

Project Evaluation Series

**Evaluation of the project
“Integrating Agriculture into National
Adaptation Plans (NAP-Ag)”**

Project code: UNFA/GLO/616/UND

Management response

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		Actions to be taken, and/or comments about partial acceptance or rejection	Responsible unit	Time frame	
<p>Recommendation 1.</p> <p>To FAO and UNDP. Country specific results frameworks.</p> <p>Though all the countries were requested to carry out a baseline survey and report progress towards the targets in the program result frameworks, and to develop a work plan, some countries did not have specific result frameworks; in certain countries, lack of baselines hindered the identification of programme targets. This also denied the programme the ability to identify the extent to which change has happened at each level of result. Country-specific results framework would have enabled tracking of achievements and contributions from each target country. Future programmes should consider developed country specific result framework reflecting actual activities and their respective targets of the country programme.</p>	Partially Accepted	<p>The NAP-Ag M&E Framework did set up tracking system of the results in the following way: at the beginning of the programme, all countries were requested to carry out a baseline and report progress towards the targets in the programme result framework. Despite the fact that the programme components, indicators and targets were the same for all countries, each country customised the activities under each component on the basis of their national priorities and adaptation planning processes by developing the work plan on an annual basis. Each work plan presented a customization of the logical framework in terms of outputs, activities and expected deliverables, and created a narrative to illustrate how the country results contribute to the achievement of the programme targets overall and work towards medium to long term impacts at national and sub-national level. Individual country information was then reported through Quarterly reports (QAR), reflecting how actual activities and their respective results contributed to the overall targets at the country and global levels. The M&E Expert supported by the Programme Officer kept track of achievements and contributions from each target country to write the Interim Report and Biannual Update Report. The proposal to design and apply that would replace the above procedures will be further assessed to understand if applicable to the follow-on SCALA Programme if an example of a comparable global programme with country specific results would be made available by the evaluation team.</p>	UNDP and FAO Headquarters, regional and country offices	Ongoing	No

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<p>Recommendation 2.</p> <p>To FAO and UNDP. Results Based Management.</p> <p>Future programs should apply results-based management approach where activities and programme products are treated as a means to an end; and not the achievement of the desired change. This requires the development of an M&E framework, plan and data collection tools that articulate instrumental and transformational changes rather than processes. This will enable future programmes not to miss the opportunities to report on transformative changes that can be directly attributed to the programme’s interventions and efforts.</p>	Accepted	<p>This recommendation is well taken. The NAP AG programme did have an M&E framework with clear and tangible results and targets, but certainly more can be done to build in data collection tools to capture instrumental and transformational changes. In the new “Scaling up Ambition on Climate Action in Land Use and Agriculture through NDCs and NAPs” (SCALA) programme, a strong theory of change has been constructed to indicate the change desired and build the activities and overall programme around it, including a logical framework that measures actual progress towards NDC and NAP implementation. Moreover, guidance has been prepared for all countries to engage in the development of a country-level TOC as part of the definition of the first work plan. Further guidance is provided to countries through a brief on transformative climate action and how this can be achieved with SCALA implementation. The baseline survey is composed of ‘scorecards’ that allow quantification of results that can be directly attributed to the program’s interventions. An M&E framework has been developed as part of the SCALA project document that incorporates these elements and much greater effort on data collection for capturing instrumental and transformational change will be applied throughout the project cycle.</p>	UNDP and FAO Headquarters, regional and country offices	Ongoing	No
<p>Recommendation 3.</p> <p>To FAO and UNDP.</p> <p>Needs assessment for target countries. While some countries developed needs assessments (e.g. Nepal, Philippines and Thailand), to</p>	Partially Accepted	<p>FAO and UNDP fully acknowledge that the activities in the workplans should rely on needs and gaps assessments at country-level, which were done under the NAP-Ag Programme in principle to inform the overall work-plan and the country workplans.</p> <p>In some cases, however, the national capacity was very weak to develop in-depth needs assessment ex-ante and</p>	UNDP and FAO Headquarters, regional and country offices	Ongoing	No

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determine the strengths and weaknesses and guide implementation, not all countries developed those. Granted, the programme conducted extensive stocktaking of existing initiatives, gaps and needs and in the start-up phase of the programme, which informed the countries' workplans. However, the global results framework was the same for all. Subsequent similar programmes design should include need and capacities assessment of each country so that country specific activities and institutional capabilities will be reflected in the programme document.		<p>some took very long to be completed. Financially and also for timely design of the country work-plans, it was not possible in every single case when the national capacity was weak to hire a national institution or consultant to do a fully-fledged needs and gaps assessment. Procedurally while FAO and UNDP accept it is very important to do a thorough capacity assessment, based on the ground experience, they would also like to point out the dynamic situation on the ground, and also like to point out the need for a balance between assessment and responsiveness, where possible working with existing assessments and avoiding cumbersome and long, drawn-out needs assessments processes that engage often very stretched national counterparts.</p> <p>Rather the programme expended more effort on its training approaches. Notably, the programme provided guidance on how to carry out an institutional capacity assessment through backstopping and the Briefing Note "Institutional capacity assessment approach for national adaptation planning in the agriculture sectors". Moreover all trainings delivered across the various topics were customised (see full list of the trainings in Annex I).. In addition, the 2016 NAP-Ag inception workshop "Global Capacity Development Workshop Integrating Agriculture in NAPs" in Rome and country-level discussions between stakeholders and NAP-Ag Programme staff provided opportunities for countries to identify their technical capacity needs to support NAPs in the context of the agriculture sector. Efforts were made after the mid-term review (in response to recommendation 7) to better tailor work plans and remaining activities to the national and</p>			

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		<p>sub-national capacities and needs of the planning entities. For example, the CBA training in the Gambia was revised from a full training to a sensitization based on assessment of skills levels. The M&E training in Guatemala, Colombia and the Philippines was adjusted to country context. Gender mainstreaming activities in the Gambia and Philippines were tailored to the skills and needs of target groups. A full 30 pages summary report “NAP-Ag achievements in the technical capacity development entitled as: “Summary assessment and recommendations for future capacity development work, August 2020” was made available to the evaluation team.</p> <p>For the SCALA programme, a more intensified data collection and consultation phase has been designed to respond – in-part - to this recommendation as below.</p> <p>FAO and UNDP acknowledge that a global programme with country components should get an early buy-in from countries and a preliminary needs assessment. The SCALA programme has done so by sending out questionnaires to the potential participating countries to define their needs and interest, and requested a letter or email of confirmation of interest by the countries’ representatives. A capacity development strategy is under development to guide a more consistent approach to capacities assessment of each country. The baseline survey will capture information on current organizational capacity. Standard approaches to assessing individual-level skills will be applied in relation to training activities. A global advisory group has been set up with representation from participatory governments to broadly triangulate the</p>			

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		<p>country priorities and needs as they dynamically evolve over the course of the next 5 years.</p> <p>However, a full needs assessment to be reflected in the programme document may not always be possible due to 1) the need to define a global results framework that can apply to all participating countries and potential new countries in the future, 2) the lack of resources at programme development stage to conduct specific studies.</p>			
<p>Recommendation 4.</p> <p>To FAO and UNDP country offices.</p> <p>Advocating for program uptake. Continue lobbying with the relevant government partners to adopt programme outcome in their system, e.g. including of indicators in M&E system of agriculture ministry, inclusion of climate change in evaluation and planning format of the planning commissions, adopting vulnerability assessment in regular activities of the ministry, using the protocol to estimate loss and damages.</p>	Accepted	<p>FAO and UNDP are committed to furthering adaptation planning in all 11 NAP-Ag countries and beyond. This will be done in part through the NAP-GCF projects developed with NAP-Ag support for Kenya with FAO as a delivery partner which specifically addresses the agriculture sector, funding mobilised for Thailand, Uruguay and Vietnam with UNDP as a delivery partner. These entirely focus on adaptation planning and mainstreaming and will continue the work undertaken under NAP-Ag. FAO and UNDP will also engage with other key departments and Units in both agencies under the jointly agreed umbrella of the NDC Flagship to identify portfolio wide entry points for wider up-take such as in the NDC Support Programmes and CCA portfolio and through its FAO Country support Programmes and the Thematic Working Group on Agriculture Food Security and Land use. Besides, through the (SCALA) Programme, FAO and UNDP will continue supporting 4 of the NAP-Ag countries (Colombia, Nepal, Thailand and Uganda) in strengthening the integration of CCA into planning, budgeting and M&E systems, by using the tools and approaches developed and compiled through NAP-Ag. In addition, through other CCA projects designed and implemented by the two agencies, uptake of the</p>	UNDP and FAO Headquarters, regional and country offices	Ongoing	Yes

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		outputs of the programme will be encouraged in all NAP-Ag countries and other developing countries. Finally, the two agencies will continue the dissemination of tools and best practices and advocacy at global and regional level, especially towards the UNFCCC Least Developed Countries Expert Group (LEG), Adaptation Committee, and Koronivia Joint Work on Agriculture, the NDC Partnership’s TWG on Agriculture, Food Security and Land Use, and the Global Commission on Adaptation and other processes focused on climate change, agriculture and land use. This is part of the agencies’ joint commitments under their Memorandum of Understanding and its flagship on supporting NDC and NAP implementation.			
<p>Recommendation 5.</p> <p>To FAO and UNDP. Resource mobilization.</p> <p>Mobilise more financial support to scaling up lessons learned from NAP-Ag and also move further to support pilot adaptation options identified by the programme that can contribute to enhance knowledge and evidence base on climate change adaptation for the agriculture sector.</p>	Accepted	FAO and UNDP have already mobilised additional resources to scale up the lessons learned from NAP-Ag through the SCALA programme (20M€ from BMU) and GCF. They also continuously support countries in mobilising resources on adaptation and agriculture and rural livelihoods issues and will continue to do so with vertical and bilateral funding. Opportunities to fund adaptation options identified and appraised through NAP-Ag specifically, and to strengthen the evidence on impact, will be explored by the two agencies.	UNDP and FAO Headquarters, regional and country offices	Ongoing	Yes
<p>Recommendation 6.</p> <p>To FAO and UNDP country offices. Private sector involvement.</p>	Accepted	FAO and UNDP fully acknowledge the need to engage the private sector and to diversify the sources of funding for CCA work in agriculture and other sectors to decrease the reliance on international public climate finance and address funding gaps for CCA. This was not in the objectives of	UNDP and FAO Headquarters,	Ongoing	Yes

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There was little evidence of involvement of the private sector, yet some of the climate adaptation options proposed in the NAP-Ag, e.g. on irrigation technologies require the input of the private sector. Involving the private sector particularly in the cost-benefit analysis would have informed the programme on the viability and feasibility of some of their proposed adaptation options that would require production by the private sector. Hence, in future programmes, involvement of private sector in such activities should be considered.		NAP-Ag which sought to establish foundations for adaptation planning in agriculture. Under SCALA, a strong emphasis has been put on private sector engagement throughout the 3 outcomes, i.e. through assessments (potentially include cost-benefit analysis), governance and decision-making mechanisms around climate action, the identification of risks and derisking measures and the co-design of project ideas. This builds on the two agencies' existing work on private sector engagement, including UNDP's operational framework for derisking private sector engagement.	regional and country offices		
<p>Recommendation 7.</p> <p>To FAO and UNDP.</p> <p>Implementation resources.</p> <p>NAP-Ag programme outcomes mainly addressed the formulation of adaptation planning instruments in countries; however, real implementation of this roadmaps and planning instruments was not considered (including public expenses, human resources, institutional arrangements, technology, among others). In</p>	Partially Accepted	FAO and UNDP fully acknowledge the need to support implementation of policies and plans. However, NAP-Ag was designed in 2014 when the NAP process was relatively new and international support for adaptation planning was lacking. The project was aimed at strengthening countries' capacities - both human and institutional - to plan for climate change adaptation in the agricultural sectors, with the idea to link countries to other funding mechanisms (i.e. GCF) for implementation of these plans due to budget constraints. Nevertheless, whenever possible the project provided guidance on policy implementation (i.e. Uganda NAP-Ag, Kenya CSA Implementation Framework).	UNDP and FAO Headquarters, regional and country offices	Ongoing	Yes

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future programmes, the implementation process in countries need to be identified and considered in the design of such instruments. Also, for the sustainability of territorial adaptation actions (with private sector, farmers), follow-up/guidance by FAO and UNDP is recommended in support of the governments through existing focal points such as Ministries of Agriculture or Ministries of Environment.					
<p>Recommendation 8.</p> <p>To FAO and UNDP.</p> <p>To strengthen gender mainstreaming in adaptation options, future programming should continue to promote gender and youth specific and inclusive adaptation options and push for inclusion of aspects that guarantee access to rights and opportunities. These can include, e.g., awareness programme for policy makers and planning personals, leadership development for women and youth and involvement of private sector and financial institutions, aiming to</p>	Accepted	<p>FAO and UNDP fully agree on the importance of strengthening gender mainstreaming and welcome the suggestions of specific actions that can promote gender and youth specific and inclusive adaptation options and push for inclusion of aspects that guarantee access to rights and opportunities. There are limits to the influence the agencies could have via the programme on the ways and extent to which government partners assess and address gender issues in adaptation plans. However, there are strategic partnerships and actions that can increase the scope and depth of gender mainstreaming in future work.</p> <p>For the SCALA programme, the agencies have developed a strategy on gender and social inclusion which outlines how the transformative climate actions implemented with the programme’s support will respond to the needs, interests,</p>	UNDP and FAO Headquarters, regional and country offices	Ongoing	Yes

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increase access to funding for climate and gender friendly agriculture practices and technology and access to markets; inclusion of Ministries whose mandates includes gender and/or of other government organs and multi-sector stakeholder in national and subnational levels (including members of parliament). Evidence-based adaptation options that include extreme vulnerable groups' needs should also be included.		and challenges of vulnerable / marginalized women and men and youth. This includes: <ol style="list-style-type: none"> i. National stakeholders use socially-inclusive consultative processes and gender-responsive data and information in appraisal of climate solutions ii. Climate risks of vulnerable / marginalized women and men inform sectoral planning, budgeting, monitoring iii. Public-private partnerships and related finance improve gender-equitable and socially-inclusive participation and benefits for smallholders. Most of the aspects mentioned in the recommendation are included in the strategy, but attention will be made during the country work plans in response to countries' identified priorities for capacity development and in identifying partners who can carry out awareness raising and activities on gender and youth.			

