8:30	UNCDM Ridge to Reef	Ms. Seveleni Kapua, UNCDM Ms. Ivy Tumua, R2R Coordinator
9:45	Tuvalu MET Services	Mr. Nikotemo Iona, Acting Director
10:30	Climate Change and Disaster Department	Ms. Peptua Latasi, Director Mr. Sumeo Silu, Disaster Coordinator
11:20	Department of Environment	Ms. Tilia Asau, Acting Director
14:00	Tuvalu Red Cross – CCDMO	Mr. Tusialofa Finikaso
<b>Thursday (21/02/2018)</b>		
9:00	Tuvalu Fisheries Department	Mr. Lale Petaia (Coastal Fisheries Section) Mr. Tautalo Iese (SFO Coastal Fisheries Management – OI)



Date / Time	Organization	Name
10:00	Tuvalu Fisheries Department	Mr. Viliamu Petaia (Operation Fisheries) Ms. Nelly Seniola
14:00	AID Coordination	Ms. Silaati Tofuola – Senior AID Adviser Ms. Fulimai Poolo – AID Adviser
<b>Friday (22/02/2018)</b>		
9:00	MET Office	Mr. Nikotemo Iona – Acting Director Mr. Taumalea – Senior Observer (Demonstration of Chatty Beetle/ HF Radio)
11:00	FUSIALOFA Association	Mr. Melton Tauetia – FUSIALOFA
12.30	Department of Rural Development UNCDF LOCAL TCAP	Mr. Feue Tipu – LOCAL Mr. Mike Ravono – TCAP Mr. Ioane T Auega – DRD Mr. Brian Ionatana – DRD
<b>Saturday (23/02/2018)</b>		
	Hotel	Reviewed notes and documents
<b>Sunday (24/02/2018)</b>		
	Hotel	Reviewed notes and documents
<b>Monday (25/02/2018)</b>		
10:00	NAPA-2 Office	Ms. Petesa Finikaso, Deputy Project Coordinator
<b>Tuesday (26/02/2018)</b>		
All day	NAPA-2 Office	Reviewed and collected/uploaded documents Prepared debriefing/initial findings
	UNDP (email)	Ms. Luisa Katonibau, ....title?.....
<b>Wednesday (27/02/2018)</b>		
10:00	NAPA-2 Office	Ms. Petesa Finikaso, Deputy Project Coordinator Prepared debriefing/initial findings
20:00	Hotel	Mr. Lindsay Chapman, TFD Consultant
<b>Thursday (28/02/2018)</b>		
12:20 – 14:50	Fly to Suva, Fiji	
15:00	Hotel Suva Motor Inn.	Prepared debriefing/initial findings
<b>Friday (01/03/2018)</b>		
9:00 – 11:00	UNDP (Debriefing)	Mr. Floyd Robinson, Programme Analyst Ms. Vasiti Navuku, Programme Associate Dr. Winifereti Nainoca, Deputy Team Leader, Resilient Sustainable Development Mr. ....name?..... Mr. ....name?.....

Date / Time	Organization	Name
		Mr. ...name?..... Mr. ...name?.....
11:00 – 15:00	Drive from Suva to Nadi Airport	
18:00	Departure to Sydney	
<b>Saturday (02/03/2018)</b>		
16:32	Arrival to Ottawa	
<b>Thursday (07/03/2018)</b>		
9:00	UNDP (Skype)	Mr. Yusuki Taishi, Regional Technical Advisor
21:00	Email	Mr. Colin Schulz, EWS Expert
<b>Tuesday (12/03/2018)</b>		
16:00	Skype	Mr. Garry Preston, TFD Technical Advisor Ms. Ursula Kaly, Consultant
Attempted to interview but not available		Mr. Soseala Tinilau, DOE Director/ex. Project Coordinator Mr. Semese Alefaio, TFD Officer Ms. Monifa Fiu, CTA

## Annex 8: List of People Interviewed

#	Name	Position	Organization
Mr.	Brian Ionatana	...title?.....	DRD
Mr.	Colin Schulz,	EWS Expert	Consultant
Mr.	Feue Tipu	Consultant	LOCAL
Mr.	Floyd Robinson	Programme Analyst	UNDP
Ms.	Fulimai Poolo	AID Adviser	AID Coordination
Mr.	Garry Preston	Technical Advisor	TFD
Mr.	Ioane T Auega	...title?.....	DRD
Ms.	Ivy Tumua	Project Coordinator	R2R
Mr.	Lale Petaia	Coastal Fisheries Section	TFD
Mr.	Lindsay Chapman	Consultant	TFD
Ms.	Luisa Katonibau	...title?.....	UNDP
Mr.	Melton Tauetia	Director	FUSIALOFA
Mr.	Mike Ravono	...title?.....	TCAP
Ms.	Nelly Seniola	Operation Fisheries	TFD
Mr.	Nikotemo Iona	Acting Director	Tuvalu MET Services
Ms.	Pepetua Latasi	Director	Climate Change and Disaster Department
Ms.	Petesa Finikaso	Deputy Project Coordinator	NAPA-2
Ms.	Seveleni Kapua	UN Coordination Specialist	UNCDM
Ms.	Silaati Tofuola	Senior AID Adviser	AID Coordination
Mr.	Sumeo Silu	Disaster Coordinator	Climate Change and Disaster Department
Mr.	Taumalea	Senior Observer (Demonstration of Chatty Beetle/ HF Radio)	Tuvalu MET Services
Mr.	Tautalo Iese	SFO Coastal Fisheries Management	TFD
Ms.	Tilia Asau	Acting Director	DOE
Mr.	Tusialofa Finikaso	...title?.....	Tuvalu Red Cross – CCDMO
Ms.	Ursula Kaly	Consultant	
Ms.	Vasiti Navuku	Programme Associate	UNDP
Mr.	Viliamu Petaia	Operation Fisheries	TFD
Dr.	Winifereti Nainoca	Deputy Team Leader, Resilient Sustainable Development	UNDP
Mr.	Yusuki Taishi	Regional Technical Advisor	UNDP
Ms.	...name?...	Communication Specialist	UNDP

*Met/Interviewed 30 people (13 women and 17 men)*

## Annex 9: Rating Scales

As per UNDP-GEF guidance, the TE Evaluation Team used the following scales to rate the project:

- A 6-point scale to rate the project effectiveness, efficiency, overall project outcome Rating, M&E, IA & EA Execution
- A 4-point scale to rate the sustainability of project achievements
- A 2-point scale to rate the relevance of the project

<b>Ratings for Project effectiveness, efficiency, overall project outcome Rating, M&amp;E, IA &amp; EA Execution</b>		
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.

<b>Ratings for Sustainability</b>		
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

<b>Ratings for Progress Relevance</b>		
2	Relevant (R)	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”.
1	Not Relevant (NR)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.

<b>Additional ratings where relevant</b>		
	Not Applicable (N/A)	
	Unable to Assess (U/A)	

## **Annex 10: Audit Trail**

The audit trail is presented in a separate file.

## Annex 11: Evaluation Report Clearance Form

### EVALUATION REPORT CLEARANCE FORM

*Evaluation Report Reviewed and Cleared by*

***UNDP Country Office***

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

***UNDP RTA***

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_