

Tuvalu Coastal Adaptation Project

Interim Evaluation Report

UNDP Project ID: PIMS 5699

GCF Project ID: FP015

Interim Evaluation Period: December 2020 to March 2021

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Project information table

Project details		Project Milestones	
Project Title	Tuvalu Coastal Adaptation Project (TCAP)	Funding Proposal Approval Date:	30 June 2016
UNDP Project ID (PIMS #):	5699	FAA Effectiveness Date:	FAA signature date: 31 May 2017 FAA Amendment signature date: 3 January 2020
GCF Project ID:	FP015	Project Document (ProDoc) Signature Date:	14 June 2017
UNDP Atlas Business Unit, Award ID, Project ID:	103205	Date Project Manager hired:	August 2017 and November 2018
Country/Countries:	Tuvalu	Inception Workshop Date:	September 2017
Region:	Asia-Pacific	Interim Evaluation Review Completion Date:	5 March 2021
Focal Area:	Climate Change Adaptation	Planned Terminal Evaluation Completion date:	7 December 2024
GCF Results Areas	Increased resilience of: <ul style="list-style-type: none"> • Most vulnerable people and communities; and • Infrastructure and built environment 	Planned Project Completion Date:	7 June 2024
Trust Fund:	GCF		
GCF Executing Entity:	UNDP is the Executing Entity (EE) for the project, supported by the Ministry of Finance (MoF), which is the National Designated Authority (NDA).		
NGOs/CBOs involvement:	TANGO (Tuvalu Association of NGOs) and the Tuvalu National Council of Women's Group		
Private sector involvement:	Private sector involved to be confirmed at the project's construction phase		
Geospatial coordinates of project sites:	Funafuti – 08°31'S 179°12'E Nanumaga - 06°17'15"S 176°19'15"E Nanumea - 05°39'55"S 176°06'45"E		
Financial Information			
Project	at Approval (US\$M)	at MTR (US\$M)	
[1] UNDP contribution:	0	0	
[2] Government:	2,860,000	315,856.69	
[3] Other multi-/bi-laterals:	0	0	
[4] Private Sector:	0	0	
[5] NGOs:	0	0	
[6] Total co-financing [1 + 2 + 3 + 4 + 5]:	2,860,000	315,856.69	
[7] Total GCF funding:	36,010,000	4,736,340.51 ¹	
[8] Total Project Funding [6 + 7]	38,870,000	5,052,197.20 ¹	

1. Executive summary**1.1. Project description**

The Tuvalu Coastal Adaptation Project (TCAP), financed by the Green Climate Fund (GCF), was approved in June 2016 and implementation commenced on 7 June 2017. The primary focus of the project is to put in place robust coastal protection measures in the three islands of Funafuti, Nanumea and Nanumaga; and, through building institutional and community-level capacities, to prepare for the impact of increasingly intensive wave actions in the country.

While the construction of physical defences is considered one of the urgent actions required to reduce Tuvalu's extreme vulnerability to climate change, and sea level rise in particular, the Government of

¹ Inclusive of commitments as of 30 December 2020

Tuvalu is acutely aware that there is a considerable need to invest in long-term resilience of the country and that it can only be achieved by strengthening the capacity of each of the nine islands to identify, plan for and execute locally-relevant adaptation actions. The TCAP also accordingly contains a component whereby islands councils (Kaupules) and communities will receive assistance in facilitating participatory consultations, identifying climate change adaptation priorities, reflecting on the priorities in the island investment plan, executing priority actions and monitoring results.

The total GCF funds for the project are US\$36,010,000 with government co-financing of US\$2,860,000. The Funded Activity Agreement (FAA) effectiveness date was 7 June 2017 (FAA Amendment effective from 3 January 2020), while the project document was signed on the 14 June 2017. The project is implemented through the Direct Implementation Modality (DIM) and UNDP serves as the project Executing Entity (EE) or Implementation Party (IP) in UNDP terminology. The project works closely with Ministry of Finance (MoF) as the National Designated Authority (NDA) and other beneficiaries including: Ministry of Education, Youth & Sports (MEYS), Public Works Department (PWD), Department of Climate Change Department (CCD), Department of Local Government (DLG), Department of Lands and Survey (DLS), department of Local Government (DLG), and Department of Environment (DoE). Government partners are referenced as beneficiaries in the project Funding Proposal. Project Board members include representatives from: i) MoF; ii) DLS; iii) DoE; iv) DLG; v) CCD; vi) PWD; vii) Ministry of Education; viii) Tuvalu's National Council for Women; ix) Tuvalu Association of Non-Governmental Organisations (TANGO); x) the Central Procurement Unit; xi) Treasury; and xii) the communities of Funafuti, Nanumea and Nanumaga (the names of the representatives are presented in Annex 6.6: List of Persons Interviewed).

1.2. Interim evaluation ratings & achievement summary table

Table 1. IE ratings and achievement summary table.

Measure	IE Rating	Achievement Description
Project Strategy	N/A ²	N/A
Progress Towards Results	Objective achievement rating: Satisfactory	The objective is expected to achieve most of its end-of-project targets, with only minor shortcomings.
	Outcome 1 achievement rating: Moderately Satisfactory	The outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
	Outcome 2 achievement rating: Satisfactory	The outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
	Output 1 achievement rating: Satisfactory	The output is expected to achieve most of its end-of-project targets, with only minor shortcomings.
	Output 2 achievement rating: Satisfactory	The output is expected to achieve most of its end-of-project targets, with only minor shortcomings.
	Output 3 achievement rating: Moderately satisfactory	The output is expected to achieve most of its end-of-project targets but with significant shortcomings.
Project Implementation and Adaptive Management	Moderately satisfactory	Implementation of some of the three components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
Sustainability	Moderately likely	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review

1.3. Concise summary of conclusions

The overall assessment of the project strategy is that it is deemed to be effective in achieving TCAP's results. Although this is the case, some aspects of TCAP are reducing the effectiveness of the implementation of the strategy. In terms of project management arrangements, while the model of a split Project Management Unit (PMU) (between Suva and Funafuti) is necessary, there are some inefficiencies in the performance of the PMU. Usually for UNDP's Direct Implementation Modality

² Not needed at the IE stage.

(DIM) projects in the Pacific region, all PMU staff are based in Suva, Fiji. However, for TCAP it was decided to use a different approach for the sake of efficiency. This includes having part of the PMU located in Tuvalu to handle implementation, issues and engagements on the ground, and part of the team based at UNDP's Pacific office in Fiji to oversee project finances, procurement and administrative aspects of project management — such as fortnightly meetings and reporting to UNDP Pacific Office Management on TCAP's progress. However, while the IE team agrees with the theoretical justification for this approach, there are some inefficiencies in the practical implementation thereof, including: i) infrequent and/or delayed travel to the islands of Nanumea and Nanumaga, creating limited opportunity for the PMU to visit the islands and engage with the beneficiary communities; ii) limited capacity to implement the TCAP's gender strategy and action plan, as well as to manage issues related to safeguards, particularly with regard to social safeguards; and iii) apparent different reporting lines between Funafuti and Suva³. Capacity for results-based planning and reporting within the PMU based in Funafuti is also low. This has been aggravated by the lack of a monitoring and evaluation (M&E) plan for the majority of implementation to date resulting in a limited contribution of the project's M&E data and mechanisms to adaptive management and reporting. The addition of an operations chief technical advisor (CTA) to the PMU has greatly increased its capacity for planning, reporting and M&E.

The financial sustainability of the project could in the future be limited by several factors, such as a lack of long-term financing plans at the governmental level, even though there is commitment from government to take ownership of the project. Socially, sustainability of TCAP's objectives could be adversely affected when the construction of coastal defence measures is initiated on the two islands, as local landowners may disagree on the final placement of interventions, delaying the implementation of coastal defence measures or leading to the reconsideration of site placements. For example, while the Nanumaga community wishes to have the berm-top-barriers (BTBs) constructed on the seaward side of the church compound, TCAP studies have demonstrated that this side of the compound cannot be protected by BTBs, but instead require the construction of a major seawall. Such construction would exceed UNDP's risk accreditation (as the AE) as well as the specified project budget for the coastal protection measures. Consultations with Nanumaga stakeholders are ongoing to ensure that a solution is identified. As an alternative option to this, the installation of BTBs was proposed for the back of the church compound, however, this option was rejected by the Nanumaga Falekaupule (i.e., Chief's assembly). However, for the other locations (on the islands of Nanumea and Nanumaga) selected for the construction of BTBs, exact sites have been agreed on collectively during consultations with landowners, communities and Kaupule (i.e. council)⁴.

The IE team has found that the risk related to land ownership has been recognised in the restructuring paper which was presented in the FAA Amendment (signed on 3 January) and that mitigating measures of close stakeholder engagements with landowners and Kaupules on the islands have also been presented. This was added to (as mentioned above) by the project's ESIA's, which detail the mechanisms for addressing such risks. Mechanisms, such as the project's grievance redress mechanism (GRM, currently being finalised under the umbrella of its stakeholder engagement plan - SEP), will also be used to manage any complaints related to landownership at project sites. The IE team note the importance of managing such complaints and have identified them as a risk to the sustainability of the project if they are not effectively managed, as stakeholder support for TCAP's long-term objectives may consequently be adversely affected. There is currently limited capacity to mitigate this and implement the recommendations and actions presented in the updated environmental and social management plan (ESMP), stakeholder engagement plan and grievance redress mechanism (GRM), and environmental and social impact assessments (ESIAs) — which has been approved by the DoE as of 29 March 2021. While the ESMP, SEP and GRM are awaiting

³ Further details on the inefficiencies identified in the PMU are presented in Section 5.2.3 of this report along with recommendations for addressing these inefficiencies.

⁴ Further details on these consultations are presented in the stakeholder engagement section of the 2020 APR and the project ESIA and ESMF.

finalisation, there is limited capacity within the PMU for the day-to-day actions necessary to mitigate the safeguards risks triggered — i.e., there is no one within the PMU who has safeguards experience, even with support from the project’s international safeguards consultant and GoT, and even though capacity for stakeholder engagements (through the stakeholder engagement plan) has proved to be adequate. As mentioned above, social risks (such as those related to landownership) have been recognised in the restructuring paper for the project as well as the ESIs, which also include mitigation measures for these risks.

Sustainability is, however, strongly supported by the Government of Tuvalu as it has taken strong ownership of the project, ensuring that TCAP is country driven and committing to supporting implementation throughout the project’s lifetime, as well as taking responsibility for managing its interventions after project closure — their capacity to do so possibly being limited by the availability of finance post-project. In addition, the project is well aligned with national development plans, national plans of action on climate change, a range of sub-national policies as well as projects and priorities of the national partners. This includes national gender priorities. While gender considerations are clearly reflected in the Project Document/Funding Proposal to ensure gender responsiveness, there are limited gender-focused activities explicitly described in the Logical Framework. The gender strategy and action plan has been updated to its minimum requirements to ensure project does not go beyond its gender objective, nor create expectations or gender activities that are unnecessary to achieve the gender related targets. Additionally, the PMU’s capacity is limited to implementing the gender strategy and action plan (GSAP) according to the GCF’s minimum level of requirements. To address these limitations, it is recommended that: i) relevant staff in the PMU are trained on gender-responsiveness; ii) gender responsibilities are incorporated into their ToRs; and iii) the capacity of the PMU for M&E of the project is increased through the finalisation of the M&E framework and matrix and having defined terms of reference for M&E to further increase the capacity of the PMU to implement the project, undertake adaptive management and improve reporting efficiency. Already, a gender mainstreaming training module has been added to the SPC three-year training programme to relevant departments and implementing partners.

1.4. Recommendation summary table

TCAP aspect	Recommendation	Responsibility
Management arrangements	1. Representatives (local residents) from each island be added to the PMU as officers, with the role of keeping local stakeholders up to date with TCAP’s plans and progress, managing expectations of local stakeholders and facilitating the implementation of project activities on the islands.	PMU, UNDP Pacific Office (Suva)
	2. Review the best practices and lessons learned under the Global Environment Facility (GEF) National Adaptation Programme of Action (NAPA) 1 and 2 projects, which had island officers that performed similar roles to inform similar positions under TCAP. However, the IE team does understand that once construction begins under Output 2, there will be dedicated monitoring officers on the islands. These individuals could also take on the role recommended by the IE team above.	
	3. Consideration should be made to either add gender and safeguards officers to the PMU, and/or build the capacity of current PMU staff to fulfil gender and safeguards roles.	PMU, international safeguards consultant, RTA
	4. Clarify PMU reporting lines between Funafuti and Suva and ensure that the entire team is reporting to one individual (PMNPM) who then reports to the higher up structures.	PMU, RTA, UNDP Pacific Office Resident Representative
	5. The PMU may need to meet with relevant staff from the UNDP Pacific Office in Suva, as well as the UNDP RTA, to flesh out issues in reporting lines and communication within the PMU and identify workable solutions which are agreed upon. It may be necessary that the operations CTA plays a key role in developing a model for this.	
Stakeholder engagement	6. The IE team recommends that more time is spent managing the expectations of local communities and providing them with more frequent updates on project progress and planning, which can include more	PMU

	<p>information shared regarding the crucial detailed design and safeguards assessments that have been ongoing, this can be done through:</p> <ul style="list-style-type: none"> ○ Employing island community facilitators as part of the PMU on each of the islands (particularly the outer islands of Nanumaga and Nanumea). The facilitators can provide local communities with regular updates and plans on interventions (particularly details on construction works), and readily provide feedback to the PMU in Funafuti, ensuring that any issues are dealt with efficiently. Furthermore, the facilitators can ensure that local communities understand and have access to the project's grievance redress mechanism. ○ Reviewing and revising the stakeholder engagement plan, highlighting the role of island community facilitators in engaging with island stakeholders, to ensure that their needs and concerns are prioritised by TCAP. 	
Finance and co-finance	7. Fasttrack the acquirement of project cash on hand (PCH)/cash advances for the PMU in Tuvalu to ensure that there are no delays for the procurement of urgent items or services, such as office stationery and transport to the outer islands of Nanumaga and Nanumea. In addition to the above, a more permanent solution to the project's procurement delays needs to be identified and implemented. This could be in the form of providing more procurement support to the PMU through providing training to the project's procurement officer (based in Suva), assessing his/her performance under the project and taking the necessary corrective measures, or bringing in an additional staff member on an ad hoc basis to reduce procurement delays.	PMU, UNDP Pacific Office procurement department, RTA
Sustainability	8. Sustainability strategies should be developed for each of the project's outputs. These may be in the form of "live" documents which are reviewed and updated annually to account for in changes in implementation or sustainability developments.	PMU (including CTAs) and RTA
	9. The design of a project (or projects) to follow TCAP should be considered under its exit strategy. Reports, studies, designs of interventions, best practices and lessons learned from TCAP should be shared with GoT and development partners working both in Tuvalu, and across the Pacific region to ensure that knowledge sharing through the project promotes sustainability, as well as replication and upscaling.	PMU, RTA, national project partners
	10. Champions who can promote project outcomes should be identified through a participatory process, including champions at the community level that represent vulnerable groups (such as women and youth).	PMU, national project partners
Relevance, effectiveness and efficiency	11. The IE team recommends that should the COVID-19-related travel restrictions in Tuvalu not be lifted in 2021 or significant progress be made on the delivery of Output 3 specifically by the end of 2021, that an extension of 6 months to a year be considered for TCAP.	PMU, RTA, UNDP Pacific Office (Suva)
	12. The IE team recommends that more detail on key milestones should be added to TCAP's multiyear activity implementation plan, and that any significant changes should be highlighted and explained in APRs. This would include information on potential and expected delays, and any tolerance that has been added to specific activities as a result.	PMU
Theory of Change (ToC) and Logical Framework	13. The IE team recommends that the ToC diagram is updated to: <ul style="list-style-type: none"> ○ reflect changes that have been made to the logical/results framework since project inception; ○ include project assumptions presented in the logical/results framework; ○ clearly indicate how identified risks could impact project viability or sustainability; ○ include both GCF outcomes relevant to the project; and ○ include a goal statement for TCAP. 	PMU, international safeguards consultant, RTA
	14. The target of Indicator 1 should be revised to make it clearer that the project needs to measure the extent to which the updated ISPs address climate change threats. Furthermore, the mid-term and final project targets for Indicator 4: "Number of students that are supported at higher-level studies (tertiary level or higher) on disciplines related to coastal protection work" imply that all 24 students should obtain a CCA-related position in the country once qualified. However, details at the input level of the logical framework suggest that only six students will obtain a CCA-	PMU, RTA, UNDP Pacific Office Resident Representative

	<p>related position once qualified. Details under Indicator 4 in the logical framework need to be updated to reflect the correct mid-term and final project targets.</p> <p>Where possible, the wording of targets should be revised to improve their links to the gaps presented in the baseline.</p> <p>15. Regarding the coastal protection measures under Output 2, more granular detail should be added to the targets. This includes: i) how the number of beneficiaries is disaggregated across the three islands; ii) more detail on how communities in Funafuti will be protected by the land reclamation interventions; and iii) how the targeted 3,090 m of protected vulnerable coastlines is split across Nanumea and Nanumaga.</p> <p>16. There have been challenges in meeting several mid-term targets (such as those for Indicators 1, 4, 5 and 8). The targets will need to be reviewed and adjusted to what is more appropriate at mid-term.</p> <p>17. Achieving a target of 50% of women trained under Output 1 (Indicator 3) — if more than 12 technical officers in total are trained — is likely to be challenging because of gender dynamics in government departments. The IE team recommends that this target is reviewed and adjusted to an achievable percentage.</p> <p>18. For indicators 3, 4 and 7, the Means of Verification (MoVs) need to be reviewed and revised so that impacts/results can be better measured. For Indicator 3, solely generating reports and sharing results from an assessment on a forum will not demonstrate any improved knowledge and awareness about climate change impacts on different genders. Likewise, for Indicator 4, reports are unlikely to show the true impacts on capacity. The IE team recommends that a capacity scorecard is developed to measure how capacity has increased through the training. For Indicator 7, solely generating a report and sharing results from an assessment on a forum will not demonstrate any improved knowledge and awareness about climate change impacts on different genders. It is consequently recommended that the MoV is revised to make it more results oriented.</p> <p>19. The project team must assess which of the assumptions are still relevant at this stage of the project and update, remove and/or add assumptions as necessary.</p>	
Reporting	<p>20. The IE team recommends that the PMU develop a reporting strategy/approach that allows them to feed information into the relevant reports on a weekly basis, resulting in less time being spent on developing the major project reports just before they are due. Quarterly reports should also be developed, with the findings discussed in the Annual Progress Reports (APRs), which are formally submitted to the GCF each year of project implementation as required by the Accreditation Master Agreement (AMA) and FAA.</p>	PMU team (including CTAs) and UNDP RTA
		PMU

2. Introduction

2.1. Purpose of the Interim Evaluation and objectives

The objective of this Interim Evaluation (IE) was to assess the implementation of TCAP and its alignment with Funded Activity Agreement (FAA) obligations and progress towards achieving the project objectives, outcomes, and results as specified in the Project Document/Funding Proposal. The evaluation assessed early signs of project success or failure with the goal of identifying the necessary changes to be made to set the project on-track to achieve its intended results. Specific aspects of TCAP that were assessed during the review include: i) the project strategy; ii) implementation and adaptive management; iii) risks to sustainability; iv) relevance, effectiveness, and efficiency; v) coherence in climate finance/delivery with other multilateral entities; vi) gender equity; vii) country ownership; viii) innovativeness in results areas — the extent to which interventions may lead to a paradigm shift towards climate-resilient development pathways; ix) replication and scalability — the extent to which the activities can be scaled up in other locations in the country or other countries; x) unexpected results, both positive and negative; and xi) impact of COVID-19.

In accordance with the UNDP and GCF monitoring and evaluation (M&E) policies and procedures, all UNDP-supported GCF projects must undergo an IE midway through project implementation. The IE was conducted according to the guidance, rules, and procedures established by UNDP and GCF, as reflected in the UNDP project guidance documentation. Ultimately, the evaluation's objective was to assess the project's design, scope, relevance, performance and success, signs of potential impact and sustainability, and provide recommendations, conclusions, and lessons learned from the project in a constructive and informative manner to inform adaptive management.

2.2. Scope & Methodology

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Consequently, the Government of Tuvalu has declared a state of emergency and has restricted travel to Tuvalu since 21 March 2020. Travel is currently not restricted within the country, but there are some restrictions on public gatherings. The conventional approach and methodology of data collection and analysis were adapted to accommodate these restrictions. This included the lead evaluator conducting his work from home, working closely with the national consultant in engaging stakeholders through remote consultations — telephonic or online (e.g., Skype or Zoom). Consideration was made for stakeholder availability, ability, and willingness to be interviewed remotely, as well as the constraints this may place on the IE. When remote consultations were not possible because of poor internet connectivity, for example, the national consultant conducted face-to-face meetings with the relevant stakeholders. Many of the stakeholder consultations were conducted in parallel with site visits undertaken by the national consultant. The findings of the site visits were shared with the lead evaluator. Visits to the outer islands of Nanumea and Nanumaga during the IE were extremely challenging as a result of constant changes to shipping schedules. The PMU had warned the IE team of such challenges⁵, which they regularly face when needing to travel to the outer islands. Initially, a field visit to the outer islands for the national consultant to conduct consultations with local stakeholders and visit proposed field sites was planned for the week of 18 January. However, because of changes to shipping schedules, the trip only took place during the last week of February and first week of March, placing strain on the IE team in terms of incorporating the results of these consultations into the IE report. Consequently, the national consultant has to request written feedback from local stakeholders via a questionnaire so that their contributions could be considered in the initial draft of the IE report.

The evaluation team was tasked with conducting the evaluation using, *inter alia*, the criteria of relevance, effectiveness, efficiency, and sustainability. A set of evaluation questions covering these criteria are included as Annex 2 of this report. A simple financial assessment was conducted, wherein the consistency of planned versus realised contributions and their alignment with implementation needs was assessed. This was based on the project budget and audit reports and connected as far as possible to the main activities identified in the project implementation plan.

Three sources of primary data and information were examined for the IE. These included:

- a variety of project-related documents covering project design, implementation, monitoring and evaluation (M&E), research and studies, development plans, policies and legislation, management plans, and various sources from other initiatives;
- remote and face-to-face consultations with a range of stakeholders in the form of semi-structured interviews, key-informant interviews, and questionnaires to verify and check the reliability of project evidence — approaches to interviews were gender-responsive considering the availability of female stakeholders given their domestic responsibilities, while questionnaires also included questions directed solely at female stakeholders; and

⁵ To mitigate the potential challenges presented by inconsistent shipping schedules to project works, contractors will have their own transport for materials.

- direct observations of project frameworks, results, activities, and outcomes at the project sites — including social, economic, and environmental aspects.

More specifically, the IE focused on project performance, project finance, mainstreaming, and impact and provide recommendations and lessons learned.

3. Project Description and Background Context

3.1. Development context

Development: Tuvalu is the fourth smallest nation in the world. It comprises nine inhabited islands with a population of 10,640⁶. The total land area is 26 km². Funafuti atoll, where the national capital is located, is home to about half of the population. With an average elevation of 1.83 m, Tuvalu is one of the most vulnerable countries in the world to the impacts of climate change, particularly to projected sea-level rise and increases in the severity of cyclones. Combined with considerable development challenges, a narrow resource base economy and chronic capacity constraints, the high levels of vulnerability to climate change impacts are likely to have severe long-term effects on the sustainable development of the country.

Despite its minimal contributions to global greenhouse gas emissions, Tuvalu is disproportionately burdened with the significant impacts from climate change risks. The root cause of this adverse condition is its high exposure and vulnerability to climate hazards, combined with limited adaptive capacity. A number of environmental, economic, and socio-political factors contribute to its vulnerabilities, and leads to increased risks of climate change impacts in Tuvalu including the following:

- small and low-lying islands;
- high coastal length ratio;
- geographic and economic isolation; and
- narrow economic base.

Climate change impacts are putting additional strains on Tuvalu's efforts towards attaining sustainable development. Available climate change projections suggest that Tuvalu will face rising sea-levels higher than the global average and less frequent but more intense tropical cyclone events. These two projections would pose a significant threat to the country where average elevation is barely above 1m above high tide levels and damage from wave overtopping are already reported during king tides and tropical cyclones.

Despite the level of exposure and vulnerability of the country with vulnerable coasts extending for about 8 km, the country currently does not have a single coastal protection structure that will withstand the future combined impact of sea-level rise and intensifying cyclones (except for two seawall structures that are currently under design for 570 m of the coastlines). Once extreme events strike, as seen during Cyclone Pam, the country faces considerable setbacks in terms of economic growth, livelihoods and general well-being of the citizens. Due to the smallness of the country, a single shock can have a cascading effect in various sectors; and, due to the remoteness of the country, disaster recovery is slow and costly.

The GCF project evaluated in this report is aligned with all of the key government strategies and policies. Te Kakeega II 2005-2015, Te Kakeega III (2015-2020) and now Te Kete (2021-2030) is the Tuvalu's national strategy for sustainable development(NSSD) which recognizes that climate change poses significant threats to the achievement of the national development goals. Te Kaniva, the Tuvalu Climate Change Policy, with its vision "To protect Tuvalu's status as a nation and its cultural identity and to build its capacity to ensure a safe, resilient and prosperous future" guides the country's efforts

⁶ GoT. 2017. Tuvalu population and housing mini-census 2017.

in both adaptation and mitigation. Goal 4 of the policy specifically focuses on developing and maintaining Tuvalu's infrastructure to withstand climate change impacts and aims to deliver coastal protection following best practices appropriate for Tuvalu's situation. Tuvalu also launched its national gender and youth policy in 2013 and 2015, respectively, which aim to bolster participation of women and youth in decision-making and promote their economic empowerment, among others. The women and youth engagement approach adopted in this project is fully in alignment with this view.

3.2. *Problems that the project sought to address, threats and barriers targeted*

The Pacific Climate Change Science Program (PCCSP) study⁷ highlights climate change trends and future projections in Tuvalu. These are presented below.

- **Temperatures have increased and will continue to increase with more very hot days** in the future. Projections show that by 2030, under high emission scenario, temperature may increase in the range of 0.4–1.0°C.
- **Rainfall is generally projected to increase over this century with more extreme rainfall days** expected. Wet season and dry season increases in rainfall are expected, mainly due to the projected intensification of the South Pacific Convergence Zone.
- By the end of this century projections suggest **decreasing numbers of tropical cyclones** but a possible **shift towards more intense categories**. Projections in Tuvalu tend to show a decrease in the frequency of tropical cyclones by the late 21st century and an increase in the proportion of the more intense storms.
- **Sea level near Tuvalu has risen and will continue to rise** throughout this century (very high confidence). Since 1993, the sea level has risen by about 5 mm per year (or a total of 9 cm over this period), which is 28-44% higher than the global average. By 2030, under a high emissions scenario, the rise is projected to be in the range of 7-18 cm and 39-87 cm before 2090. The sea-level rise combined with natural year-to-year changes will increase the impact of storm surges and coastal flooding.
- As atmospheric CO₂ concentrations continue to rise, **oceans will warm and continue to acidify**. In all of the three projections used in the PCCSP study, the aragonite saturation state, a proxy for coral reef growth rate, will continue to decrease as atmospheric CO₂ concentrations increase (*very high confidence*). As the ocean warms, **the risk of coral bleaching also increases** (*very high confidence*). In addition, the projections of increasing ocean acidity and risk of coral bleaching, compounded by other stressors such as storm damage, are expected to further increase Tuvalu's coastal vulnerability as coral reefs provide an important ecosystem function (e.g., to attenuate wave energy reaching the foreshore).

These observed and projected changes suggest that climate change poses an existential threat to Tuvalu. With the projected sea-level rise, it is possible that significant areas of the country will be submerged. One of the impacts of more intensive tropical cyclones, coupled with the rising sea level, is stronger wave actions against Tuvaluan coasts. The Tuvalu Climate Change Policy argues that maintaining the sovereignty of Tuvalu is a critical policy objective and a nationwide relocation is not considered an official solution to climate change. Furthermore, with the highly limited land availability, facilitating internal relocation is also not seen as a pragmatic option. This means that vulnerability reduction in all of the inhabited islands in the country is an important adaptation objective for the country. Indeed, the urgency of the issue recently led to the establishment of the Climate Change Advisory Unit under guidance from the National Advisory Council on Climate Change Policy (NACCC).

Key barriers addressed by the project

⁷ PCCSP. 2014. Current and future climate of Tuvalu.

Despite Tuvalu's aspiration to reduce its vulnerability to climate change and ongoing international support in this regard, there are several barriers that need to be overcome to bring about transformational change that is both effective and sustainable.

Limited national financial resources and dependency on fragmented external financing: Coastal protection and site-specific assessment to finalize the design of the protection is expensive. Tuvalu's narrow economic base makes it extremely difficult for national budgets to be invested in for this purpose. As a result, past coastal protection investments have been financed through the small discretionary budgets available for outer island administration, private financing, or donor funding. These sources are generally too small and fragmented to provide a comprehensive, lasting solution. Lack of finance often leads to project design that is not based on detailed site-specific hydrodynamic modelling that enable the final structure to be tightly aligned with the coastal processes (for improved performance and longevity of the structure) and with future climate conditions considered in the design. "Best Practices from the Pacific"⁸ highlights that poor seawall designs in the Pacific have in the past resulted in maladaptation. Both the World Bank (WB) and Japan International Cooperation Agency (JICA) assessment reports revealed that many (if not most) privately or communally financed attempts in Tuvalu to armour the foreshore have failed or are failing due to insufficient or complete lack of site-specific assessments. Similarly, a Least Developed Countries Fund (LDCF) assessment report points out that concrete blocks that were supplied by a development partner 25 years ago were not robust enough to withstand the immediate wave energy forces. Without GCF investments, it is likely that the GoT will continue to rely on unpredictable donor financing and/or small community-level financing to build ad hoc structures (e.g., gabion baskets, concrete blocks and stone pitch seawalls) that repeatedly fail to withstand the increasing intensity of tropical cyclones and sea-level rise.

Ineffective use of small, but available domestic (outer island level) financing for coastal protection: There are several sources of discretionary grants that are available for outer island administrations. While there is a growing recognition among the island administrations and local populations that the local development plan, called the Island Strategic Plan (ISP), should govern the use of such grants, the current ISPs still have the characteristics of a development wish list and are not constrained by the available financing or skillsets to execute priority actions. Ecosystem-based approaches, for example, would be potentially an effective option for coastal protection that utilizes locally available materials and skillsets, but outer island communities are currently constrained by limited knowledge about such an approach and weak planning capacity.

High staff turnover and a limited number of qualified professionals: Although 69% of the workforce in Tuvalu work for the public or semi-public sectors, the small total population size results in only a small core group of climate change professionals. The impact of staff turnover is consequently significant, especially once a qualified professional leaves the country. For Tuvalu to attain and retain sufficient capacity to address the impacts of climate change in an effective and sustainable manner, technical skillsets needed for effective coastal monitoring, protection and Operations and Maintenance (O&M) need to be developed within relevant Ministries and Departments. At the same time, the Climate Change Department (CCD), a newly established entity whose mandate is to provide inter-ministerial coordination support and lead climate change policy formulation, requires capacity building support to effectively fulfil its mandate.

Exclusive focus on short-term capacity building: Despite the high level of coastal vulnerability, Tuvalu does not have a support system for building long-term national capacity for coastal management professionals. External development projects almost always focus on building short-term capacities by focusing solely on *existing* government officials; little attention is paid to building the long-term technical/professional capacity by targeting those currently outside of the government system such as youth, some of whom are expected to move into the government system in the near

⁸ University of The South Pacific. 2015. Coastal protection: best practices from the Pacific.

future. Regional mobility is high among skilled professionals in the Pacific, and in the absence of conscious investments in long-term capacity building of the nation, the departure of one technical environment officer from the government tends to leave a significant gap in responding to urgent environmental matters facing the country. To ensure that Tuvalu maintains a consistent level of technical capacity for coastal protection, it is imperative that the conventional capacity building strategy is altered: a support system needs to be established, in particular, to build the long-term capacity in the specific areas that the country considers their national development priority, such as coastal protection.

3.3. *Project Description and Strategy*

The **Project Objective** is to reduce the vulnerability of three islands of Tuvalu to coastal inundation and erosion.

The project has three inter-related outputs that not only aim to achieve impact potential as described below, but also to create enabling conditions for scaling up and replicating the project impact beyond the immediate target areas. Each of these outputs comprises a set of activities, which have been designed to remove specific barriers that impede the achievement of the climate change vulnerability reduction objective. *The theory of change* for this project described below demonstrates how the implementation of project activities lead to short-term outputs of the project. These outputs lead to longer-term outcomes which include reduced vulnerability of Tuvalu to future impact of climate change, reduced loss from potential natural disasters, enhanced livelihoods and food and water security. All of these outcomes contribute to strengthening climate-resilient sustainable development of the country.

Output 1 of the project will improve the enabling environment for reducing coastal vulnerability in the country. To achieve this output, two activities will be implemented including technical capacity building within the government departments, whose mandate includes the protection and monitoring of coastal areas, engagement of youth in coastal protection technical trainings with the intention to build long-term national capacity for resilient coastal management. It is important to emphasize that this Output also includes technical capacity building for Ecosystem-based Adaptation (EBA) coastal protection options that are within the technical and financial capability of implementation for the central or outer-island governments (see more below under Output 3). One of the outcomes that emerges from the achievement of this output is that the technical departments possess a sufficient level of technical expertise to monitor and assess high risk coastlines and possible causes of climate and/or non-climate risks and identify practical coastal protection solutions. Another outcome is continuous engagement of youth and women over time in coastal protection work. This includes both community-level monitoring of the effectiveness of the GCF investments as well as simple repairs that may be needed. Improved knowledge about and data on dynamic coastal formation process is also an expected outcome, including the availability of coastal inundation models. None of these conditions currently exists in the country, resulting in reactive, piecemeal, myopic investments in coastal protection. By leveraging improved skills and knowledge of youth and women, the project will generate income earning opportunities for these groups, which will contribute to their empowerment in society. As discussed below, Output 3 improves island-level financing mechanisms for adaptation actions through improvement of an adaptation planning and budgeting process and strengthening of iterative monitoring of adaptation actions. However, the outcomes expected from Output 3 would not be sustained unless Output 1 leads to the outcomes illustrated above.

Output 2 seeks to reduce coastal vulnerability of Tuvalu to climate change induced hazards. Underlying activities include detailed island-level assessments to finalize the coastal design, which also contributes to enhancing the currently limited body of knowledge about coastal dynamics and island formation process in the country. While the GCF project will put in place coastal protection measures in three islands, the assessments will be carried out in all the islands of the country. As

described in the barrier section, detailed data on coastal conditions are not available because of the costs involved in this type of assessment. The lack of data on coastal conditions, in turn, affect the GoT's ability to attract international financing for vulnerability reduction investments. Thus, this Output is expected to equip the country with a data prerequisite often required by donors for funding. The process of the assessments, design and construction will provide opportunities for technical department staff to obtain hands-on skills and procedures for replicating the GCF investments beyond the project lifecycle. Removal of coastal vulnerability is necessary for the small island nation of Tuvalu to attain the outcomes of resilient livelihood options, reduced economic loss and damage from sea-level rise and coastal inundation events, and protection of the highly vulnerable groundwater resources.

Output 3 will strengthen a sustainable domestic financial mechanism to sustain, replicate and scale GCF investments. This output will be supported through two activities. The first is technical assistance for reflecting climate change adaptation concerns into the Island Strategic Plans (ISPs) and their budgets; and the second is improving the iterative planning and budgeting process through proper monitoring (and reflection of the outcomes from the continuous monitoring in the next ISPs in the following year). As noted earlier in this report, ISPs present an opportunity for all groups of the community, including women, youth and other vulnerable groups, to have their different climate change concerns considered in the design of the ISP. On the other hand, disbursements of Falakaupule Trust Fund (FTF) and Special Expenditures (SEs) represent the primary sources of unconditional development grants to support the implementation of island priority actions. The improved use of ISPs as guidance for the effective use of FTF and SEs, as well as transparent monitoring and verification of the performance of the ISP implementation, will catalyse a greater impact potential from sub-components 1 and 2. In other words, without Output 3 activities, the expected impact from the other two outputs is unlikely to be sustained as the maintenance needs and/or replication/up-scaling needs would have to be financed by additional donor funding. Moreover, technical capacities for coastal protection obtained within relevant government institutions would not be immediately put to use. The expected result from this output will help leverage the current annual distributions of approximately US\$39,000 and US\$64,000 per island for FTF and SEs, respectively, for the achievement of climate resilient development in the country. The implementation of EBA coastal protection measures, such as coastal vegetation, storm ridge restoration and small-scale beach nourishment, is the type of investment that could be supported using the island-level development budget and leveraging the capacity building exercises specifically focusing on these techniques (under Output 1). GCF investments along 2,210 m of vulnerable coastlines, out of the 21,300 m of total vulnerable coastlines in the country, means that the potential for scale up, in theory, is about nine times the length of the coastlines targeted in the project (after taking into considerations the baseline of 570 m of existing coastal protection measures financed by JICA and UNDP/LDCF/GoT).

GCF resources will also be used to enhance the government's capacity for early response and recovery when the country is struck by a natural disaster. Due to severe limitation in available national budgets, the country is often dependent upon international assistance when they embark on early response and recovery from natural disasters, limiting the speed and flexibility in their response. Recognizing that no coastal defence is capable of eliminating the future damage from intensifying cyclones and other wave overtopping events, it is extremely important that the capacity for early recovery is also strengthened. Under Output 3, an independent due diligence report was developed (April 2020) on the capacity of Tuvalu Climate Change and Disaster Survival Fund (TSF) to be used as a vehicle to manage and deliver a grant amount of US\$3.5 million from the project to provide additional support to Output 2's coastal adaptation measures on Nanumea following the aftermath of tropical cyclone (TC) Tino (and before that, TC Pam). The report highlighted, that TSF does not have the capacity to manage and deliver the grant. Adaptive management measures were discussed with GoT partners, including the Climate Change Department the custodian of the TSF, for TCAP to support to build the capacity building of the TSF in order for the fund to become operational as well

as to implement adaptive measures to enhance adaptive capacity of coastal zones in an outer island (manage the project funds for additional adaptation measure on Nanumea in this case) in following the aftermath of TC Tino. The Project Board has approved these proposed measures and the details will be discussed separately with GCF Secretariat before implementation.

Lastly, the knowledge accumulation and lessons sharing activity under Output 1 is expected to extend the project's replication potential beyond Tuvalu. Many Pacific Small Island Developing States (SIDS) face similar constraints in terms of accessing finance for their coastal protection requirements and obtaining data on coastal dynamics to plan for such investments. Tuvalu's experience in a comprehensive barrier removal approach through GCF support will be shared in regional fora and other information outlets.

3.4. *Project Implementation Arrangements*

The project is being implemented following UNDP's direct implementation modality at the request from the Government of Tuvalu and the GCF National Designated Authority (i.e., MoF).

The **Executing Entity (EE)** for this project is UNDP. The EE is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of GCF resources. In addition, the EE is also responsible for:

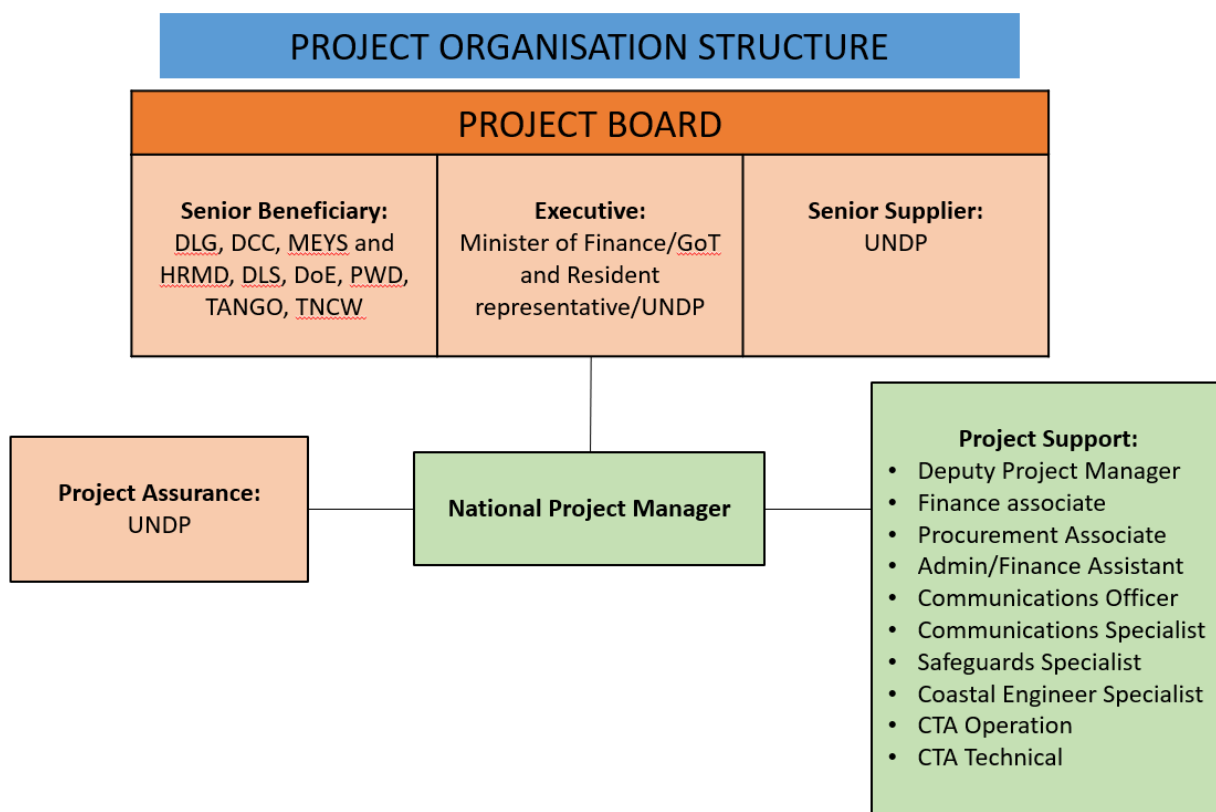
- approving and signing the multi-year workplan;
- submitting the Annual Performance Report (APR) to the GCF;
- signing and submitting Combined Delivery Reports (CDRs)⁹ on a quarterly basis for financial reporting purposes to the UNDP Country Office and;
- signing the financial report or the funding authorization and certificate of expenditures.

In view of the national ownership and building the national capacity of government, these responsibilities are being fulfilled by UNDP in close collaboration¹⁰ with the Government of Tuvalu.

The project organisation structure is as follows:

⁹ Initially, CDRs were signed and submitted on an annual basis to UNDP, however, the frequency of these reports was revised to be quarterly from the 4th quarter of 2020 for UNDP's internal financial reporting purposes.

¹⁰ With regards to collaboration, all relevant reports are shared and commented on by Government focal agencies before finalization.



Project Board: The Project Board (PB, also called the Project Steering Committee) is responsible for making, by consensus, management decisions when guidance is required by the National Project Manager, including recommendations for UNDP/EE approval of project plans and revisions. The Project Board is co-chaired by UNDP’s Resident Representative or his/her deputy and the National Designated Authority (Ministry of Finance). The PB is comprised of the Treasury and Central Procurement Unit (CPU) — both under MoF — (CCD, DoE, PWD, DLS, DLG, , MEYS, a representative from the NGO association (TANGO) and the Tuvalu national Council of Women (TNCW), and representatives of Nanumea, Nanumaga and Funafuti. In order to ensure UNDP’s ultimate accountability, PB decisions are made in accordance with standards that ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the PB final decision rests with the UNDP Resident Representative. A no-consensus situation has not occurred in this project, nor is such a situation expected to occur during the remaining implementation period.

	2017				2018				2019				2020				2021				2022				2023				2024			
	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
<i>Activity 2.2. Coastal protection measures implemented</i>																																
3. Output 3 A sustainable financing mechanism established for long-term adaptation efforts																																
<i>Activity 3.1. All outer Islands Strategic Plans and annual budgets integrate island-specific climate risks through gender sensitive, participatory processes</i>																																
<i>Activity 3.2. Capacity of Kaupules, Falekaupules and community members for monitoring coastal adaptation investments strengthened</i>																																
Reporting dates as per FAA																																
Inception report (including baselines assessment)																																
Annual Project Report (APR)																																
Interim Independent Evaluation Report																																
Project Completion Report																																
Final Independent Evaluation Report																																

	Completed activities
	On-going activities
	Planned activities

3.6. Main stakeholders: summary list

Stakeholder group	Stakeholder
National	Department of Climate Change (DCC) staff
	Public Works Department (PWD)
	Department of Lands and Survey (DLS)
	Ministry of Education, Youth and Sports (MEYS) and (Human Resources Management Department (HRM of the OPM)
	Ministry of Finance (MoF)
	Department of Local Government (DLG)
	Department of Environment (DoE)
	Tuvalu Association of NGOs (TANGO)
	Tuvalu National Council of Women (TNCW)
	Fusi Alofa (Disability Persons Organisation)
	Red Cross
	Community
Falekaupules	
Youth and women's groups	
School teachers	
Funafuti, Nanumea and Nanumaga island representatives	

4. Findings

4.1. Project Strategy

4.1.1. Project design

The IE team assessed the project design as presented in the Project Document/Funding Proposal and FAA amendment to determine its effectiveness in reaching the desired results. First, it is noted that best practices and lessons learned from relevant past and ongoing projects — including several projects focusing on reducing coastal vulnerability — were integrated into TCAP's design. Details of these projects and their relevance are detailed in the Project Document/Funding proposal and include: i) the "Increasing Resilience of Coastal Areas and Community Settlements to Climate Change" project (LDCF-UNDP; 2009–2016); ii) the "Effective and responsive island-level governance to secure and diversify climate-resilient marine-based coastal livelihoods and enhance climate hazard response capacity" project (LDCF-UNDP; 2013-2017); iii) implementing a 'Ridge to Reef' approach to protect biodiversity and ecosystem functions in Tuvalu (R2RTuvalu) (GEF-UNDP; 2015-2020); iv) the Project for pilot gravel beach nourishment against coastal disaster on Fongafale Island (JICA; 2012–2017); and v) Tuvalu coastal protection scope definition: Cyclone Pam recovery (World Bank; 2015).

The project's design directly addresses Tuvalu's development and climate change adaptation priorities and is aligned with relevant policies and plans. These include: i) Tuvalu's national development strategy — the Te Kakeega II 2005-2015, Te Kakeega III (2015-2020) and now Te Kete (2021-2030) — recognize that climate change poses considerable threats to the achievement of national development goals; and ii) the Tuvalu Climate Change Policy — Te Kaniva — with its vision "To protect Tuvalu's status as a nation and its cultural identity and to build its capacity to ensure a safe, resilient and prosperous future" guides the country's efforts in both adaptation and mitigation. The project aligns in particular with Goal 4 of the Te Kaniva policy, which focuses on developing and maintaining Tuvalu's infrastructure to withstand climate change impacts and aims to deliver coastal protection following appropriate best practices for Tuvalu's situation. Plans to engage women and youth under the project were informed by and are aligned with the national gender and youth policies (launched in 2013 and 2015, respectively), which aim to, *inter alia*, bolster women and youth's

participation in decision-making and promote their economic empowerment. Policy alignments were confirmed during stakeholder consultations conducted during the IE and contribute to strong country-driven support of the project.

TCAP's design was informed through a participatory process, with multiple stakeholder engagements at the national, district and community levels. This participatory process included engagements with technical specialist consultants responsible for the design of coastal protection measures, highly specialised staff forming part of the Project management Unit (PMU), such as the CTA. Lessons learned and best practices from past and ongoing initiatives in Tuvalu and the wider Pacific region were used to inform project development, particularly the design of coastal protection measures. Following this process, further engagements with project stakeholders and communities revealed that the original design of the coastal adaptation measures, in particular, was insufficient to achieve maximum adaptation impact. Furthermore, further analysis of the costing for these interventions, in collaboration with the relevant project stakeholders, revealed that additional budget was required to implement the interventions. These findings led to the restructuring of the project, which is described in further detail below (Section 4.1.1.1) and in Section 4.4.2.

Gender issues were also considered in detail during the project design process, as detailed in Annex 7 of the Project Document (Gender Assessment and Action Plan). In summary, the project's gender mainstreaming approach included:

- engaging women and key government and civil society groups focusing on women and gender empowerment in Tuvalu during the stakeholder consultation process;
- reviewing and aligning TCAP's design with Tuvalu's national policies and strategies on gender;
- assessing conditions in Tuvalu that affect gender-responsive project design; and
- integrating gender considerations into the project indicators, targets and activities.

The project's theory of change (ToC) narrative is coherent and realistic, but the diagram lacks the detail required to provide a clear picture of how change will come about through the project. The IE team suggest that the ToC diagram is updated to: i) reflect changes that have been made to the logical/results framework since project inception; ii) include project assumptions presented in the logical/results framework; iii) clearly indicate how identified risks could impact project viability or sustainability; iv) include both GCF outcomes relevant to the project; and v) include a goal statement.

Project sustainability is embedded in project design, as detailed in Section D.2. — Exit Strategy — of the Funding Proposal. This strategy includes: i) selecting long-lived coastal protection measures with an ex-post Operation and Maintenance Plan; ii) developing outer island-level conditions that need to be put in place for the exit strategy to be successful; iii) targeting capacity building at the central and outer island levels; and iv) building a body of knowledge and facilitating learning. Approaches to project sustainability are complemented by the detailed assessment of external risks (and associated mitigation measures) presented in Sections G.1. and G.2. of the Funding Proposal, which promote the viability of the project's design. Notwithstanding the above points, the IE did find the financial sustainability argument of the project design to be limited by several factors. While Output 3 does focus on sustainable financing of long-term adaptation efforts, many external risks and assumptions have either not been given enough attention or are not considered in the Output's design. Specific external risks and assumptions are listed below.

- There is a risk that the necessary financial resources or mechanisms may not be present or viable in the long-term to support sustainable adaptation finance (once GCF grant finance for TCAP has been exhausted).
 - The project's exit strategy assumes that the finance generated through the sustainable adaptation finance mechanism is enough to generate the adaptation impacts needed in the long-term. As the LoCAL financing mechanism is no longer available to act as the baseline for the sustainable finance adaptation mechanism to be developed for the islands of Tuvalu, the IE team considers the assumption to be in doubt until, an appropriate way forward is finalised.
-

To address these risks to the financial sustainability of Output 3 beyond the project period, a proposal was developed in collaboration with the GoT to support capacity building of the Tuvalu Survival Fund (TSF) to become operational and effective as a vehicle for future financial assistance to Kaupules for their adaptation and post-disaster needs. This proposal was presented to and endorsed by the Project Board in November 2020, with the decision made for US\$100,000 to be set aside to facilitate this support, as stated in APR 2020. Obtaining further financial support to maintain the sustainability of Output 3 beyond the project period will need to be prioritised through continued engagements with project partners — including the GoT/DLG, UNCDF, the LoCAL facility, Performance Based Climate Resilience Grant (PBCRG) system — as well as through making use of the existing GoT finance system. Finally, TCAP is currently in discussions with the Department of Local Government and the Climate Change Department to revise the fiscal transfer mechanism provided in the 2019 Operation Manual to ensure that financial needs for island communities adaptation development initiatives are still fully supported and scheduled to commence in 2021.

4.1.1.1 Project design changes

Initial TCAP scoping in 2018 of the Funafuti target shoreline (lagoon shore of Fogafale) confirmed that very significant changes had occurred since the design of the original proposal. Some 1,800 m of this shore had been subject to intended and unintended physical change, including: reclamation 2.85 ha, beach nourishment (over spill of sand dredged to build the reclamation) and rock groyne construction. These profound changes required TCAP to re-assess the optimum approach to shoreline protection on this coast under Output 2.

A technical assessment by a shoreline coastal hazards expert highlighted that not only do coastal adaptation solutions on the western, lagoon-side of the island need to address wave damage (which was the original focus of the approved FP), but that the originally conceived revetments would not address sea level rise impacts on the very low laying land the revetments would be protecting, in effect this will still flood irrespective of any revetment. It was also acknowledged the solutions must take into account that greater climate change induced hazards are likely to come from the eastern, deep-ocean shore during catastrophic cyclone events. The site of the proposed reclamation is the furthest point from the hazardous deep-water coast and thus offers the safest location on Funafuti during landfall of a major storm. It was also noted that due to the potential magnitude of storm waves on the deep-water eastern shore, construction of adequate protective infrastructure on that shore which would be capable of withstanding worst case scenario cyclone events would be much more costly and far beyond the resources available in the approved project. Additionally, the deep-water eastern shore is a functional foreshore system (unlike the lagoon foreshore) and thus interference or replacement with engineering should be avoided.

The importance of implementing effective adaptation solutions which address coastal hazards from either the lagoon (western) or oceanside (eastern) shores can be best described from the last major cyclone land fall in Funafuti, Cyclone Bebe in 1972. This event caused catastrophic wave overtopping impacts which resulted in entire buildings situated over 60m from the eastern shoreline being over-washed by fast moving marine water. Marine flooding up to 1.5 m deep also covered the international runway and impacted large parts of the Fogafale settlement. Hence, raised new land built away from the ocean-side (eastern) shore is the most effective way to provide safe flood free land on such a small cyclone exposed island.

Furthermore, the original proposal to build simple foreshore seawalls on the lagoon shore of Fogafale was rejected by all stakeholders on Funafuti (Community, Council, Government and Project Board) during consultations through 2018. During consultations there was unanimous support in Funafuti to adjust TCAP interventions. With these factors in mind, it was concluded that the revised plan to reclaim new raised land and defend its seaward margin with a suitably engineered suitable revetment,

is the optimum approach. The revised concept, better suited the aspirations of the local community and addressed more conclusively address the climate change related impacts of sea level rise and increasing incidence of wave impacts due to severe tropical storms.

In consultation with GoT, Funafuti Council and the Community an agreed concept for reclamation on the Fogafale lagoon shore was developed by TCAP. This will be approximately 7.5 ha in area and the finished surface elevation will be designed remain flood free under IPCC (2019) mid-range RCP8.5 x 2100 sea level rise scenarios combined with a storm ARI (annual reoccurrence interval) of 250 years.. This will ensure the surface of the reclamation will be a safe viable living area beyond 2100 and will also remain well above anticipated cyclone wave over wash / marine flooding levels. The restructuring of Output 2 was approved by the GCF in 2019.

The seaward face of the reclamation will be armoured with an appropriately designed and engineered foreshore sloping revetment made of sand filled, high-quality geo-textile systems. These have been shown to have a design life in excess of 40 years if properly designed and maintained and it is expected the buried mega-bags in TCAP's design will remain intact well beyond 40 years (source - *Concept Design Report* - J. Lewis, 2021). Geotextiles are favoured since the Government of Tuvalu has broader plans to secure additional raised reclamation as part of its long-term adaptation planning and it is expected the foreshore revetment of the TCAP reclamation will be buried behind additional reclamation efforts well within the next 40 years. Hence the selection of this material and approach.

The fill material for the reclamation will be sourced via the established lagoon basin sediment resource area (SOPAC, 1995) which contains an estimated 24 million m³ of available material. The reclamation will require an estimated 350,000 m³. The characteristics of the Funafuti lagoon sediment, which will be used as the fill material for reclamation, have been outlined in an earlier study (SOPAC, 1995). As the sediment is relatively coarse, 100% reef derived carbonate material, with no clay or mineral silt content, it provides less suspended sediment risk during earthworks and once pumped behind the reclamation bund is more stable in comparison with continental estuary dredge material, reducing the risk of any subsidence or movement post construction. Furthermore, the pumping of the dredged sediment directly into the reclamation basin, the approach that will be used in the restructured project, will allow natural settlement and compaction to occur and further stabilizing the land.

Funafuti stakeholders also requested that TCAP assist to produce a consultative land use plan and strategy for the proposed reclamation to ensure its sustainable use. Local stakeholders expressed the view that the potential new land was a public space and may include recreational areas, a community cyclone shelter which maybe a dual-purpose facility (e.g. school, community hall, etc) and as appropriate, potentially public housing may also be situated on the proposed reclamation. Plainly, implementing this next stage of development is beyond the remit or budget of TCAP; however, the TCAP team agrees to the strategic importance of developing an agreed, consultations driven, land use plan so that consensus is developed for the use of the area and the subsequent task of attracting funding for development made easier. This will allow the community goals to be realized. As part of the community consultations prior to and after the construction, community preferences will be assessed, and this information is expected to become an important input for future land use planning. TCAP does not have the resources to undertake this work but can help support them via the outcome of community consultations mentioned above and via the broader institutional support towards improved coastal hazards management objectives of TCAP. These revised designs and measures were discussed and agreed with Community, GoT, Council (*Kaupule*) and Traditional Funafuti Chiefs and have also been approved by the GoT.

While the land reclamation interventions on Funafuti under Output 2 are yet to be implemented, it is clear from information presented in the Consideration of restructuring paper (GCF/B.23/13/Add.01) presented to the GCF Board for consideration at B.23 (July 2019) that the restructuring was necessary and improves efficiency and effectiveness. Developments in the project baseline, which took place

between the design of the original proposal (2015) and the start of the implementation of the project (August 2017), triggered the need for changes in Output 2's technical interventions. More specifically, after the proposal was submitted, the Government of Tuvalu undertook reclamation work, financed publicly, in the section of the shoreline in Funafuti that is targeted in TCAP. This work covers approximately 220 linear meters along the original TCAP target shore of 1,000 m in Funafuti, and serves as an effective coastal defense. This government-financed reclamation is locally viewed as a successful undertaking and the GoT and community expressed their strong desire for TCAP to expand the reclaimed area since the early phase of the project implementation.

Reclamation as proposed by TCAP also has very significant additional advantages in respect to the climate change impacts it addresses, including the original intent of the approved proposal "protection from wave induced damage". Once complete the new reclamation will be the highest land on Funafuti, which is also sufficiently distant from the deep-water, ocean side coast where catastrophic wave over topping damage can occur. It will thus be the safest land on Funafuti during a major storm event and the Funafuti community wishes to use this area as the site of a dual-purpose facility (e.g. a community hall or sports facility / cyclone shelter). The finished height of the reclamation also means it will remain well above projected sea level rise beyond the year 2100, again making it the only long term, safe land on Funafuti. The reclamation will also permanently protect the originally targeted shore of Funafuti over some 780 m and when combined with the existing Government reclamation will protect some 1,000 m of shoreline.

In addition to the above, the restructuring of the project is a direct result of the project responding to the "needs of the recipient" in an urgent and comprehensive manner. The community requires safe and flood free land for continued occupation and progressing of sustainable development. Whilst climate change impacts are putting additional strains on Tuvalu's efforts towards attaining sustainable development, available climate change projections suggest that Tuvalu will face rising sea-levels higher than the global average and with less frequent but more intense tropical cyclone events. These two projections would pose a significant threat to the country where average elevation is barely above 1m above HAT4m and damages from wave overtopping are already reported during king tides and tropical cyclones. Whilst the original TCAP intervention in Funafuti was to build foreshore seawalls this is plainly no longer the focus of any party in Funafuti. This does not mean the priority for improved mitigation of marine hazards has changed, if anything, the urgency has increased. However, there is a clear technical realisation that seawalls on the lagoon shore can only, at best, stabilise shoreline position and if well designed prevent overtopping. Seawalls cannot provide a long-term solution to sea level rise and, marine flooding in Funafuti.

4.1.2. Results framework/Logframe

As with the ToC, the logical framework is coherent and realistic, particularly with the inclusion of the revisions approved in the FAA amendment signed on 3 January 2020. While the mid-term and end-of-project targets are "SMART" (Specific, Measurable, Achievable, Relevant, Timebound), the IE team has identified an inconsistency in the targets (validated through consultations) that needs to be corrected. Specifically, the mid-term and final project targets for Indicator 4: "*Number of students that are supported at higher-level studies (tertiary level or higher) on disciplines related to coastal protection work*" imply that all 24 students should obtain a CCA-related position in the country once qualified. However, in the project's inception phase, it was confirmed that only six students will obtain a CCA-related position once qualified — this was captured in the Inception Report. This is reflected at the input level of the logical framework, and it is recommended that the targets be adjusted to correlate with the information in the Inception Report and at the input level of the Logical Framework.

In addition to the above, the IE team recommends that additional detail is added to and changes considered for some aspects of the logical framework to improve clarity. Specific recommendations are provided below.

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- Where possible, the wording of targets should be revised to improve their links to the gaps presented in the baseline. Doing this for the target of Indicator 1, for example, would make it clearer that the project needs to measure the extent to which the updated ISPs address climate change threats.
 - Regarding Indicator 2 under Output 2, more granular detail should be added to the targets. This includes: i) how the number of beneficiaries is disaggregated across the three islands; ii) more detail on how communities in Funafuti will be protected by the land reclamation interventions; and iii) how the targeted 3,090 m of protected vulnerable coastlines is split across Nanumea and Nanumaga.
 - There have been challenges in meeting several mid-term targets (such as those for Indicators 1, 4, 5 and 8). The targets will need to be reviewed and adjusted to what is more appropriate at mid-term. These include: i) Indicator 1: At least two cycles of ISP production — not yet achieved; ii) Indicator 4: At least 24 students (50% women) are supported for higher level studies AND obtain a CCA-related position in the country — this target is not aligned with that is in the budget and was not on track by mid-term (see recommendation 2 above); iii) Indicator 5: All 9 islands of Tuvalu have a coastal assessment report — coastal assessment reports have not been produced by mid-term, although the IE team acknowledges that studies necessary for the report's generation have been completed and could be presented as a revised target; and iv) Indicator 8: All islands have an ISP with specific budgets for development priorities — this has not been achieved by mid-term.
 - Achieving a target of 50% of women trained under Output 1 (Indicator 3) — if more than 12 technical officers in total are trained — is likely to be challenging because of gender dynamics in government departments. The IE team recommends that this target is reviewed and adjusted to an achievable percentage, should more than 12 technical officers be trained under the project.
 - The IE team recommends that for indicators 3, 4 and 7, that the MoVs are reviewed and revised so that impacts/results can be better measured. For Indicator 3, solely generating reports and sharing results from an assessment on a forum will not demonstrate any improved knowledge and awareness about climate change impacts on different genders. Likewise, for Indicator 4, reports are unlikely to show the true impacts on capacity. The IE team recommends that a capacity scorecard is developed to measure how capacity has increased through the training. For Indicator 7, solely generating a report and sharing results from an assessment on a forum will not demonstrate any improved knowledge and awareness about climate change impacts on different genders. It is consequently recommended that the MoV is revised to make it more results oriented. The IE team recommends that the project team assess which of the assumptions are still relevant at this stage of the project and update, remove and/or add assumptions as necessary.

4.2. *Relevance, Effectiveness and Efficiency*

The findings from the IE team's analysis on relevance, effectiveness and efficiency are detailed below.

- TCAP's outputs link directly to its outcomes, which are in turn **relevant** to the broader paradigm shift objectives of the project.
 - TCAP's planned inputs and strategies are **realistic, appropriate, and adequate** to efficiently achieve the intended results. This was strengthened through the restructuring of TCAP's design that took place in 2019 (see Sections 4.1.1 and 4.4.2 for a detailed analysis of the reasons for and appropriateness of the restructuring of TCAP's design).
 - During project initiation the context, problem, needs, and priorities were analysed and reviewed to ensure that the project's approach was still relevant. This included consultations with the National Designated Authority (NDA), Project Board, technical experts and other stakeholders, including representatives from target communities on Funafuti, Nanumaga and Nanumea. As a result, a key change was made to the design of Output 2. In consultation with GoT, Funafuti Kaupule and the Community an agreed concept for reclamation on the Fogafale lagoon shore was developed by TCAP. This will be approximately 7.8 ha in area and the finished surface elevation will be approximately more than 2.0 m above the highest measured sea level at Funafuti. This will ensure the surface of the reclamation will be a viable living area beyond a 2100 worst
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case scenario for sea level rise rates (IPCC, 2014) and will also remain well above anticipated cyclone wave over wash / marine flooding levels. Furthermore, the original proposal to build simple foreshore seawalls on the lagoon shore of Fogafale was rejected by all stakeholders on Funafuti (Community, Council, Government and Project Board) during consultation through 2018. During consultations there was unanimous support in Funafuti to adjust TCAP interventions on the Fogafale shoreline to accommodate the significant degree of change and development which has occurred on this shore between the design phase of TCAP and the contemporary implementation phase and to better address the elevated level of exposure to storm wave impacts in the capital. The restructuring of Output 2 was approved by the GCF in 2019. Changes include the original combination of rock armour revetment and pre-cast concrete revetment as coastal protection measures in Funafuti being replaced with land reclamation as part of the restructuring of Output 2 (see Sections 4.1.1 and 4.4.2 for a detailed analysis of the reasons for and appropriateness of the restructuring of TCAP's design). The IE team has identified TCAP's context, problem, needs, and priorities as still being **relevant**.

- The general findings of the IE are that TCAP's objectives and outcomes are **feasible** within its timeframe. However, if project efficiency is not improved to mitigate the delays in implementation and facilitate progress towards some targets to date (which were related to, among other things, the abovementioned project restructuring, changing baseline conditions and COVID-19), the project may not be completed by mid-2024. Aspects of project efficiency that can be improved are: i) strengthening the technical capacity (specifically gender, safeguards and M&E) of the PMU through the training of current staff, or for part-time gender, safeguards and M&E consultants to be brought in to support the PMU with specific tasks — complementing the roles played by previous or current international consultants (such as gender and safeguards); and ii) procurement through, for example, the provision of cash advances (Project Cash on Hand – PCH) to the PMU in Tuvalu to reduce delays in the procurement of urgent items/services such as transport and offices supplies. Areas of the project that may be affected should further delays be experienced in the second half of project implementation include: i) the completion of studies by all of the students and government staff supported by scholarships through Output 1 of the project by mid-2024 (the start of the second round of scholarships has been delayed by the slow processing of scholarships and COVID-19 travel restrictions); ii) the construction of coastal defence measures by mid-2024 as a result of the restructuring of the project in 2019 (following GCF Board approval and the finalization of the amended FAA effective January 2020), the preparation of environmental and social impact assessments (ESIAs) for the three target islands, as well as design plans for the interventions (should COVID-19-related travel restrictions in Tuvalu be lifted in 2021, then it is expected that implementation will be completed within the project's timeframe, if there are no delays in the procurement of and disbursement of funds to construction companies and resource suppliers); and iii) the realization of a performance-based grants mechanism under Output 3, which has been delayed by changes to the baseline, with the LoCAL system no longer being available for the project to implement the grants through. Should further delays be experienced then it is unlikely that all of TCAP's objectives and outcomes will be achieved by project completion.
 - The project's risks and assumptions (presented in the Funding Proposal and ESIA's) are considered **realistic** by the IE team. ESIAs have been undertaken and finalised for the proposed infrastructure works under Output 2. During the ESIA process, risks previously identified during earlier project phases were confirmed and mitigation strategies developed or expanded on. No significant new risks have been identified and the risk categorisation found to be unchanged. However, many of the assumptions are yet to be tested. For example, the project's exit strategy assumes that the finance generated through the sustainable adaptation finance mechanism is enough to generate the adaptation impacts needed in the long-term. As the LoCAL financing mechanism is no longer available to act as the baseline for the sustainable finance adaptation mechanism to be developed for the islands of Tuvalu, the IE team considers the assumption to be in doubt until, an appropriate way forward is finalised.
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- Issues and risks to project implementation to date have been addressed by *inter alia*: i) restructuring the design of the coastal defence interventions for Funafuti (to land reclamation), ensuring that they are aligned with local needs and the situation on the ground (please see above); ii) having half of the PMU located in Tuvalu, which has allowed for certain aspects of implementation and stakeholder consultations to continue despite the travel restrictions related to the COVID-19 pandemic; and iii) bringing in an Operations Chief Technical Advisor (CTA), into the PMU team based in Tuvalu, to assist with the day-to-day management of the project. This will allow the Project Manager to concentrate more on stakeholder engagement at this crucial time of project implementation. Furthermore, delays related to the construction of coastal defence measures on the three target islands (related primarily to COVID-19 travel restrictions and the restructuring of Output 2) have also been mitigated through accelerated procurement and agreements with GoT regarding the travel of contractors into the country.
 - The procurement process method selected for the infrastructure work (Request for Proposal (RFP) and preferred ex-ante procurement approach) was submitted to the UN Advisory Committee on Procurement (ACP) for review and subsequent amendment and has been approved. This will add substantial efficiency to the TCAP PMU as the complexity of such procurement requires professionalism and experience, ultimately reducing risk to TCAP. As agreed during the Dec 2019 TCAP Board Meeting, TCAP has secured the services of the UNDP's Procurement Service Unit based in Malaysia to oversee this procurement. Procurement of contractors is expected to be finalised by mid-2021, allowing work to commence in late 2021 or after the cyclone season.
 - In terms of delays related to COVID-19 travel restrictions, TCAP has made a provisional agreement with GoT that once the procurement of contractors has been finalised, special permission will be granted for them to enter Tuvalu to commence with work to avoid any further delays, while not compromising the health and safety of any Tuvaluans.
- At the time of the IE, TCAP did not yet have a finalised M&E plan, resulting in a limited contribution of project's M&E data and mechanisms to achieving project results and reports. A M&E framework and matrix are currently under development, including developing defined terms of reference for M&E to further increase the capacity of the PMU to implement the project and undertake adaptive management.
- Compliance of TCAP with conditions and covenants of the FAA as relates to the time of submissions is presented in Table 2 below. The IE finds that TCAP is either in compliance with or expected to comply with all FAA conditions and covenants at the appropriate times.

Table 2. Summary of TCAP's compliance with conditions and covenants of the FAA.

FAA condition/covenant related to time of submission	Status
Conditions precedent to first disbursement — Effectiveness of the FAA	Condition met
Conditions precedent to second disbursement — Delivery by the Accredited Entity of a detailed operational manual for the performance-based fiscal transfer under Output 3 (as described in Schedule 1) to the Fund specifying financial flow, financial mechanism structure and governance, and eligibility criteria.	Condition met
Conditions precedent to fourth disbursement — i) a detailed revised procurement plan; ii) a detailed technical design of the ocean-facing shore of Fogafale; iii) a detailed technical design of land reclamation in Fogafale; iv) the full and complete ESIA and ESMP; and v) a detailed revised budget reflecting the changes of the restructuring paper.	Ongoing, awaiting final country sign-off
Conditions precedent to the seventh disbursement — Delivery to the GCF by the AE of an exit strategy that includes information on the expected use by the host country of the land reclaimed under sub-activity 2.2.1, as set out in Schedule 1 of the FAA.	Ongoing

<p>General conditions to all disbursements — i) Other than in relation to the first disbursement, submission of evidence by the Accredited Entity to the Fund that at least 70% (seventy per cent) of the funds previously disbursed have been spent for Eligible Expenditures; ii) Other than in relation to the first disbursement, submission by the Accredited Entity of APRs and Financial Information in accordance with the AMA; iii) Delivery of a Request for Disbursement, in accordance with the template attached hereto (Schedule 6), by the Accredited Entity, signed by the person or persons authorized to do so, within thirty (30) calendar days prior to date on which the disbursement is requested to be made, which date of disbursement shall not be later than the Closing Date; and iv) Delivery by the Accredited Entity of evidence, satisfactory to the Fund, of the authority of the person or persons authorized to sign each Request for Disbursement and the authenticated specimen signature of each such person.</p>	Ongoing
<p>Covenant 9.02a — Prior to commencement of any construction activity under Output 2, as described in Schedule 1, provide site-specific assessments, as indicated in the SES, including cost analysis of the proposed technical solutions.</p>	Ongoing: Construction works are yet to commence. Site-specific environmental and social assessments have been undertaken (3 x ESIA) and submitted to GoT in support of the Development Applications (DA). The GoT has assessed the ESIA and is approving the DAs under the Environmental Protection Regulations. The ESIA will be submitted to the GCF Secretariat prior to commencement of construction activity under Output 2.
<p>Covenant 9.02b — Prior to commencement of any construction activity under Output 2 (as described in Schedule 1), review and submit to the Fund an updated Environmental and Social Management Plan.</p>	Ongoing: The project Environmental and Social Management Plan is being updated based on the findings of the ESIA. The ESMP will be reviewed and approved by TCAP board and submitted with the ESIA to GCF as part of the FAA conditions.
<p>Covenant 9.02c — Prior to commencement of the scholarship programme under Output 1 (as described in Schedule 1), and not later than the end of the first year of implementation of the Project, sign a letter of agreement with the Ministry of Education, Youth and Sports of Tuvalu and ensure that the annual work plan for the scholarship programme to be developed by the Ministry of Education, Youth and Sports of Tuvalu is agreed.</p>	Covenant met
<p>Covenant 9.02d — Obtain all land and rights in respect of land that are required to carry out the Funded Activity and shall promptly furnish to the GCF, upon its request, evidence that such land and rights in respect of the land are available for the purposes of the Funded Activity.</p>	Covenant met. The situation on Funafuti is relatively straightforward given that the land identified for reclamation is in the tidal zone and therefore classified as state land as per the Foreshore and Reclamation Act 1969. As noted in the ESIA, the Minister will authorise the reclamation having met the required advertising conditions in the Act (i.e., that "Notification of the proposed reclamation shall be published").

	On Nanumea and Nanumaga the BTBs are to be installed within the boundary of the village areas, which are communal and under the authority of the Kaupule (Sections 15 and 16 of the Tuvalu Lands Code ¹¹). At this stage, a written letter of consent has been obtained from the Kaupules confirming that they are willing for the project to proceed. With the finalisation of the detailed designs, the next step is for final approval to be obtained from Kaupule (council) on Nanumea and Nanumaga.
Covenant 9.02e — Upon request by the GCF Secretariat, inform the Fund on the status of the co-financing funds that have been disbursed and applied to the implementation of the Project's activities.	Ongoing
Covenant 9.02f — Undertake and/or put in place any adequate measures in order to ensure that the management of the environmental and social risks and impacts arising from the Funded Activity complies at all times with the recommendations, requirements, and procedures set forth in the environmental and social safeguards documents (including the SES), which were provided by the Accredited Entity to the Fund before the Approval Decision.	Ongoing: ESIA's have been undertaken and awaiting GoT approval, and the project ESMP is being updated. Stakeholder engagement has been ongoing, a GRM is being put in place and a Gender Strategy Action Plan prepared. Thus, adequate measures are being undertaken during the implementation of the project.
Covenant 9.02g — The Accredited Entity shall not use the GCF Proceeds for financing activities related to disaster response and relief under the Output 3 (as described in Schedule 1).	Ongoing
Covenant 9.02h — Ensure that (i) the infrastructure works to be implemented as part of the Funded Activity are designed, constructed, operated and decommissioned in accordance with good international industry practices and any other applicable standards, taking into consideration safety risks to third parties and affected communities; and (ii) the quality of such infrastructure work is in accordance with international best practices.....	Ongoing
Covenant 9.02i — Inform the Fund as soon as any information (including, but not limited to consultations, processes, planning, documents, project proposals) is publicly available or in case any decision by the Host Country or any other competent authority is made with regards to the use of reclaimed land in Fogafale during the implementation of the Funded Activity.	Ongoing
Covenant 9.02j — Within thirty (30) calendar days from submission, in form and substance satisfactory to the GCF, of the revised detailed budget in accordance with Clause 8.01 (c) (i) (5) and before the disbursement by the GCF of the fourth Disbursement, amend this Agreement to implement the Funded Activity.	Ongoing, awaiting final country sign-off

¹¹ GoT. 2008. Tuvalu Lands Code. Available at: <http://extwprlegs1.fao.org/docs/pdf/tuv79301.pdf>

4.3. Progress Towards Results

4.3.1 Progress towards outcomes and outputs analysis

Project Strategy	Indicator	Baseline Level	Level at 2019 APR	Midterm Target	End of project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating
	Total number of direct and indirect beneficiaries; Number of beneficiaries relative to total population	Total number of direct beneficiaries 0 Total number of indirect beneficiaries 0 Total number of beneficiaries relative to the population 0%	Total number of direct beneficiaries 0 Total number of indirect beneficiaries 0 Total number of beneficiaries relative to the population 0%	Total number of direct beneficiaries 0 Total number of indirect beneficiaries 0 Total number of beneficiaries relative to the population 0%	Total number of direct beneficiaries 3,226 (1,677 males; 1,549 females) Total number of indirect beneficiaries 3,373 (1,678 males; 1,635 females) Total number of beneficiaries relative to the population 62%	On target to be achieved Total number of direct beneficiaries 0 Total number of indirect beneficiaries 0 Number of beneficiaries relative to total population 0%	Satisfactory	No direct benefits realised yet while coastal protection measures in 3 islands are being designed. Construction will start in 2021. The implementation of these measures is expected to result in the target being met fully by end of project. 6 scholarships students are currently enrolled, 1 started in 2020 and 3 began in 2021. The remaining 2 are waiting for the university to reopen for face-to-face studies or for an online curriculum to be proposed. 7 ISPs completed and 1 planned for 2021 indirectly benefitting total populations of 9 islands.
Fund level impact: A3.0 Increased resilience of	3.2 Number and value of physical assets made more resilient to climate variability and	No single engineered coastal protection solution exists in the country	0	No single engineered coastal protection	3 coastal protection measures have	On target to be achieved	Satisfactory	All designs and plans are in place for the end of project target to be achieved. Once

<p>infrastructure and the built environment to climate change</p>	<p>change, considering human benefits</p>			<p>solution exists in the country</p>	<p>been put in place in 3 islands Value: US\$2,280,000</p>	<p>No engineered coastal protection measures constructed yet. For all three islands (Funafuti, Nanumaga and Nanumea), site studies (site and vulnerability assessments, LiDAR surveys, modelling and mapping, etc.), consultations (including ESIA's) and concept designs are completed. Procurement method has been decided. Final designs are now being incorporated in the procurement process to allow for the commencement of construction.</p>		<p>COVID restrictions have been lifted and procurement finalized, construction will commence and is expected to be completed before project closure (2024). Procurement of contractors is expected to be finalised by mid-2021, allowing work to commence in late 2021 or after the cyclone season. In terms of delays related to COVID-19 travel restrictions, TCAP has made a provisional agreement with GoT that once the procurement of contractors has been finalised, special permission will be granted for them to enter Tuvalu to commence with work to avoid any further delays, while not compromising the health and safety of any Tuvaluans.</p>
<p>Outcome 1: A5.0 Strengthened institutional and regulatory systems for climate-responsive planning and development</p>	<p>Indicator 1: 5.1 Institutional and regulatory systems that improve incentives for climate resilience and their effective implementation</p>	<p>Only one round of ISPs has been produced and they neither are climate sensitive nor govern budget use</p>	<p>No ISP productions during this reporting period</p>	<p>At least two cycles of ISP production</p>	<p>ISP production, execution of priority actions, and community review have become an annual event Investment plans from at least five (out of eight) islands score (3) or above at least</p>	<p>Not on target to be achieved TCAP support on ISP development has been maintained during 2020: 7 out of 8 ISPs has been produced and reviewed by DLG – only one cycle of ISP production. The ISP consultancy at DLG for 2020 included:</p>	<p>Moderately unsatisfactory</p>	<p>The production of ISPs is behind schedule. By mid-term only one cycle of ISP production has taken place. There is not yet a defined approach for the scoring of investment plans via a performance-based grant mechanism. However, plans are in</p>

					once during project implementation	Capacity Building and Training Plan, Streamlining the ISP Process, and CCA Mainstreaming. Materials for "Training the Trainers" have been developed and finalised.		place to develop a revised approach to the relevant activities, particularly after COVID-19-related challenges that affected the mechanism.
Outcome 2: A7.0 Strengthened adaptive capacity and reduced exposure to climate risks	Indicator 2: 7.2 Number of males and females reached by (or total geographic coverage of) climate related early warning systems and other risk reduction measures established/strengthened	217 individuals (50% women) Existing reclamation in Funafuti (2.85 ha) benefits 217 individuals (50% women) who are in inundation areas protected by existing, engineered coastal defence (i.e. land reclamation). No Tuvaluans benefit from engineered coastal defence in Nanumea and Nanumaga	0	217 individuals (50% women) Existing reclamation in Funafuti (2.85 ha) benefits 217 individuals (50% women) who are in inundation areas protected by existing, engineered coastal defence (i.e. land reclamation). No Tuvaluans benefit from engineered coastal defence in Nanumea and Nanumaga	At least 3,226 individuals (50% women) who are in inundation areas protected by engineered coastal defence	On target to be achieved 217 individuals (50% women) Existing reclamation in Funafuti (2.85 ha) benefits 217 individuals (50% women) who are in inundation areas protected by existing, engineered coastal defence (i.e., land reclamation). No Tuvaluans benefit from engineered coastal defence in Nanumea and Nanumaga	Satisfactory	No benefits realised yet, as hard-engineered coastal measures are not in place yet. All designs and plans are in place for the end of project target to be achieved. Once COVID restrictions have been lifted and procurement finalized, construction will commence and is expected to be completed before project closure (2024). The PMU is working closely with the Government of Tuvalu to ensure construction is not delayed as a result of COVID-19-related travel restrictions, while maintaining health and safety of Tuvaluans.
Output 1: Strengthening of institutions, human resources, awareness and	Indicator 3: Number of technical officers trained on:	Currently, there is no institutional arrangement where technical officers can gain technical skills.	6 staff from Lands and Survey department trained on Lidar data	N/A	At least 12 technical government staff (50% women) exposed to hands-on	On target to be achieved 6 staff (5 males + 1 female) from DLS trained on LiDAR data	Highly satisfactory	Progress towards the targets have been efficient and the target is expected to be met before project closure. Engagement

<p>knowledge for resilient coastal management</p>	<ul style="list-style-type: none"> - Monitoring / data synthesis on dynamic coastal processes - Designing of coastal protection (both hard and soft) measures - Environmental social impact assessment - Project management, V&A assessment, CBA 		<p>processing and biophysical assessment work</p>		<p>trainings on the three areas.</p>	<p>processing and biophysical assessment, giving for the first time to all islands in Tuvalu the relation between sea level rise and their land height.</p> <p>ESIA works conducted by SPC involved DoE, DLS and DLG, but with no formal training on the ground.</p> <p>SPC has not yet provided any formal trainings (delayed to 2021), except soil sampling in Nanumea by SPC Geotechnical Assessment team.</p> <p>2 senior DLS officers sent for GIS training workshop in Fiji.</p> <p>Joint DCCCCD/SPC Islands Vulnerability Assessments including coastal monitoring.</p>		<p>with SPC will continue in 2021 to provide high value hands on training: Ocean and coastal processes, Coastal monitoring, ESIA, Island Risk and vulnerability assessment (IVA), Drone operation and monitoring survey, Advanced diving, Marine habitat mapping, Asset data collection, Inundation and impact monitoring, Open source GIS, Data management, Shore line change analysis, and Advanced GNSS data processing for 3 years to a minimum of 12 Government Officers (likely far more). Final phase of hands-on training by the project LiDAR survey provider company following the joint implementation of the Lidar survey within the Land & Survey Division has been delayed to 2021:</p> <ul style="list-style-type: none"> • Data awareness and potential uses in simple free GIS platforms, and simple analysis processes • Application of data to existing questions from stakeholders.
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<p>Indicator 4: Number of students that are supported at higher-level studies (tertiary level or higher) on disciplines related to coastal protection work</p>	<p>Tuvalu sponsored students in tertiary education totalled to 163. DFAT (24 awards in 2012) and NZAID (NZD 11million) awarded a total of 20-30 scholarships each per year.</p>	<p>0</p>	<p>At least 24 students (50% women) are supported for at higher level studies AND obtain a CCA-related position in the country.</p>	<p>At least 24 students (50% women) are supported for at higher level studies AND obtain a CCA-related position in the country.</p>	<p>On target to be achieved 8 students selected since 2018 (4 undergraduates, 4 masters). 7 male/1 female.</p>	<p>Moderately satisfactory</p>	<p>A total of 6 students are targeted for scholarship support under this indicator. Two had commenced in 2018, but they were removed from the course because of poor performance. However, one was terminated in 2019 and the second one will not continue in 2020 due to poor academic performance. Additional five awardees were selected in 2019 to begin their studies in 2020. One student is completing a three-year undergraduate programme, one is completing the course over two years as a result of the course credit ratings, and the other three will pursue Masters degrees. However, their studies have not yet commenced as a result of COVID-19 related travel restrictions. To ensure the students are able to complete their studies, plans have been made to enable students to complete their courses via distance learning, or by enabling them to join shorter programmes. Three students have</p>
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								already started online courses and two students have deferred their studies to next semester.
Output 2: Vulnerability of key coastal infrastructure including homes, schools, hospitals and other assets is reduced against wave induced damages in Funafuti, Nanumea and Nanumaga	Indicator 5: Island-level coastal assessment report produced	No island-level reports containing assessment results such as local hydrodynamic processes are currently available.	0	All 9 islands of Tuvalu have a coastal assessment report.	N/A	<p>On target to be achieved</p> <p>The socio-community component of the islands Coastal Vulnerability Assessment process was completed in 2019.</p> <p>Stakeholder engagement in each community (including women, youth and disabled) has been undertaken on Nanumea, Nanumaga and Funafuti, and the ESIA process for Funafuti, Nanumaga and Nanumea is now completed, validated, and delivered.</p>	Satisfactory	<p>A national approach has been taken to deliver the assessment reports. The same is being done for the wave modelling and will only at the very end of the process be rendered to island-by-island reports. Some products toward the goal are available like the LIDAR, Sea level analysis for all 9 islands, regional wave climate modelling, and the preliminary inundation modelling report for Funafuti. Socio/community level component of the Islands Assessment process was completed in early 2019 via the IVA process. To date all data has been collected and analysed. SPC is contracted and has started work on the bio-physical component of the Island Assessment process. The ESIA for Funafuti, Nanumaga and Nanumea is awaiting government approval. On target to be</p>

								delivered by the end of 2021.
	Indicator 6: The length of vulnerable coastlines protected	In the proposed locations, there is no structural measures to mitigate the risk of wave over-topping or coastal inundation events.	No structural measures put in place yet.	0	3,090 m of vulnerable coastlines are protected by a coastal defence measure.	On target to be achieved	Satisfactory	All designs and plans are in place for the end of project target to be achieved. Once COVID restrictions on the travel of engineers, construction crews and delivery of materials, have been lifted and procurement finalized, construction will commence and is expected to be completed before project closure (2024). See additional details under A3.0 above.
	The area of reclaimed land in Funafuti.	In Funafuti, 2.85 ha of land has been reclaimed by the Government		0	7.85 ha of additional land reclaimed in Funafuti	No structural measures put in place yet. (see above A3.0)		
	Indicator 7: Knowledge about gender-differentiated impact of coastal protection enhanced	Awareness about gender-differentiated impact of coastal protection is low.	The technical assessments not yet complete	Island-level social impact assessment includes a section on gender.	The final technical assessment report includes gender-differentiated impact and the results are shared at a regional/national forum.	On target to be achieved	Satisfactory	Socio/community level component of the Islands Assessment process was completed in early 2019 via the IVA process. However, the final IVA reports are not yet ready. To date all data has been collected and analysed The ESIA process for Funafuti, Nanumaga and Nanumea is awaiting government approval. The production of Gender Strategy and Action Plan in 2020 has enhanced the understanding of gender-segregated activities, and the plan outlines ways of closing this gap.
						The production of a Gender Strategy and Action Plan has enhanced the understanding of gender-segregated activities outlining ways of closing gaps and of raising awareness during consultations in Funafuti in 2019, then Nanumaga and Nanumea in 2020. In addition, the islands vulnerability assessment data collection process involved differentiated response by gender which has been incorporated in the subsequent reports.		

						The two ESIA's considered gender as specific sections, including gender-differentiated baselines and impacts of coastal protection measures.		Awareness raised in Funafuti about gender-differentiated impacts of coastal protection.
Output 3: A sustainable financing mechanism established for long-term adaptation efforts	Indicator 8: Adaptation actions financed and implemented from island level plans (no. and type)	To date, no adaptation action has been implemented based on Island Strategic Plans.	0 adaptation priority actions financed.	All islands have an ISP with specific budgets for development priorities.	At least 16 adaptation priority actions (two in each island), outlined in ISPs, are financed by either domestic or external resources and executed.	<p>Not on target to be achieved</p> <p>No adaptation priority actions financed.</p> <p>TCAP support on ISP development has been maintained during 2020 with 7 out of 8 ISPs being produced and reviewed by DLG.</p> <p>Training on climate financing, procurement, and implementation of ISP activities for the Funafuti Kaupule was held in Nov 2019, then for Nanumea in Sept 2020.</p>	Moderately unsatisfactory	<p>The only progress towards this target to date has been training on climate financing and implementation of ISP activities for the Funafuti Kaupule was held in November 2019 (2019 APR).</p> <p>Training on climate financing and implementation of ISP activities for the Nanumea Kaupule delayed for Q1 2021:</p> <ul style="list-style-type: none"> LoCAL PBCRSG system: performances assessment, components, and reporting Kaupule ISP planning, budgeting, and reporting <p>There is not yet a clear mechanism in place for the financing of adaptation priority actions. CAP's collaboration with the LoCAL programme, which had been fully adopted by the GoT in 2015 and was planned to enter into</p>

								an upscaled phase in 2019 have been kept on hold due to CoVID-19 related funding issues. As a result, TCAP is currently in discussions with the Department of Local Government to revise the fiscal transfer mechanism provided in the Operation Manual approved in 2019 to ensure that financial needs for island communities adaptation development initiatives are still fully supported and to commence in 2021. Adaptation priority actions to be implemented once the implementation mechanism is finalised.
	Indicator 9: Women's distinct role in the context of island decision making established	Women are only "consulted" during the island decision making process, but no distinct roles are established	A draft Gender strategy and Action Plan produced and ready to be implemented in 2020	The use of scorecards and participatory video has started	Women's group recognized by both men and women as an important interest group in the evaluation of Kaupules	On target to be achieved A Gender Strategy and Action Plan (GSAP) was developed after community consultations and training workshops in Funafuti, Nanumea and Nanumaga. Communities have received the document produced. TCAP gender related articles and short stories have been published and shared in	Satisfactory	Community consultations and a training workshop on gender was conducted on Funafuti in November after the recruitment of the Gender consultant. A gender strategy and action plan for the project has been developed and is under implementation. This is expected to contribute greatly to the realisation of the end of project target. SEP and GSAP will continue to evolve as it is implemented,

					<p>2020, including the 2 TCAP newsletters.</p> <p>An updated Stakeholder Engagement Plan (SEP) has been developed, which includes engagement with women leaders.</p>		<p>reviewed, and updated to meet projects evolving needs. From initial engagement with the Government, the stakeholder and partnering Departments' staff and the community of Nanumea, Nanumaga and Funafuti, the project will require to engage further with the target beneficiaries, the public at large and the professionals in the coastal protection theme.</p> <p>Gender awareness training is scheduled for 2021.</p> <p>An initiative to reflect on culturally appropriate ways to increase / establish women's leadership in island level governance has been proposed in the GSAP to be implemented in 2021.</p>
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4.4. *Project Implementation and Adaptive Management*

4.4.1 Management Arrangements

As AE and Implementing Entity, UNDP has provided continued support to project implementation via staff at its Pacific Office in Suva, Fiji, as well as in the form of its Regional Technical Advisors for the project. Furthermore, financial and procurement officers from UNDP are included in the PMU, contributing to implementation. As the Executing Entity, UNDP is deeply involved in the ongoing management of the project, providing inputs into decision-making processes, planning and reporting. The Ministry of Finance (MoF) has taken strong ownership of the project, providing support to UNDP and the PMU wherever possible. This includes playing a key role in project decision-making processes (along with the rest of the project board). While general decision-making has been transparent, there have been occasions when decisions made by the PMU team in Suva were not relayed timeously to the relevant stakeholder in Tuvalu. For example, the Ministry of Education (MEYS) was meant to oversee the management of student scholarships under Output 1. However, it was decided by the PMU that this should rather be managed via the UNDP Pacific Office in Suva. This information was not relayed to the MEYS in a timely manner, resulting in late payments related to the scholarships. These late payments and their knock-on effects caused concern within the MEYS.

TCAP's Project Management Unit (PMU) is split between Funafuti in Tuvalu and Suva in Fiji. The staff in Funafuti include the project manager, the communications officer, and the operations CTA, while those in Suva include the deputy project manager, as well as UNDP staff to support project procurement and financial management. TCAP's first project manager resigned because of the heavy workload, and was replaced by a more experienced individual, who has greatly improved project management and performance, especially in terms of building relationships with stakeholders from the government to community level. However, gaps in reporting lines related to the split PMU structure are adversely impacting the control he has over decisions taken across the entire PMU. The Operations CTA joined the PMU in early 2021, to assist with the day-to-day management and operations of TCAP. This addition benefitted the PMU greatly by: i) improving project management processes; ii) increasing the efficiency of project implementation; and iii) building positive relationships with all project stakeholders at both national and local levels. The Technical CTA who is responsible for overseeing the implementation of coastal defence measures under Output 2, is usually based in Fiji, but is currently has been telecommuting from Australia during the pandemic.

While having a split PMU is not optimal for project implementation, the administrative, financial and procurement support provided by the team based at UNDP's Pacific Office in Suva is necessary. However, supervision and reporting arrangements between the two teams seem to be unclear and need to be consolidated. Additionally, consultations during the IE process revealed concerns as a result of delays related to procurement. Examples of procurement delays include: i) the departure dates for boats leaving for Nanumea and Nanumaga are not known in advance, sometimes only being confirmed the day before departure, but the procurement of tickets can take up to two weeks; ii) stationery ordered by the Funafuti PMU in November 2020 has not yet been shipped; and iii) the procurement of consultants has often been delayed, resulting in constrained timelines for the completion of work. This is related mainly to a lack of coordination within the PMU in terms of identifying solutions to procurement challenges, as well as capacity challenges for the procurement officer supporting the PMU in Suva, resulting in lengthy procurement delays.

The split PMU model has been particularly beneficial during the COVID-19 pandemic, which resulted in travel restrictions to Tuvalu. During this period, the team in Funafuti has been able to continue with the implementation of certain activities, engage with local stakeholders and ensure that project progress is visible to the people of Tuvalu. However, the capacity of the PMU in Funafuti remains low, which is a risk to efficient planning and implementation. This capacity gap has, in part, been fulfilled

by the addition of the operations CTA to the PMU, who is also providing training to the staff in Funafuti so that they are equipped to play their roles effectively.

As travel to the islands of Nanumea and Nanumaga is often infrequent or delayed, the PMU has little opportunity to visit the islands and engage with the beneficiary communities. When this does happen, engagements, led by the project manager, are well received and productive. However, there is a concern amongst stakeholders that the infrequent visits are not enough to keep stakeholders on the islands fully up to date with project progress and plans, which could result in the loss of support for TCAP. These infrequent visits are largely as a result of unexpected circumstances preventing travel for a period of time, as well as changes to shipping schedules to the outer islands. The PMU and relevant project consultants have often not been able to travel to Nanumea and Nanumaga when needed, which has delayed the implementation of activities on these islands. In some instances, these challenges have disrupted the implementation of project interventions for up to six months. During consultations, stakeholders recommended that the representatives from each island be added to the PMU as officers, with the role of keeping local stakeholders up to date with TCAP's plans and progress, managing expectations and facilitating the implementation of project activities on the islands.

The PMU also has limited capacity to implement and monitor the GSAP, as well as to manage issues related to safeguards, social safeguards in particular. In terms of gender, the PMU only has capacity to implement the gender action plan according to the minimum level of requirements for gender-responsiveness of project activities, in line with GCF's gender policies. However, none of the PMU have any gender expertise, resulting in limitations to the effectiveness of the gender action plan's implementation (although a gender consultant was hired to develop the plan). While there is a safeguards consultant who was engaged by the project to develop an ESIA, ESMP and GRM, as well as to provide support to the PMU, project staff still do not have the expertise/experience required to manage TCAP's potential day-to-day safeguards issues — i.e., there is no one within the PMU who has safeguards experience, even though capacity for stakeholder engagements (through the stakeholder engagement plan) has proved to be adequate. The IE team recommends that consideration is made to either add relevant staff to the PMU or build the capacity of current PMU staff to fulfil gender and safeguards roles.

4.4.2 Work planning

The implementation of Output 2 has been delayed by the need to restructure the design of coastal defence interventions for the island of Funafuti. The process that led to the agreement for a need for restructuring as well as the approval process (described in Section 4.2 above), resulted in delays in the finalisation of designs and implementation plans for the coastal defence interventions. Reasons for the restructuring are presented below.

Initial TCAP scoping in 2018 of the Funafuti target shoreline (lagoon shore of Fogafale) confirmed that very significant changes had occurred since the design of the original proposal. Some 1,800 m of this shore had been subject to intended and unintended physical change, including: reclamation 2.85 ha, beach nourishment (over spill of sand dredged to build the reclamation) and rock groyne construction. These profound changes required TCAP to re-assess the optimum approach to shoreline protection on this coast.

A technical assessment by a shoreline coastal hazards expert highlighted that not only do coastal adaptation solutions on the western, lagoon-side of the island need to address the sea-level induced wave damage (which was the original focus of the approved FP), but that solutions must also be designed with the full recognition that greater climate change induced hazards are likely to come from the eastern, deep-ocean shore during catastrophic cyclone events. The site of the proposed reclamation is the furthest point from the hazardous deep-water coast and thus offers the safest location on Funafuti during landfall of a major storm. It was also noted that due to the potential

magnitude of storm waves on the deep-water eastern shore, construction of adequate protective infrastructure capable of withstanding cyclone events would be much more costly and far beyond the resources available in the approved project.

Furthermore, the original proposal to build simple foreshore seawalls on the lagoon shore of Fogafale was rejected by all stakeholders on Funafuti (Community, Council, Government and Project Board) during consultation through 2018. During consultations there was unanimous support in Funafuti to adjust TCAP interventions on the Fogafale shoreline to accommodate the significant degree of change and development which has occurred on this shore between the design phase of TCAP and the contemporary implementation phase and to better address the elevated level of exposure to storm wave impacts in the capital.

With these factors in mind, it was concluded that the revised plan to reclaim new raised land and defend its seaward margin with a suitable hard revetment, is the only approach which can address the climate change related impacts of sea level rise and increasing incidence of wave impacts due to severe tropical storms.

In consultation with GoT, Funafuti Council and the Community an agreed concept for reclamation on the Fogafale lagoon shore was developed by TCAP. This will be approximately 7.8 ha in area and the finished surface elevation will be approximately 2.0 m above the highest measured sea level at Funafuti. This will ensure the surface of the reclamation will be a viable living area beyond a 2100 worst case scenario for sea level rise rates (IPCC, 2014) and will also remain well above anticipated cyclone wave over wash / marine flooding levels. The restructuring of Output 2 was approved by the GCF in 2019.

The process for the restructuring of interventions under Output 2 included site assessments, conceptual planning, budget planning and BoQ estimations, as well as consultations with local stakeholders and GoT. Additionally, ESIA's needed to be conducted for the sites to identify potential safeguards risks and mitigation measures related to the revised interventions. Furthermore, all this material had to be compiled into a formal restructuring paper (GCF/B.23/13/Add.01) to be presented to and considered by the GCF Board in July 2019. This process required an intensive investment of time from multiple stakeholder and clearly resulted in delays, which required revisions to the original timeframes considered for implementation of the original interventions under Output 2.

Before the COVID-19 pandemic, the delays were compounded by unexpected circumstances preventing travel for up to six months, such as changes to shipping schedules in the outer islands. Since the onset of COVID-19, local and international travel restrictions caused further delayed entry into Tuvalu for engineers and construction teams who will be leading the construction of the coastal defence interventions. However, the project has made progress in planning for the implementation of the activities related to the construction of coastal defence interventions and once COVID-19-related travel restrictions are lifted it is expected that work will commence (by mid to late 2021).

Delays have also been encountered with the start of studies for the second batch of students awarded scholarships for undergraduate and postgraduate studies via Output 1. This includes five students who were selected in 2019 to begin their studies in 2020. However, their studies were delayed as a result of COVID-19 related travel restrictions. Plans are in place for these students to begin their studies in 2021, with some studying remotely (three students have already started online studies) and others travelling to relevant universities in Australia as soon as travel restrictions are lifted. Regardless of these delays, the undergraduate students will finish their studies before the end of the project.

Progress on the development of a performance-based financing mechanism related to ISPs under Output 3 has been delayed. This primarily results of TCAP no longer being able to rely on the use of the LoCAL financing mechanism. A new approach to the financing mechanism and funding of

adaptation intervention on the islands of Tuvalu is planned for development in the third quarter of 2021.

Capacity for planning within the PMU based in Funafuti is low. Detailed results-based workplans are not consistently developed, with the PMU primarily relying on the details presented in the Funding Proposal/Project Document and budget to inform the implementation of activities. To date, planning has required a lot of support from the RTA. An operations CTA was added to the PMU in early 2021, with one of his major roles being to ensure that planning is detailed, and results based. This will allow for the PMU in Funafuti to have more control over the activities in Tuvalu, rather than waiting for direction from the team in Suva.

4.4.3 Finance and Co-finance

The setup of the PMU split between the UNDP's Pacific Office in Suva, Fiji, and Funafuti, Tuvalu, has allowed for the financial controls necessary for the management of a GCF project to be put in place. Two TCAP staff, trained by UNDP and in addition to the Deputy Project Manager, a financial officer and a procurement officer are part of the PMU located in Suva. While procurement processes are relatively slow, the Financial and Procurement officers, along with additional financial and procurement support from UNDP's Pacific Office should contribute to effective financial planning and management under TCAP. However, as noted under Section 4.4.2, capacity for planning within the PMU based in Funafuti is constrained. Detailed results-based workplans are not consistently developed, with the PMU primarily relying on the details presented in the Funding Proposal/Project Document and budget to inform the implementation of activities. General budgeting and work planning for the project are finalised by the project staff as a whole and approved by the Project Board and verified by UNDP. However, in limited cases the authority of the PMU in Funafuti to take executive decisions have been restricted or bypassed, the result has been delays in the flow of funds and payments of project deliverables, and frustration from GoT IPs in their expectations and contributions initiated by the PMU in Funafuti. An operations CTA was brought into the PMU in late 2020, with one of his major roles being to ensure that budgetary planning is done in a detailed and engaging manner and is results-based. This will allow for the PMU in Funafuti to have more control over TCAP's planning and management, providing better direction and understanding to the team in Suva regarding the budgeting exercise and financial management.

In addition to the above, consultations during the IE process revealed concerns as a result of delays related to procurement. Examples of procurement delays include: i) the departure dates for boats leaving for Nanumea and Nanumaga are not known in advance, sometimes only being confirmed the day before departure, but the procurement of tickets can take up to two weeks; ii) the procurement of consultants has often been delayed, resulting in constrained timelines for the completion of work; and iii) a lack of knowledge within the team on the required time to process claims or travel applications. The IE team understands that the PMU is working to resolve this challenge of delayed procurement through, for example, the provision of cash advances. However, the IE team recommends that a more permanent solution to the project's procurement delays be identified and implemented. This could be in the form of procurement support to the PMU through providing training to the project's procurement officer, assessing his/her performance under the project and taking the necessary corrective measures, or bringing in an additional staff member on an *ad hoc* basis to reduce procurement delays. Such measures are currently being implemented. For example, the existing staff member responsible for procurement is undergoing training through a developed performance improvement plan, and improvements in this staff member's performance — as a result of this training — have been noted. Additionally, to address the delays in processing claims and travel applications, a cash advance or project cash-on-hand (PCH) system for small procurements should be established to address local logistical problems.

Table 4 provides a summary of expenditure against the planned budget as presented in the Funding Proposal/Project Document. Variances to date between TCAP's planned and actual expenditures have been minimal (less than 5%) according to the financial component of the 2020 APR. A summary of these variances per output is presented below.

- Output 1: i) Rental and maintenance – Premises — office rent has been proportionally charged to relevant project staff working under the output, resulting in expenditure being higher than planned (~US\$8,200).
- Output 2: i) Communication & Audio-visual Equipment — higher than planned expenditure (~US\$ 12,100) largely relates to internet costs for Output 2 interventions in Tuvalu and UNDP Pacific Office Common Services ICT charges — this is partly attributable to the relatively high internet costs in Tuvalu; and ii) Rental and maintenance – Premises — office rent has been proportionally charged to relevant project staff working under the output, resulting in expenditure being higher than planned (~US\$2,300).
- Output 3: i) Rental and maintenance – Premises — office rent has been proportionally charged to relevant project staff working under the output, resulting in expenditure being higher than planned (~US\$3,500).
- Project Management Costs: i) Communication & Audio-visual Equipment — higher than planned (~US\$26,400) expenditure largely relates to connectivity costs for the PMU in Funafuti (internet and telephone); and ii) Rental and maintenance – Premises — office rent has been proportionally charged to relevant PMU staff, resulting in expenditure being higher than planned (~US\$37,600).

Based on the restructuring of Output 2's coastal protection activities, as captured in the amended FAA agreement signed on 3 January 2020, the budget revisions made are presented in Table 3. The budget revisions are only at the sub-activity/input level (2.2.1 Construction of coastal protection infrastructure in Funafuti, Nanumea and Nanumaga covering 3,090 m of vulnerable coastlines) and have resulted in no changes to the budget of Activity 2.2 and therefore, no changes to the budget of Output 2. The budget was developed to allow for flexibility in funding allocation between outputs in accordance with GCF regulations around disbursement and to account for contingencies where additional budget is required. This flexibility remains in the revised budget. The IE team agrees with the relevance and appropriateness of the changes to sub-activity 2.2.1's budget to ensure that the coastal protection infrastructure planned under the project addresses the adaptation needs of the project's target communities (in this case, Funafuti).

Table 3. Summary of budget revisions under Output 2¹².

Sub-activity/input	Original budget	Adjusted budget
Input 2.2.1 (Funafuti)	US\$9,525,973	US\$14,030,000
Input 2.2.1 (Nanumaga)	US\$4,437,019	US\$2,154,374
Input 2.2.1 (Nanumea)	US\$7,493,632	US\$5,272,250

¹² The figures presented in Table 3 have been extracted from the original and amended FAA.

Table 4. Summary of expenditure against the planned budget (as per the 2020 APR).

Output	Financing Type	Financing Source	Budget Categories	Approved Budget for entire project period as per FAA	Cumulative Budget through the end of this reporting period	Cumulative Expenditures through to the end of this reporting period	Commitments	Total
1. Strengthening of institutions, human resources, awareness and knowledge for resilient coastal management	GCF Financing	GCF	International Consultants	267 882,00	198 985,00	229 154,62	24 523,92	253 678,54
			Local Consultants	801 213,00	346 220,00	4 166,00	10 634,80	14 800,80
			Travel	235 243,00	160 880,00	134 150,81		134 150,81
			Contractual Services-Companies	1 215 583,00	994 791,00	110 077,97	59 588,73	169 666,70
			Equipment and Furniture	33 000,00	33 000,00	2 461,76		2 461,76
			Information Technology Equipment	12 291,00	12 291,00	21 688,46	2 200,91	23 889,37
			Audio Visual & Print Production Costs	44 030,00	26 873,00	44 868,88		44 868,88
			Miscellaneous Expenses	58 567,00	33 466,00	18 969,03		18 969,03
			Training, Workshops and Confer	32 191,00	1 400,00	10 053,52		10 053,52
			Rental & Maintenance-Premises			8 167,55		8 167,55
	GCF Sub-Total			2 700 000,00	1 807 906,00	583 758,60	96 948,36	680 706,96
	GCF Financing Sub-Total			2 700 000,00	1 807 906,00	583 758,60	96 948,36	680 706,96
	Co-Financing	Government of Tuvalu	Contractual Services - Individual	179 300,00	102 456,00	125 451,52		125 451,52
			Rental & Maintenance-Premises	25 200,00	14 400,00	7 315,08		7 315,08
Government of Tuvalu Sub-Total			204 500,00	116 856,00	132 766,60	0,00	132 766,60	
Co-Financing Sub-Total				204 500,00	116 856,00	132 766,60	0,00	132 766,60
OUTPUT1 Sub-Total			2 904 500,00	1 924 762,00	716 525,20	96 948,36	813 473,56	
2	GCF Financing	GCF	International Consultants	1 225 698,00	765 822,00	472 846,19	304 131,30	776 977,49
			Travel	450 322,00	279 904,00	154 684,23		154 684,23

			Contractual Services-Companies	23 606 624,00	14 474 501,00	1 352 419,89	47 421,87	1 399 841,76	
			Equipment and Furniture	45 146,00	45 146,00	16 126,51		16 126,51	
			Supplies	100 000,00	0,00	10 334,55		10 334,55	
			Miscellaneous Expenses	74 461,00	42 552,00	1 099,01		1 099,01	
			Training, Workshops and Confer	97 749,00	72 385,00	23 281,59		23 281,59	
			Communication & Audio Visual Equipt			12 105,81		12 105,81	
			Rental & Maintenance-Premises			2 290,27		2 290,27	
			GCF Sub-Total	25 600 000,00	15 680 310,00	2 045 188,05	351 553,17	2 396 741,22	
	GCF Financing Sub-Total			25 600 000,00	15 680 310,00	2 045 188,05	351 553,17	2 396 741,22	
	Co-Financing	Governme nt of Tuvalu	Contractual Services - Individual	53 900,00	30 800,00	60 112,56		60 112,56	
			Rental & Maintenance-Premises	201 600,00	115 200,00	49 057,72		49 057,72	
			Rental & Maintenance of Other Equipt	2 300 000,00	575 000,00			0,00	
			Government of Tuvalu Sub-Total	2 555 500,00	721 000,00	109 170,28	0,00	109 170,28	
	Co-Financing Sub-Total			2 555 500,00	721 000,00	109 170,28	0,00	109 170,28	
	OUTPUT2 Sub-Total			28 155 500,00	16 401 310,00	2 154 358,33	351 553,17	2 505 911,50	
	3	GCF Financing	GCF	International Consultants	138 285,00	14 164,00	22 052,75		22 052,75
				Local Consultants	177 000,00	98 310,00	47 959,14	86 157,75	134 116,89
Travel				304 478,00	171 106,00	93 699,66		93 699,66	
Contractual Services-Companies				3 911 862,00	2 305 967,00	4 730,57		4 730,57	
Audio Visual & Print Production Costs				26 957,00	15 874,00	2 751,29		2 751,29	
Miscellaneous Expenses				115 232,00	65 885,00	14 039,62		14 039,62	
Training, Workshops and Confer				176 186,00	112 020,00	40 926,88		40 926,88	
Rental & Maintenance-Premises						3 445,38		3 445,38	
GCF Sub-Total		4 850 000,00	2 783 326,00	229 605,29	86 157,75	315 763,04			
GCF Financing Sub-Total			4 850 000,00	2 783 326,00	229 605,29	86 157,75	315 763,04		
Co-Financing		Governme nt of Tuvalu	Contractual Services - Individual	74 800,00	42 744,00	66 604,73		66 604,73	
			Rental & Maintenance-Premises	25 200,00	14 400,00	7 315,08		7 315,08	
			Government of Tuvalu Sub-Total	100 000,00	57 144,00	73 919,81	0,00	73 919,81	
Co-Financing Sub-Total			100 000,00	57 144,00	73 919,81	0,00	73 919,81		
A sustainable financing mechanism established for long-term adaptation efforts Sub-Total			4 950 000,00	2 840 470,00	303 525,10	86 157,75	389 682,85		

PMC	GCF Financing	GCF	International Consultants	578 936,00	271 399,00	363 558,74	22 500,00	386 058,74
			Local Consultants	1 577 628,00	900 631,00	651 834,16	8 964,20	660 798,36
			Travel	446 595,00	218 267,00	86 769,33		86 769,33
			Equipment and Furniture	15 729,00	15 729,00	15 078,33		15 078,33
			Supplies	72 040,00	41 167,00	10 199,19		10 199,19
			Information Technology Equipment	18 437,00	9 218,00	11 077,13		11 077,13
			Professional Services	22 020,00	12 582,00			0,00
			Miscellaneous Expenses	81 595,00	46 750,00	7 766,76		7 766,76
			Training, Workshops and Confer	47 020,00	28 582,00	29 955,01		29 955,01
			Communication & Audio Visual Equip			26 434,63		26 434,63
			Rental & Maintenance-Premises			37 595,79		37 595,79
			Services to Projects - GOEs			71 396,02		71 396,02
			GCF Sub-Total	2 860 000,00	1 544 325,00	1 311 665,09	31 464,20	1 343 129,29
			GCF Financing Sub-Total	2 860 000,00	1 544 325,00	1 311 665,09	31 464,20	1 343 129,29
Project Management Cost Sub-Total			2 860 000,00	1 544 325,00	1 311 665,09	31 464,20	1 343 129,29	
Project Total-GCF			36 010 000,00	21 815 867,00	4 170 217,03	566 123,48	4 736 340,51	
Project Total-Co-Finance			2 860 000,00	895 000,00	315 856,69	0,00	315 856,69	
Project Total			38 870 000,00	22 710 867,00	4 486 073,72	566 123,48	5 052 197,20	

An assessment of current disbursement progress against progress achieved against project targets, and current resources available against outstanding progress against targets is presented in the table below.

Output	Total budget (including co-finance)	Budget spent to date (end 2020)	Progress against targets	Budget remaining	IE assessment of budget remaining against progress required to meet targets
1. Strengthening of institutions, human resources, awareness and knowledge for resilient coastal management	US\$ 2,904,500.00	US\$ 813,473.56	Indicator 3 end of project target: At least 12 technical government staff (50% women) exposed to hands-on trainings on the three areas. Level at mid-term: On target to be achieved	US\$ 2,091,026.44	With 72% of the budget remaining for Output 1 and all of the targets on track to be achieved, the IE team concludes disbursement is aligned with progress, and that the remaining budget is sufficient to complete the remaining progress required to achieve indicator targets under Output 1. However, implementation and, as a result

			<p>6 staff (5 males + 1 female) from DLS trained on LiDAR data processing and biophysical assessment, giving for the first time to all islands in Tuvalu the relation between sea level rise and their land height.</p> <p>ESIA works conducted by SPC involved DoE, DLS and DLG, but with no formal training on the ground.</p> <p>SPC has not yet provided any formal trainings (delayed to 2021), except soil sampling in Nanumea by SPC Geotechnical Assessment team.</p> <p>2 senior DoLS officers sent for GIS training workshop in Fiji.</p> <p>Joint DCC/SPC Islands Vulnerability Assessments including coastal monitoring.</p> <p>Indicator 4 end of project target: At least 24 students (50% women) are supported for at higher level studies AND obtain a CCA-related position in the country.</p> <p>Level at mid-term: On target to be achieved</p> <p>8 students selected since 2018 (4 undergraduates, 4 masters). 7 male/1 female.</p>		<p>disbursement, should be accelerated as necessary to ensure that the intended progress is achieved by project closure.</p>
2. Vulnerability of key coastal infrastructure including homes, schools, hospitals and other assets is	US\$ 28,155,500.00	US\$ 2,505,911.50	<p>Indicator 5 end of project target: All 9 islands of Tuvalu have a coastal assessment report.</p> <p>Level at mid-term: On target to be achieved</p>	US\$ 25,649,588.50	<p>With 91% of the budget remaining for Output 2 and all of the targets on track to be achieved, the IE team concludes disbursement is aligned with progress, and that the remaining budget is sufficient to complete the remaining</p>

<p>reduced against wave induced damages in Funafuti, Nanumea and Nanumaga</p>			<p>The socio-community component of the islands Coastal Vulnerability Assessment process was completed in 2019.</p> <p>Stakeholder engagement in each community (including women, youth and disabled) has been undertaken on Nanumea, Nanumaga and Funafuti, and the ESIA process for Funafuti, Nanumaga and Nanumea is now completed, validated, and delivered.</p> <p>Indicator 6 end of project target: 3,090 m of vulnerable coastlines are protected by a coastal defence measure.</p> <p>7.85 ha of additional land reclaimed in Funafuti</p> <p>Level at mid-term: On target to be achieved</p> <p>No structural measures put in place yet.</p> <p>Indicator 7 end of project target: The final technical assessment report includes gender-differentiated impact and the results are shared at a regional/national forum.</p> <p>Level at mid-term: On target to be achieved</p> <p>The production of a Gender Strategy and Action Plan has enhanced the understanding of gender-segregated activities outlining ways of closing gaps and</p>		<p>progress required to achieve indicator targets under Output 2. However, implementation and, as a result disbursement, should be accelerated as necessary to ensure that the intended progress is achieved by project closure.</p>
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			<p>of raising awareness during consultations in Funafuti in 2019, then Nanumaga and Nanumea in 2020.</p> <p>In addition, the islands vulnerability assessment data collection process involved differentiated response by gender which has been incorporated in the subsequent reports.</p> <p>The two ESIA's considered gender as specific sections, including gender-differentiated baselines and impacts of coastal protection measures.</p>		
<p>3. A sustainable financing mechanism established for long-term adaptation efforts</p>	<p>US\$ 4,950,000.00</p>	<p>US\$ 389,682.85</p>	<p>Indicator 8 end of project target: At least 16 adaptation priority actions (two in each island), outlined in ISPs, are financed by either domestic or external resources and executed.</p> <p>Level at mid-term: Not on target to be achieved</p> <p>No adaptation priority actions financed.</p> <p>TCAP support on ISP development has been maintained during 2020 with 7 out of 8 ISPs being produced and reviewed by DLG.</p> <p>Training on climate financing, procurement, and implementation of ISP activities for the Funafuti Kaupule was held in Nov 2019, then for Nanumea in Sept 2020.</p>	<p>US\$ 4,560,317,15</p>	<p>With 92% of the budget remaining for Output 3 and although only one of two targets is on track to be achieved, the IE team concludes disbursement is aligned with progress, and that the remaining budget is sufficient to complete the remaining progress required to achieve indicator targets under Output 3. However, implementation and, as a result disbursement, should be accelerated as necessary to ensure that the intended progress is achieved by project closure.</p>

			<p>Indicator 9 end of project target: Women's group recognized by both men and women as an important interest group in the evaluation of Kaupules</p> <p>Level at mid-term: On target to be achieved</p> <p>A Gender Strategy and Action Plan (GSAP) was developed after community consultations and training workshops in Funafuti, Nanumea and Nanumaga. Communities have received the document produced.</p> <p>TCAP gender related articles and short stories have been published and shared in 2020, including the 2 TCAP newsletters.</p> <p>An updated Stakeholder Engagement Plan (SEP) has been developed, which includes engagement with women leaders.</p>		
PMC	US\$ 2,860,000.00	US\$ 1,343,129.29	NA	US\$ 1,516,870.71	With 53% of PMC budget remaining and 4 years of project implementation remaining, it is expected that there will be sufficient funds to cover costs until project closure. However, if additional costs, such as for new project staff are drawn from the PMC budget, or if the project is extended, then there is a risk that the remaining budget will be insufficient.
Total	US\$ 38,870,000.00	US\$ 5,052,197.20	NA	US\$ 33,817,802.80	

TCAP has only one co-financier, the Government of Tuvalu, which has committed US\$2,860,000 of in-kind co-finance for the duration of implementation. To date, according to the 2020 APR, actual co-financing realised is US\$315,856.69. The IE team's analysis of co-financing indicates that it is behind delivery. However, this is related mainly to changes in the disbursement schedule between 2019 and 2020 because of implementation delays related to COVID-19, as well as a result of the construction of the coastal defence measures not having started yet. Once the coastal defence measures have been constructed, the majority of the co-financing (US\$2.3 million; 80% of total co-financing) will be realised through contributions to operations and maintenance costs.

Co-financing (type/source)	Name of co-financier	Type of co-financing	Investment mobilised	Amount (US\$)
Recipient Country Government	Government of Tuvalu	In-kind	Recurrent Expenditure	315,856.69
Total co-financing (US\$)				315,856.69

4.4.4 Project-level M&E Systems

Monitoring under TCAP to date has been based primarily on the logical framework, in order to fulfil reporting requirements of the GCF. At the time of the IE, TCAP did not yet have a finalised M&E plan, as the PMU did not have the relevant experience and capacity to develop one, resulting in a limited contribution of the project's M&E data and mechanisms to adaptive management. To address this gap, the PMU, via the operations CTA, is currently developing an M&E framework for the project. The lack of an M&E plan has made reporting challenging and reduced the quality of reports produced, although data on project progress has been collected informally by the PMU to inform reporting. Once the M&E plan is in framework, the PMU will integrate the information collected via the APRs into the M&E matrix. This information can then be used to inform adaptive management for the project, as well as serve as a repository of information to be used in the development of future climate change adaptation projects. In the interim, the operations CTA will oversee M&E for the project's, however, all M&E responsibilities should ultimately be incorporated into the current staff TOR (after capacity building) or be supported by an M&E officer.

The lack of a formal monitoring system has restricted the PMU's ability to assess what is going well, to determine what changes/impacts are taking place on the ground, to generate lessons learned and to implement adaptive management of activities as required. The gap in M&E has also limited the involvement of project partners and other stakeholders in project monitoring activities as a result of the lack of a formal structure to engage them.

4.4.5 Stakeholder engagement

The IE team's assessment of TCAP's stakeholder engagement performance included the reviewing of the stakeholder engagement plan presented in the Project Document and reports, as well as through consulting directly with stakeholders at all levels — i.e., project, national and local (communities from Funafuti, Nanumaga and Nanumea). Results of the assessment are presented under three specific aspects of stakeholder engagement below, noting that a new stakeholder engagement plan (which includes a grievance redress mechanisms and protocols for formalising the projects current informal complaint mechanism) has been developed and is in the process of being approved.

- **Project management:** TCAP has developed strong partnerships with a wide range of stakeholders. These partnerships include those with: i) national-level stakeholders such as Project Board members and relevant government ministries and departments (including MoF, MEYS, DLG, CCD, DLS and DoE); and ii) local-level stakeholders, including community leaders (chiefs' falekaupules), their council (kaupules), and groups (such as women's and youth groups) from

Funafuti, Nanumaga and Nanumea. However, there were some stakeholders, such as local NGOs, who reported that there had been limited engagements by TCAP and that they do not have strong enough ties with the project to make meaningful contributions. NGOs, specifically the Tuvalu Association of NGOs (TANGO) and the Tuvalu National Women Council, are a priority stakeholder group for the project, as reflected in the project information table in the beginning of this IE report. While it is acknowledged that all project stakeholders do not need to be engaged at the same levels, even at the lowest acceptable levels of engagement for priority entities these NGOs report that they do not feel sufficiently engaged in project implementation.

- Participation and country-driven process: Responses from national and local stakeholders regarding their support for the objectives of TCAP were extremely positive. It was clear from the consultation process during the IE that the project is addressing the urgent adaptation needs of all Tuvaluans and there is great anticipation across all stakeholder groups for the construction of coastal defences to begin under Output 2. In terms of roles in the project's decision-making processes, the Project Board (with representative from national-level stakeholders), continues to play a key role. For example, the Project Board was intensely involved in the discussions and negotiations around the need for the restructuring of the activities related to the construction of coastal defence measures under Output 2. Additionally, the Project Board plays an active role in TCAP's decisions through the project's board meetings. National stakeholders are also playing a direct role in the implementation of project outputs. These include DLG, which is playing an active role in redefining the project's approach to Output 3, and MEYS, which has been involved in the student scholarships under Output 1.
- Participation and public awareness: Stakeholder involvement in the project's decision-making processes as well as TCAP's public awareness work, particularly at the community-level, has generated considerable excitement and support for the project. This has, to date, resulted in minimal public resistance to the project's objectives. On the contrary, awareness-raising on the adaptation benefits of the project has resulted in strong community support to date. However, after almost four years of implementation, TCAP has not implemented any concrete interventions (coastal defence measures) on the ground, with most funds being spent on soft interventions to date, such as those project interventions focused on improving technical and institutional capacity of beneficiaries. A significant amount of work has also been undertaken to restructure the project activities and targets, as well as undertake the necessary baseline, safeguards and technical design work. During project development, local communities were engaged and made aware of the project, and that financing was being requested to undertake specific coastal protection measures. Because of the time spent restructuring the project, among the other actions mentioned above, some community-level stakeholders on the islands of Funafuti, Nanumea and Nanumaga expressed concern that they had yet to see tangible progress by this stage of project implementation. That is, there was an expectation that construction of the coastal protection measures would have started by project mid-term to demonstrate how the funding leveraged by the project was being used to benefit the target communities. This is a risk to community support for the project, as criticism is likely to grow while no work is taking place on the ground. The IE team recommends that more time is spent managing the expectations of local communities and providing them with more frequent updates on project progress and planning. As travel to the outer islands (Nanumea and Nanumaga) is often not possible, the IE team recommends that consideration is made for local residents from each island to be added to the PMU as island officers, with the role of keeping local stakeholders up to date with TCAP's plans and progress, managing expectations of local stakeholders, and facilitating the implementation of project activities on the islands. This was also the request of several stakeholders during the IE consultations.

4.4.6 Reporting

As discussed under Section 4.4.4, the lack of an M&E plan for the project to date has negatively impacted the PMU's ability to produce high quality reports on project planning and progress. The lack of a monitoring system has also restricted the PMU's ability to assess what is going well, what

changes/impacts are taking place on the ground, generate lessons learned and implement adaptive management of activities as required.

While GCF reporting requirements have, to date been undertaken and fulfilled by the PMU and project partners, capacity to the reports has been lacking for the majority of the project implementation period to date. As a result, reporting has required a lot of support from the RTA. An operations CTA was added to the PMU in late 2020, with one of his major roles being to strengthen project reporting capacity. For example, the operations CTA has coordinated the production of the 2020 APR, and improvements in the quality of reporting are already evident.

In terms of the sharing of project reports (APRs, IE and TE reports) with the Project Board and key stakeholders, this is done by the PMU, either when the reports have been approved internally or before Project Board meetings. Consultations with relevant stakeholders suggest that they are satisfied with how TCAP's reports have been shared with them.

4.4.7 Communications

Communications under TCAP were assessed according to two factors under the IE. Details on the team's findings under each factor are presented below.

- Internal project communication with stakeholders: Communication with internal project stakeholders, such as members of the Project Board is regular and effective. Project Board members consulted during the IE are happy with the communication of information from TCAP. This is usually done via email, Project Board meetings or smaller meetings between the PMU and board members. Respondents identified several mechanisms for providing feedback to the PMU, including the same ones through which information is provided, as well as through telephone calls as necessary. In general, the IE team found that TCAP's communication continues to enhance stakeholder awareness of TCAP's outcomes and activities and fosters their long-term investment in the sustainability of project results.
- External project communication: Several means of communication have been established under TCAP to express the project's progress and intended impact to the public. These include a website (www.tcap.tv), as well as social media accounts (Twitter: [@TCAPforTu8](https://twitter.com/TCAPforTu8) and Facebook: [Tuvalu Coastal Adaptation Project](https://www.facebook.com/TuvaluCoastalAdaptationProject)). Twitter was identified as an important tool during consultations because it creates a record of what has happened over time and reaches many of the donors, agencies, journalists. However, communications outputs have been limited and the online platforms are not updated regularly. As a result, a part-time Communication specialist was brought on board in October 2020 to increase TCAP's communications outputs and strengthen the project's visibility. She is also spending a large amount of her time building the capacity of the PMU's Communications Officer. While online platforms are appropriate for members of the public with internet access in Tuvalu (predominately limited to the inhabitants of Funafuti), as well as a regional and international audience, they are not appropriate for some community members on Funafuti and the majority of people on the northern islands of Nanumea and Nanumaga. As a result, the project has implemented targeted awareness-raising campaigns for these communities, led by the Project Manager, as well as the Communications Officer. However, as travel to the outer islands (Nanumea and Nanumaga) is often not possible, resulting in periods where awareness raising is not consistent, the IE team recommends that consideration is made for representatives from each island to be added to the PMU as officers, with the role of keeping local stakeholders up to date with TCAP's plans and progress, managing expectations and facilitating the implementation of project activities on the islands. This was also the request of several stakeholders during the IE consultations.

While there has been good progress made with improving project communications over the last year, such as developing the CSAP Communication Strategy and Action Plan 2020 (and updated in 2021),

hiring the part-time communications specialist and strengthening the capacity of the PMU's Communications Officer, more support is required to increase effectiveness. This may include communications budgeting in annual workplans for trips to the outer islands, as well as for the purchasing of equipment such as cameras for the project and hiring professional photographers and graphic designers. Additionally, some funding could be allocated for further capacity building for communications within the PMU.

4.5. Sustainability

4.5.1 Financial risks to sustainability

Risk: Financial sustainability of the project could be limited by several factors. While Output 3 does focus on sustainable financing of long-term adaptation efforts, many external risks and assumptions have either not been given enough attention or are not considered in the output's design. In particular, there is a risk that the necessary financial resources or mechanisms will not be present or viable in the long-term to maintain the project's interventions under Output 3 and to continue supporting adaptation measures in Tuvalu. Furthermore, the assumption that the finance generated through the sustainable adaptation finance mechanism is enough to generate the adaptation impacts needed in the long-term is in doubt (until an alternative pathway to delivering the expected results is identified) as the LoCAL financing mechanism is no longer available to act as the baseline for the sustainable finance adaptation mechanism to be developed for the islands of Tuvalu.

Mitigation measure: To address these risks to the financial sustainability of Output 3 beyond the project period, a proposal was developed in collaboration with the GoT for support to be provided to build the capacity of the TSF to become operational and effective as a vehicle for future financial assistance to Kaupules for their adaptation and post-disaster needs (excluding disaster response and relief support). This proposal was presented to and endorsed by the Project Board in November 2020, with the decision made for US\$100,000 is to be set aside to facilitate this support, as stated in APR 2020. Obtaining further financial support to maintain the sustainability of Output 3 beyond the project period will need to be prioritised by continued engagements with project partners including the GoT/DLG, UNCDF, the LoCAL facility, PBCRG system, as well as through making use of the existing GoT finance system. Finally, TCAP is currently in discussions with the Department of Local Government to revise the fiscal transfer mechanism provided in the Operation Manual approved in 2019 to ensure that financial needs for island communities adaptation development initiatives are still fully supported and on track to commence in 2021.

4.5.2 Socio-economic risks to sustainability

Risk: As coastal defence measures are constructed on the three islands, some social safeguards that were triggered during the recent development of the project's ESIA's, are likely to start posing a challenge to project implementation. These include potential complaints at the community and political level about the location of on-the-ground interventions, particularly by local landowners.

Mitigation measure: The IE team has found that the risk related to land ownership has been recognised in the restructuring paper for which was presented in the FAA Amendment (signed on 3 January 2020) and that mitigating measures of close stakeholder engagements with landowners and Kaupules on the islands have also been presented. This was added to (as mentioned above) by the project's ESIA's, which detail the mechanisms for addressing such risks. Mechanisms, such as the project's GRM (currently being finalised), will also be used to manage any complaints related to landownership at project sites. The IE team note the importance of managing such complaints and identify them as a risk to the sustainability of the project if they are not, as stakeholder support for TCAP's long-term objectives may be adversely affected.

Risk: While it is noted that the project's ESIA, ESMP and stakeholder engagement strategy (which has been implemented well to date by the Funafuti PMU through regular visits to Nanumea and

Nanumaga for consultation on and validation of plans) are the tools used to identify and manage Environmental and Social Safeguards (ESS) risks, that these three strategic documents will be monitored by the project regularly and updated as necessary, and that a safeguards consultant is part of the PMU, the PMU still lacks the capacity to manage issues related to safeguards, and in particular those relating to social matters. For example, delays in implementation of construction works under Output 2 and ongoing negotiations on the location of BTBs on Nanumaga (the Falekaupule has for example, rejected the installation on the landward side of the church compound and have requested that it be installed on the seaward side, an option that is not financially or technically possible) could negatively impact community buy-in to project interventions, and consequently adversely affect the project's sustainability — as mentioned above this risk has been recognised in the restructuring paper for the project as well as the ESIA, which also include mitigation measures. There is currently limited capacity within the Funafuti-based PMU — even with support from the project's international safeguards consultant and GoT — to manage these types of risks and implement the recommendations and actions presented in the ESIA, updated in the ESMP, in the stakeholder engagement plan (SEP) and the grievance redress mechanism (GRM). While the ESMP, SEP and GRM are awaiting finalisation following the approval of the ESIA on the 29 March 2021, , there is limited capacity within the PMU to for the day-to-day actions necessary to mitigate the safeguards risks triggered — i.e., there is no one within the PMU who has safeguards experience, even though capacity for stakeholder engagements (through the stakeholder engagement plan) has proved to be adequate. To address these gaps, the IE team recommends that consideration is made to either add relevant staff to the PMU, build the capacity of current staff and/or further resource the PMU to support the safeguards consultant for the project with the management of day-to-day safeguards issues.

Mitigation measure: The PMU has identified the need for strengthening safeguards capacity within its staff complement and is considering the addition of permanent full time staff and training current staff members to assist with addressing safeguards issues. This includes potentially bringing in local island community facilitators for the construction work, who will also take on safeguards monitoring responsibilities.

Risk: Based on consultations with national and local-level stakeholders during the IE process, stakeholders do still see continuing the project to be in their best interests, as TCAP is directly relevant to their immediate adaptation needs. However, gaps in other areas necessary for socio-economic sustainability may reduce the project's potential for replication and upscaling, ultimately reducing its long-term adaptation impact nationally. This includes weak documentation of lessons learned to date. While there are limited lessons yet available to be shared (prior to final approval), those that are available are not being shared with relevant stakeholders who could learn from TCAP and potentially replicate and/or scale any of its activities in the future.

4.5.3 Institutional framework and governance risks to sustainability

Risk: The IE team's assessment identified no risks related to legal frameworks, policies, governance structures and governance processes that may jeopardise the sustainability of TCAP's benefits.

Mitigation measure: The mitigation of institutional framework and governance risks to sustainability is supported by the project's capacity building activities under Output 1, including the training of government staff (DLS) on technical processes¹³, as well as the provision of scholarships to students and government staff to increase local technical capacity for future adaptation investments. Furthermore, TCAP's plan to strengthen the capacity of the PMU to remain as a government-funded

¹³ Engagement with SPC will provide high value technical training to Government Officers on: i) ocean and coastal processes; ii) coastal monitoring; iii) ESIA; iv) island risk and vulnerability assessment (IVA); v) drone operation and monitoring survey; vi) advanced diving; vii) marine habitat mapping; viii) asset data collection; ix) inundation and impact monitoring; x) open source GIS; xi) data management; xii) shore line change analysis; xiii) advanced GNSS data processing; and xiv) LIDAR processing.

coastal adaptation authority after project termination will contribute to developing the appropriate institutional capacity that will be self-sufficient. The project has not, however, identified and involved champions (i.e., individuals in government and civil society) who can promote the sustainability of project outcomes. The IE team recommends that such champions are identified through a participatory process, including champions at the community level that represent vulnerable groups (such as women and youth).

4.5.4 Environmental risks to sustainability

The IE team identified no significant environmental risks to sustainability during the evaluation process.

4.6. *Country Ownership*

TCAP is well aligned with national development plans, national plans of action on climate change, a range of sub-national policies as well as projects and priorities of the national partners. The project in particular directly addresses Tuvalu's development and climate change adaptation priorities and is aligned with relevant policies and plans. These include: i) Tuvalu's national development strategies — the Te Kakeega II 2005-2015, Te Kakeega III (2015-2020) and now Te Kete (2021-2030) recognize that climate change poses considerable threats to the achievement of national development goals; and ii) the Tuvalu Climate Change Policy — Te Kaniva — with its vision "*To protect Tuvalu's status as a nation and its cultural identity and to build its capacity to ensure a safe, resilient and prosperous future*" which guides the country's efforts in both adaptation and mitigation. The project aligns in particular with Goal 4 of the Te Kaniva policy, which focuses on developing and maintaining Tuvalu's infrastructure to withstand climate change impacts and aims to deliver coastal protection following appropriate best practices for Tuvalu's environmental and socio-economic context. Engagements with women and youth under the project are aligned with the national gender and youth policies (launched in 2013 and 2015, respectively), which aim to, *inter alia*, bolster women's and youth's participation in decision-making and promote their economic empowerment. Policy alignments were confirmed during stakeholder consultations conducted during the IE. This alignment has contributed to strong country-driven support of the project.

The Ministry of Finance (MoF), as the NDA, has taken strong ownership of the project, providing support to UNDP and the PMU wherever possible. This includes playing a key role in project decision-making processes (along with the rest of the Project Board). In addition, responses from national and local stakeholders regarding their support for the objectives of TCAP were extremely positive. It was clear from the consultation process during the IE that the project is addressing the urgent adaptation needs of all Tuvaluans and there is great anticipation across all stakeholder groups for the construction of coastal defences to begin under Output 2. In terms of roles in the project's decision-making processes, the Project Board (with representative from national-level stakeholders), continues to play a key role. For example, the Project Board was intensely involved in the discussions and negotiations around the need for the restructuring of the activities related to the construction of coastal defence measures under Output 2. Additionally, the Project Board plays an active role in TCAP's decisions through the project's board meetings. National stakeholders are also playing a direct role in the implementation of project outputs. These include the DLG, which is playing an active role in redefining the project's approach to Output 3, and the MEYS, which has been intensely involved in the student scholarships under Output 1.

The lack of a formal monitoring system has restricted the PMU's ability to assess what is going well, to determine what changes/impacts are taking place on the ground, to generate lessons learned and to implement adaptive management of activities as required. The gap in M&E has also limited the involvement of project partners and other stakeholders in project monitoring activities as a result of the lack of a formal structure to engage them.

4.7. *Unexpected results*

The major positive unexpected result to date under TCAP was the restructuring of Output 2's approach to coastal protection measures in Funafuti, which were revised from sea walls to land reclamation measures in 2019, after this approach was identified as preferable by local stakeholders. This change was brought about through extensive consultations and proposed design changes which were presented to the GCF Board for consideration at their 3rd board meeting in July 2019 in the form of a restructuring paper, after review and approval by the GCF Secretariat. The restructuring paper included a no-objection letter signed by the NDA, a revised implementation plan and the Secretariat's review of the proposed restructuring. The planned objectives and outcomes related to the restructuring of Output 2 are deemed to be still relevant to the situation on the ground.

Other positive unexpected results include: i) the Government of Tuvalu supporting the suggestion that the PMU transitions to become a government-funded Coastal Management Authority; and ii) the integration of a LiDAR survey into the project's activity plan (which was overseen by the Technical CTA). The LiDAR survey has been a major step forward in terms of providing a comprehensive assessment of land heights across all the islands of Tuvalu.

4.8. *Gender Equity*

The IE team's findings related to the project's gender equity and equality performance is presented below.

- TCAP's ongoing implementation is linked to and reliant on sex-disaggregated data as per Tuvalu's population statistics.
- Financial resources/project activities are explicitly allocated to enable women to benefit from project interventions. This has been made explicit through the recent development of a gender strategy and action plan for the project (2019, being updated).
- TCAP activities and planning account for local gender dynamics and how project interventions affect women as beneficiaries. This is prominently shown in the project's logical framework, as well as in its gender strategy and action plan.
- Responses from female stakeholders regarding their satisfaction with the project's gender equality results were mixed. National-level stakeholders were satisfied with TCAP's gender equality results, while community-level stakeholders were not, being of the view that they have not yet benefitted directly from the project.
- While gender considerations are clearly reflected in the Project Document/Funding Proposal to ensure gender responsiveness, there are limited gender-focused activities explicitly described in the Logical Framework. The gender strategy and action plan has been updated to its minimum requirements to ensure project does not go beyond its gender objective, nor create expectations or gender activities that are unnecessary to achieve the gender related targets. Additionally, the PMU only has capacity to implement the gender action plan according to the minimum level of requirements for gender-responsiveness of project activities, in line with GCF's gender policies, as none of the PMU have any gender expertise, resulting in limitations to the effectiveness of the gender action plan's implementation.
- The IE team noted that where possible, a deliberate effort has been made to ensure gender balance within the project governance structure. For example, TCAP's first project manager (who resigned in 2018) was a woman. However, as a result of a general lack of experience to fill the PMU's positions (both in Tuvalu and Fiji), it has been challenging to fill staff positions in general. The project is committed to strengthening the capacity of its staff (both male and female), to ensure that they are able to contribute to similar initiatives in the future, and contribute to improving the gender balance in the governance structures of Tuvalu's coastal adaptation project in the future.

5. Conclusions and recommendations

5.1. Conclusions

The IE team's conclusions on the evaluation are presented below.

5.1.1 Project strategy

The project's strategy is deemed to be effective in achieving TCAP's results. This is illustrated by:

- the integration of best practices and lessons learned from relevant past and ongoing projects — including several projects focusing on reducing coastal vulnerability — into TCAP's design;
- the project's design directly addressing Tuvalu's development and climate change adaptation priorities and being aligned with relevant policies and plans;
- TCAP's designs being informed by a participatory process, with multiple stakeholder engagements at the national, district and community levels;
- best practices and lessons learned from relevant past and ongoing projects — including several projects focusing on reducing coastal vulnerability — being used to inform the project design. Innovative approaches to coastal adaptation from these projects that have proven to be effective at increasing coastal resilience have been applied to the design of the TCAP. Details of the relevant past and ongoing projects are presented in the Project Document/Funding proposal and include: i) the "Increasing Resilience of Coastal Areas and Community Settlements to Climate Change" project (LDCF-UNDP; 2009–2016); ii) the "Effective and responsive island-level governance to secure and diversify climate-resilient marine-based coastal livelihoods and enhance climate hazard response capacity" project (LDCF-UNDP; 2013-2017); iii) Implementing a 'Ridge to Reef' approach to protect biodiversity and ecosystem functions in Tuvalu (R2RTuvalu) (GEF-UNDP; 2015-2020); iv) the Project for pilot gravel beach nourishment against coastal disaster on Fongafale Island (JICA; 2012–2017); and v) Tuvalu coastal protection scope definition: Cyclone Pam recovery (World Bank; 2015);
- TCAP brought in the expertise of a technical advisor to inform the designs of the project's innovative coastal defence measures, including land reclamation on Funafuti (that will be approximately 2 m above the highest recorded sea level in Tuvalu), and Berm Top Barriers on Nanumea and Nanumaga;
- the integration of a LiDAR survey into the project's activity plan (which was overseen by the Technical CTA). The LiDAR survey has been a major step forward in terms of providing a comprehensive assessment of land heights across Tuvalu (not done previously), and contributing the informed planning of coastal adaptation solutions in the future;
- gender issues being considered in detail during the project design process, as detailed in Annex 7 of the Project Document (Gender Assessment and Action Plan);
- the project's coherent and realistic theory of change (ToC) narrative (notwithstanding that the ToC diagram lacks sufficient detail for providing a bird's eye view of how change will come about through the project); and
- the embedding of project sustainability in project design (notwithstanding that the IE did find the financial sustainability argument of the project design to be limited by several factors). While Output 3 does focus on sustainable financing of long-term adaptation efforts, many external risks and assumptions have either not been given enough attention or are not considered in the Output's design. Specifically, there is a risk that the necessary financial resources or mechanisms may not be present or viable in the long-term to support sustainable adaptation finance. Furthermore, the exit strategy assumes that the finance generated through the sustainable adaptation finance mechanism is enough to generate the adaptation impacts needed in the long-term. The validity of this assumption has as yet not been tested.

5.1.2 Project implementation and adaptive management

The project's implementation is scored as Moderately Satisfactory (MS). This is because implementation of some of the three components is largely leading to efficient and effective project implementation and adaptive management (with only some components requiring remedial action). Further details on the conclusions related to project implementation and adaptive management are provided below.

- In terms of project management arrangements, while the model of a split PMU (between Suva and Funafuti) is necessary, there are some inefficiencies as a result of this model in the performance of the PMU. This is compounded by technical capacity gaps amongst the PMU staff, as well as a lack of staff to cover key roles (such as M&E, safeguards and gender). The addition of the operations CTA to the PMU, has strengthened capacity greatly. However, there are still areas where the PMU needs additional support. This includes procurement, which in general has been slow during the project to date and has caused delays in the implementation of certain activities/payments for deliverables, and sometime restricted the PMU's ability to perform its role effectively.
- Usually for UNDP's Direct Implementation Modality (DIM) projects in the Pacific region, all PMU staff are based in Suva, Fiji. However, for TCAP it was decided to use a different approach for the sake of efficiency. This includes having part of the PMU located in Tuvalu to handle implementation, issues and engagements on the ground, and part of the team based at UNDP's Pacific office in Fiji to oversee project finances, procurement and administrative aspects of project management — such as fortnightly meetings and reporting to UNDP Pacific Office Management on TCAP's progress. However, while the IE team agrees with the theoretical justification for this approach, there are some inefficiencies in the practical implementation thereof, including: i) infrequent and/or delayed travel to the islands of Nanumea and Nanumaga, creating limited opportunity for the PMU to visit the islands and engage with the beneficiary communities; ii) limited capacity to implement and monitor the GSAP, as well as to manage issues related to safeguards, particularly with regard to social safeguards; and iii) apparent different reporting lines between Funafuti and Suva¹⁴.
- Capacity for planning within the PMU based in Funafuti and Suva is generally low. Detailed results-based workplans are not being consistently developed, with the PMU primarily relying on the details presented in the Funding Proposal/Project Document and budget to inform the implementation of activities. An operations CTA was added to the PMU in early 2021, with one of his major roles being to ensure that future planning within the project is detailed and results based. This will allow for the PMU in Funafuti to have more control over the activities in Tuvalu, rather than waiting for direction from the team in Suva.
- Monitoring under TCAP to date has been based primarily on the project logical framework, in order to fulfil reporting requirements. At the time of the IE, TCAP did not yet have a finalised M&E plan, resulting in a limited contribution of the project's M&E data and mechanisms to adaptive management. The PMU, via the operations CTA, is currently developing an M&E framework and matrix for the project. The lack of an M&E plan has made reporting challenging and reduced the quality of reports produced. Once the M&E plan is in place the PMU will begin collecting information on the project's indicators.
- While GCF reporting requirements have, to date been undertaken and fulfilled by the PMU and project partners, capacity to both produce the reports has been lacking for the majority of the project implementation period to date. As a result, reporting has required a lot of support from the RTA. The addition of the operations CTA to the PMU has greatly strengthened project reporting capacity.

5.1.3 Project sustainability

Details on the conclusions related to project sustainability are provided below.

¹⁴ Further details on the inefficiencies identified in the PMU are presented in Section 5.2.3 of this report along with recommendations for addressing these inefficiencies.

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- Financial sustainability of the project could be limited by several factors. While Output 3 does focus on sustainable financing of long-term adaptation efforts, many external risks and assumptions have either not been given enough attention or are not considered in the output's design. In particular, there is a risk that the necessary financial resources or mechanisms will not be present or viable in the long-term to maintain the project's interventions under Output 3 and to continue supporting adaptation measures in Tuvalu. Furthermore, the assumption that the finance generated through the sustainable adaptation finance mechanism is enough to generate the adaptation impacts needed in the long-term has not as yet been tested.
 - To address the risks to the financial sustainability of Output 3 beyond the project period, a proposal was developed in collaboration with the GoT to support capacity building of the Tuvalu Survival Fund (TSF) to become operational and effective as a vehicle for future financial assistance to Kaupules for their adaptation and post-disaster needs. This proposal was presented to and endorsed by the Project Board in November 2020, with the decision made for US\$100,000 to be set aside to facilitate this support, as stated in APR 2020. Obtaining further financial support to maintain the sustainability of Output 3 beyond the project period will need to be prioritised through continued engagements with project partners — including the GoT/DLG, UNCDF, the LoCAL facility, Performance Based Climate Resilience Grant (PBCRG) system — as well as through making use of the existing GoT finance system. Finally, TCAP is currently in discussions with the Department of Local Government and Climate Change Department to revise the fiscal transfer mechanism provided in the 2019 Operation Manual to ensure that financial needs for island communities adaptation development initiatives are still fully supported and scheduled to commence in 2021.
 - As coastal defence measures are constructed on the three islands, many social safeguards that were triggered during the recent development of the project's ESIA's, are likely to start posing a challenge to project implementation. If these risks are not mitigated and relevant preparations not put in place before construction commences, the sustainability of the project may be at risk, as stakeholder support for TCAP's long-term objectives may be adversely affected.
 - The IE team has found that the risk related to land ownership has been recognised in the restructuring paper for which was presented in the FAA Amendment (signed on 3 January) and that mitigating measures of close stakeholder engagements with landowners and Kaupules on the islands have also been presented. The project's ESIA's detail the mechanisms for addressing such risks. Mechanisms, such as the project's GRM (currently being finalised), will also be used to manage any complaints related to landownership at project sites.

5.1.4 Country ownership

Conclusions related to country ownership under TCAP are presented below.

- TCAP is well aligned with national development plans, national plans of action on climate change, a range of sub-national policies as well as projects and priorities of the national partners. The project in particular directly addresses Tuvalu's development and climate change adaptation priorities and is aligned with relevant policies and plans.
- The Ministry of Finance (MoF), as Executing Entity, has taken strong ownership of the project, providing support to UNDP and the PMU wherever possible. This includes playing a key role in project decision-making processes (along with the rest of the Project Board).
- The Government of Tuvalu has taken strong ownership of the project, ensuring that TCAP is country driven and committing to supporting implementation throughout the project's lifetime, as well as taking responsibility for managing its interventions after project closure — their capacity to do so possibly being limited by the availability of finance post-project.

5.1.5 Gender equity

While gender is clearly reflected in the Project Document/Funding Proposal, and a gender strategy and action plan have been developed for the project, there are still gaps inhibiting effective gender

equity under TCAP. These mainly relate to the PMU's limited capacity/expertise to implement and monitor the GSAP for the project.

5.2. Recommendations

The IE team's recommendations for TCAP are provided in the table below (in order of importance).

TCAP aspect	Need for recommendation	Key recommendation actions	Responsibility and authorisations	Timeframe
Management arrangements	As travel to the islands of Nanumea and Nanumaga is often infrequent or delayed, the PMU has little opportunity to visit the islands and engage with the beneficiary communities. When this does happen, engagements, led by the project manager, are well received and productive. However, there is a concern amongst stakeholders that the infrequent visits are not enough to keep stakeholders on the islands fully up to date with project progress and plans, which could result in the loss of support for TCAP.	<ol style="list-style-type: none"> 1. The IE team recommends that representatives (local residents) from each island be added to the PMU as officers, with the role of keeping local stakeholders up to date with TCAP's plans and progress, managing expectations of local stakeholders and facilitating the implementation of project activities on the islands. 2. Review the best practices and lessons learned under the GEF NAPA 1 and 2 projects, which had island officers that performed similar roles to inform similar positions under TCAP. However, the IE team does understand that once construction begins under Output 2, there will be dedicated monitoring officers on the islands. These individuals could also take on the role recommended by the IE team above. 	PMU, UNDP Pacific Office (Suva)	Island monitoring officers to be in place with roles and responsibilities finalised by start of construction/end-2021
	The PMU in Tuvalu lacks the capacity to implement the TCAP's gender strategy and action plan, as well as to manage issues related to safeguards, particularly with regard to social safeguards.	<ol style="list-style-type: none"> 3. The IE team recommends that consideration is made to either add relevant staff to the PMU, build the capacity of current PMU staff to fulfil gender and safeguards roles, or for part-time gender and safeguards consultants to be brought in to support the PMU in Tuvalu. 	PMU, international safeguards consultant, RTA	Decision to be made on recommended approach or hybrid of the three to be made by mid-2021, with steps to implement in place by end 2021.
	Differences in reporting lines between the PMU in Funafuti and Suva.	<ol style="list-style-type: none"> 4. Clarify PMU reporting lines between Funafuti and Suva and ensure that the entire team is reporting to one individual (PM) who then reports to the higher up structures. The PMU may need to meet with relevant staff from the UNDP Pacific Office in Suva, as well as the UNDP RTA, to flesh out issues in reporting lines and communication within the PMU and identify workable solutions which are agreed upon. It may be necessary that the operations CTA plays a key role in developing a model for this. 	PMU, RTA, UNDP Pacific Office Resident Representative	Reporting lines to be clarified by mid-2021 Clarify and if necessary, revise PMU roles and responsibilities by mid-2021 Assess performance of PMU members

		5. If roles and responsibilities within the PMU are not clear, these need to be revised, with the entire team understanding them. Performance of the team will need to be measured against clarified roles and responsibilities within the PMU, including if they are following the correct reporting lines.		against roles and responsibilities annually
Stakeholder Engagement	Awareness-raising on the adaptation benefits of the project has resulted in strong community support to date. However, after almost four years of implementation, TCAP has not implemented any concrete interventions (coastal defence measures) on the ground, with most funds being spent on soft interventions to date. The IE team does however recognise that the implementation of the tangible outputs of the project, namely coastal infrastructure construction, had a delayed start due to the need to redesign and the associated restructuring of the project. This has left some community-level stakeholders on the islands of Funafuti, Nanumea and Nanumaga very concerned, as they were expecting to see tangible progress by now. This is a risk to community support for the project, as criticism is likely to grow while no work is taking place on the ground.	6. The IE team recommends that more time is spent managing the expectations of local communities and providing them with more frequent updates on project progress and planning, which can include more information shared regarding the crucial detailed design and safeguards assessments that have been ongoing, this can be done through: <ul style="list-style-type: none"> o Employing island community facilitators as part of the PMU on each of the islands (particularly the outer islands of Nanumaga and Nanumea). The facilitators can provide local communities with regular updates and plans on interventions (particularly details on construction works), and readily provide feedback to the PMU in Funafuti, ensuring that any issues are dealt with efficiently. Furthermore, the facilitators can ensure that local communities understand and have access to the project's grievance redress mechanism (GRM). o Reviewing and revising the stakeholder engagement plan, highlighting the role of island community facilitators in engaging with island stakeholders, to ensure that their needs and concerns are prioritised by TCAP. 	PMU	Island monitoring officers to be in place with roles and responsibilities finalised by start of construction/end-2021 Stakeholder engagement plan reviewed and revised in time for commencement of construction works/end 2021
Finance and co-finance	Consultations during the IE process revealed concerns as a result of delays related to procurement. Examples of procurement delays include: i) the departure dates for boats leaving for Nanumea and Nanumaga are not known in advance, sometimes only being confirmed the day before departure, but the procurement of tickets can take up to two weeks; ii) stationery ordered by the Funafuti	7. Fasttrack the acquirement of project cash on hand (PCH)/cash advances for the PMU in Tuvalu to ensure that there are no delays for the procurement of urgent items or services, such as office stationery and transport to the outer islands of Nanumaga and Nanumea. In addition to the above, a more permanent solution to the project's procurement delays needs to be identified and implemented. This could be in the	PMU, UNDP Pacific Office procurement department, RTA	PCH process to be finalised by mid-2021 Permanent solution to procurement delays identified, detailed and

	<p>PMU in November 2020 has not yet been shipped; and iii) the procurement of consultants has often been delayed, resulting in constrained timelines for the completion of work. The IE team understands that the PMU is working to resolve this challenge of delayed procurement through, for example, the provision of cash advances (PCH). The IE team does note, however, that in relation to the major construction procurement (under Output 2), TCAP has recognised the capacity challenges with regards to this procurement. The procurement process method selected for the infrastructure work (Request for Proposal (RFP) and preferred ex-ante procurement approach) was submitted to the UN Advisory Committee on Procurement (ACP) for review and subsequent amendment and has been approved. This will add substantial efficiency to the TCAP PMU as the complexity of such procurement requires professionalism and experience, ultimately reducing risk to TCAP. As agreed during the Dec 2019 TCAP Board Meeting, TCAP has secured the services of the UNDP's Procurement Service Unit based in Malaysia to oversee this procurement.</p>	<p>form of providing more procurement support to the PMU through providing training to the project's procurement officer (based in Suva), assessing his/her performance under the project and taking the necessary corrective measures, or bringing in an additional staff member on an ad hoc basis to reduce procurement delays.</p>		<p>implemented by end of quarter 3 2021</p>
<p>Sustainability</p>	<p>While a broad exit strategy has been developed for the project and aspects of this are inherent in TCAP's design, specific details on sustainability per output can be strengthened to ensure continued management and upscaling of the project's activities once GCF grant funding has been exhausted.</p>	<p>8. Sustainability strategies should be developed for each of the project's outputs. These may be in the form of "live" documents which are reviewed and updated annually to account for in changes in implementation or sustainability developments.</p>	<p>PMU (including CTAs) and RTA</p>	<p>Draft strategies developed by mid-2022</p>
	<p>In terms of the project's coastal protection measures, one of their major contributions to sustained financing after the project is their capability to demonstrate scalable adaptation solutions and to attract finance to upscale and replicate such solutions across all of Tuvalu's vulnerable coast lines.</p>	<p>9. The IE team recommends that the design of a project (or projects) to follow TCAP should be considered under its exit strategy. A recommendation coming out of the IE is that reports, studies, designs of interventions, best practices and lessons learned from TCAP should be shared with GoT and development partners working both in Tuvalu, and across the</p>	<p>PMU, RTA, national project partners</p>	<p>Identify how the design of a follow-up project can be integrated into the project's exit strategy by end 2021</p>

		Pacific region to ensure that knowledge sharing through the project promotes sustainability, as well as replication and upscaling.		Ensure that a knowledge-sharing mechanism is in place by end 2022
	The project has not identified and involved champions (i.e., individuals in government and civil society) who can promote the sustainability of project outcomes.	10. Champions who can promote the sustainability of project outcomes need to be identified through a participatory process, including champions at the community level that represent vulnerable groups (such as women and youth).	PMU, national project partners	Identify champions by mid-2022
Relevance, effectiveness and efficiency	The general findings of the IE are that TCAP's objectives and outcomes are feasible within its timeframe. However, if project efficiency is not increased to mitigate the delays in implementation and progress towards some targets to date (which were related to, amongst other things, project restructuring (mentioned above), changing baseline conditions and COVID-19, the project may not be completed by mid-2024. Areas of the project that may be affected should further delays be experienced in the second half of project implementation include: i) the completion of studies by all of the students and government staff supported by scholarships through Output 1 of the project by mid-2024 (the start of the second round of scholarships has been delayed by the slow processing of scholarships and COVID-19 travel restrictions); ii) the construction of coastal defence measures by mid-2024 as a result of the restructuring of the project in 2019 (following GCF Board approval and the finalization of the amended FAA effective January 2020), the preparation of environmental and social impact assessments (ESIAs) for the three target islands, as well as design plans for the interventions (should COVID-19-related travel restrictions in Tuvalu be lifted in 2021, then it is expected that implementation will be completed within the project's timeframe, if there are no delays in the procurement of and disbursement of funds to construction	11. Should the COVID-19-related travel restrictions in Tuvalu not be lifted in 2021 or significant progress be made on the delivery of Output 3 specifically by the end of 2021, that an extension of 6 months to a year be considered for TCAP.	PMU, RTA, UNDP Pacific Office (Suva) Authorisation: from GCF Secretariat and Board if deemed necessary	Make a decision and approach GCF on the need for a project extension by quarter 1 2022.

	<p>companies and resource suppliers); and iii) the realization of a performance-based grants mechanism under Output 3, which has been delayed by changes to the baseline, with the LoCAL system no longer being available for the project to implement the grants through. Should further delays be experienced then it is unlikely that all of TCAP's objectives and outcomes will be achieved by project completion.</p>			
	<p>The multiyear activity implementation plan is complemented by detailed annual workplans (AWPs), which are developed yearly to guide the implementation of activities. The AWPs allow for tolerance to be embedded into activities as necessary and also inform the updating of the multiyear activity implementation plan as necessary. Additionally, quarterly workplans are developed by the PMU as part of TCAP's progress monitoring and planning. However, the multiyear plan lacks detail on key milestones and significant changes to progress and the implementation plan.</p>	<p>12. The IE team recommends that more detail on key milestones should be added to TCAP's multiyear activity implementation plan, and that any significant changes should be highlighted and explained in APRs. This would include information on potential and expected delays, and any tolerance that has been added to specific activities as a result.</p>	<p>PMU</p>	<p>Detailed multiyear activity implementation plan to be included in 2021 APR (by end of quarter 1 2022)</p>
<p>ToC and Logical framework</p>	<p>The project's Theory of Change (ToC) narrative is coherent and realistic, but the diagram lacks the detail required to provide a clear picture of how change will come about through the project.</p>	<p>13. The IE team recommends that the ToC diagram is updated to:</p> <ul style="list-style-type: none"> o reflect changes that have been made to the logical/results framework since project inception; o include project assumptions presented in the logical/results framework; o clearly indicate how identified risks could impact project viability or sustainability; o include both GCF outcomes relevant to the project; and o include a goal statement for TCAP. 	<p>PMU team (including CTAs) and UNDP RTA</p> <p>Authorisation: UNDP will have bilateral discussions with the GCF Secretariat on the extent and approach for applying the recommended changes to the project design without significant disruptions to the implementation phase. This process is seen as separate to the IE itself.</p>	<p>ToC and logical framework revisions to be included in 2021 APR (by end of quarter 1 2022)</p>
	<p>The IE team has identified an inconsistency in the targets (validated through consultations) that needs to be corrected.</p>	<p>14. Where possible, the wording of targets should be revised to improve their links to the gaps presented in the baseline. Specifically, the target of Indicator 1 should be revised to make it clearer that the project needs to measure the extent to which the updated ISPs address climate change threats. The mid-term and final</p>		

		<p>project targets for Indicator 4: “Number of students that are supported at higher-level studies (tertiary level or higher) on disciplines related to coastal protection work” imply that all 24 students should obtain a CCA-related position in the country once qualified. However, details at the input level of the logical framework suggest that only six students will obtain a CCA-related position once qualified. Details under Indicator 4 in the logical framework need to be updated to reflect the correct mid-term and final project targets.</p>		
	<p>The IE team recommends that additional detail is added to and changes considered for some aspects of the logical framework to improve clarity.</p>	<p>15. Regarding the coastal protection measures under Output 2, more granular detail should be added to the targets. This includes: i) how the number of beneficiaries is disaggregated across the three islands; ii) more detail on how communities in Funafuti will be protected by the land reclamation interventions, for example, it is recommended that the target mention the area of land that will be reclaimed and what that reclamation will mean in terms of adaptation impact (i.e. reclaiming this land will reduce the impacts of sea level and soil erosion etc.); and iii) how the targeted 3,090 m of protected vulnerable coastlines is split across Nanumea and Nanumaga.</p> <p>16. There have been challenges in meeting several mid-term targets (such as those for Indicators 1, 4, 5 and 8). The targets will need to be reviewed and adjusted to what is more appropriate at mid-term. These include: i) Indicator 1: At least two cycles of ISP production — not yet achieved; ii) Indicator 4: At least 24 students (50% women) are supported for higher level studies AND obtain a CCA-related position in the country — this target is not aligned with that is in the budget and was not on track by mid-term (see recommendation 2 above); iii) Indicator 5: All 9 islands of Tuvalu have a coastal assessment report — coastal assessment reports have not been produced by mid-term, although the IE team acknowledges that studies necessary for</p>		

		<p>the report's generation have been completed and could be presented as a revised target; and iv) Indicator 8: All islands have an ISP with specific budgets for development priorities — this has not been achieved by mid-term.</p> <p>17. Achieving a target of 50% of women trained under Output 1 (Indicator 3) — if more than 12 technical officers in total are trained — is likely to be challenging because of gender dynamics in government departments. The IE team recommends that this target is reviewed and adjusted to an achievable percentage, should more than 12 technical officers be trained under the project.</p> <p>18. For indicators 3, 4 and 7, the MoVs need to be reviewed and revised so that impacts/results can be better measured. For Indicator 3, solely generating reports and sharing results from an assessment on a forum will not demonstrate any improved knowledge and awareness about climate change impacts on different genders. Likewise, for Indicator 4, reports are unlikely to show the true impacts on capacity. The IE team recommends that a capacity scorecard is developed to measure how capacity has increased through the training. For Indicator 7, solely generating a report and sharing results from an assessment on a forum will not demonstrate any improved knowledge and awareness about climate change impacts on different genders. It is consequently recommended that the MoV is revised to make it more results oriented.</p> <p>19. The project team must assess which of the assumptions are still relevant at this stage of the project and update, remove and/or add assumptions as necessary.</p>		
Reporting	<p>Through stakeholder consultations, it was evident that the PMU spends a lot of its time on GCF's project reporting requirements. This detracts from time spent on direct project implementation. The addition of the operations CTA Operations to the PMU will</p>	<p>20. The IE team recommends that the PMU develop a reporting strategy/approach that allows them to feed information into the relevant reports on a weekly basis, resulting in less time being spent on developing the major project reports just before they are due. At the time of the IE, TCAP</p>	PMU	Reporting approach/strategy developed by mid-2021

	<p>assist in reducing the amount of time the PMU spends on project reporting.</p>	<p>did not yet have a finalised M&E plan, resulting in a limited contribution of project's M&E data and mechanisms to achieving project results and reports. A M&E framework and matrix are currently under development. Defined terms of reference for M&E are also being developed to further increase the capacity of the PMU to implement the project, undertake adaptive management and improve reporting efficiency. Quarterly reports should also be developed, with the findings discussed in the Annual Progress Reports (APRs), which are formally submitted to the GCF each year of project implementation as required by the AMA and FAA.</p>		
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6. Lessons learned

Numerous lessons learned were generated through the IE process, which can assist partners such as UNDP and GCF improve both the development and implementation of their projects, particularly those with a similar context to TCAP. Lessons learned are presented in Table 5 below.

Table 5. Lessons learned generated through the TCAP IE process.

Project aspect	Lesson learned
Project management/implementation arrangements	<ul style="list-style-type: none"> • When employing a split PMU model, ensure that enough capacity is present across all staff prior to project implementation or that capacity gaps are identified and filled at inception to prevent any inefficiencies in implementation — such as safeguards, M&E and gender — and that roles, responsibilities and reporting arrangements are clear to all staff. • Ensure that the procurement needs of the project are adequately considered during project design, including identifying any possible areas where procurement could be delayed or implemented locally so that adequate resources and capacity can be allocated from inception. • When designing a project to be implemented on multiple islands of a SIDS, it is recommended that local community members from all islands have a representative on the PMU (based on his/her home island) to ensure ease of information sharing, access to the GRM, monitoring of progress and safeguards on the ground amongst other things.
Project design	<ul style="list-style-type: none"> • To avoid the need for the redesigning of on-the-ground interventions during project implementation, it is essential that adequate technical studies are budgeted for and carried out during project preparation. Furthermore, the designs of these interventions should be unanimously supported by all relevant stakeholders, and integrate local knowledge and preferences.
Sustainability	<ul style="list-style-type: none"> • As financial sustainability of projects post closure is often a challenge, the project's exit strategy should remain a live document, updated as necessary, during project implementation to ensure that sustainability is prioritised and all potential opportunities identified by project closure.
Finance	<ul style="list-style-type: none"> • To avoid any delays in the procurement of minor goods and services by the PMU, ensure that a mechanism for PCH is considered during project design, and that Responsible Parties are identified to allow LoAs, transfer of funds and management by implementing partners. During the Funding Proposal development stage, only MEYS was nominated as a Responsible Party when it has subsequently become evident that PWD, DoE, DLG and CCD could also have been nominated. Earlier identification of all Responsible Parties for the project will avoid delays around funding requests and justifications, as well as assist in preventing any delays in project implementation.

7. Annexes

7.1. Interim Evaluation ToR (excluding ToR annexes)

Terms of Reference Ref: PN/FJ/115/20

Title:	International Mid Term Evaluator
Unit:	Resilience and Sustainable Development, UNDP Pacific Office, Suva, Fiji
Project Name:	Tuvalu Coastal Adaptation Project
Duty Station:	Homebased
Duration of Contract:	30 Days over a time period of 16 weeks and shall not exceed 5 months from when the Consultant is hired.
Commencement and End Date:	27 November 2020 – 25 February 2021.
Closing Date of Application:	October 23, 2020

Consultancy Proposal (CV & Financial proposal Template, Methodology and workplan) should be uploaded on UNDP Job shop website(https://jobs.undp.org/cj_view_jobs.cfm?cur_rgn_id_c=RAS) no later than 23rd October 2020 (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. 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.

NOTE:

Proposals must be sent through UNDP job shop web page. Candidates need to upload their CV and financial proposal -using UNDP template - This should be scanned as 1 PDF document

If the selected/successful Candidate is over 65 years of age and required to travel outside his home country; He/she will be required provide a full medical report at their expense prior to issuance to contract. Contract will only be issued when Proposed candidate is deemed medically fit to undertake the assignment.

Background

The Tuvalu Coastal Adaptation Project (TCAP) financed by the Green Climate Fund (GCF) was approved in June 2016 and the project implementation commenced in September 2017. The primary focus of the project is to put in place robust coastal protection measures in the three islands of Funafuti, Nanumea and Nanumaga; and by building institutional and community-level capacities to prepare for the impact of increasingly intensive wave actions in the country.

While the construction of physical defence is considered one of the urgent actions required to reduce Tuvalu's extreme vulnerability, the Government of Tuvalu is acutely aware that there is a considerable need to invest in long-term resilience of the country and that it can be achieved only by strengthening the ability of each of the nine islands to identify, plan for and execute locally relevant adaptation actions.

In response, the design of the TCAP project also contains a component whereby islands councils (Kaupules) and communities will receive assistance in facilitating participatory consultations, identifying climate change adaptation priorities, reflecting the priorities in the island investment plan, executing priority actions and monitoring results.

The total GCF funds for this project are US\$36,010,000 with government co-financing of US\$2,860,000. The project document was signed on the 21st of July 2017. The Accredited Entity for this project is the United Nations Development Programme (UNDP), whilst the Executing Agency (EA) is the Ministry of Finance (MoF). The Responsible Parties are the Ministry of Education, Youth & Sports (MEYS), Ministry of Works, Transport and Infrastructure (MWTI), Department of Local Government & Environment.

Tuvalu in COVID-19

A national state of emergency has been in place since 21st of March 20, restricting flights to and from the country and limiting public gatherings. To date, Tuvalu does not have confirmed cases of COVID-19. The Government of Tuvalu is focused on prevention of an outbreak, implementing strict point of entry arrangements. With this controls in place, the project has experienced delays in project implementation with procurement and implementation of infrastructure works, postponed consultations and activities with communities.

Objectives

The objective of this consultancy is to undertake the Interim Evaluation of the Tuvalu Coastal Adaptation Project.

OBJECTIVES OF THE INTERIM EVALUATION

The Interim Evaluation will assess implementation of the TCAP and its alignment with Funded Activity Agreement (FAA) obligations and progress towards the achievement of the TCAP objectives and outcomes as specified in the Project Document. The evaluation will assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results.

The Interim Evaluation will assess the following: -

1. Implementation and adaptive management
2. Risks to sustainability
3. Relevance, effectiveness, and efficiency of projects and programmes
4. Coherence in climate finance/delivery with other multilateral entities
5. Gender equity
6. Country ownership of projects and programmes
7. Innovativeness in results areas (extent to which interventions may lead to paradigm shift towards low emission and climate resilient development pathways):
8. Replication and scalability – the extent to which the activities can be scaled up in other locations within the country or replicated in other countries (this criterion, which is considered in document GCV/B.05/03 in the context of measuring performance could also be incorporated in independent evaluations); and
9. Unexpected results, both positive and negative

1. INTERIM EVALUATION APPROACH & METHODOLOGY

The Interim Evaluation must provide evidence-based information that is credible, reliable and useful. The Interim Evaluation team will review all relevant sources of information including documents prepared during the preparation phase (i.e. baseline Funding proposal submitted to the GCF, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Performance Reports (APR), Quarterly Progress Reports (QPR), project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review).

The Interim Evaluation team, comprising of a home-based lead Evaluator (international consultant) and support consultant (national consultant), is expected to follow a collaborative and participatory approach¹⁵ ensuring close engagement with the Project Team, government counterparts (the GCF National Designated Authority), the UNDP Multi-country Office, UNDP-GEF Regional Technical Specialist, and other key stakeholders

Engagement of stakeholders is vital to a successful Interim Evaluation.¹⁶ Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to the *Ministry of Finance and responsible parties are the MEYS, PWD, DLG, DOE and DCC, relevant community members and beneficiaries*; senior officials and team leaders, key experts and consultants in the subject area, GCF-TCAP Board, Kaupules, project stakeholders, academia, communities and villages and Civil Society Organizations (CSOs) etc. Additionally, the Interim Evaluation team is expected to conduct field missions to the project sites in Tuvalu.

As of 11 March 2020, The World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to Tuvalu has been restricted since 21 March 2020 and travel is currently not restricted within the country but there are some restrictions on public gatherings.

Due to the travel restrictions, the lead evaluator will be home-based and will work closely with the national consultant in engaging stakeholders via virtual consultations via telephone or online (Zoom, Skype, etc.). Field missions will be conducted by the national consultant and findings shared with the lead evaluator. Furthermore, all stakeholder engagement will be strongly supported by the PMU in Tuvalu. Consideration should be taken for stakeholder availability, ability, and willingness to be interviewed remotely and the constraints this may place on the Interim Evaluation. These limitations must be reflected in the final Interim Evaluation report. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

The Interim Evaluation team is expected to develop a methodology and approach that considers the COVID-related restrictions. This will require the use of remote interview methods, extended desk reviews, data analysis, surveys and evaluation questionnaires. These approaches and methodologies must be detailed in the Inception Report and agreed with the Commissioning Unit.

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

I. DETAILED SCOPE OF THE INTERIM EVALUATION

The Interim Evaluation team will assess the following categories of project progress.

Project Strategy

Project design:

¹⁵ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

¹⁶ For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, considered during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of the [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#) for further guidelines. If there are major areas of concern, recommend areas for improvement.

Results Framework/Log frame:

- Undertake a critical analysis of the project's log frame indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Examine if progress so far has led to or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

Relevance, Effectiveness and Efficiency

- Were the context, problem, needs and priorities well analysed and reviewed during project initiation? Are the planned project objectives and outcomes relevant and realistic to the situation on the ground?
- Is the project Theory of Change (ToC) and intervention logic coherent and realistic? Does the ToC and intervention logic hold, or does it need to be adjusted?
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Do outputs link to intended outcomes which link to broader paradigm shift objectives of the project?
- Are the planned inputs and strategies identified realistic, appropriate and adequate to achieve the results? Were they sequenced sufficiently to efficiently deliver the expected results?
- Are the outputs being achieved in a timely manner? Is this achievement supportive of the ToC and pathways identified?
- What and how much progress has been made towards achieving the overall outputs and outcomes of the project (including contributing factors and constraints)?
- To what extent is the project able to demonstrate changes against the baseline (assessment in approved Funding Proposal) for the GCF investment criteria (including contributing factors and constraints)?
- How realistic are the risks and assumptions of the project?
- How did the project deal with issues and risks in implementation?
- To what extent did the project's M&E data and mechanism(s) contribute to achieving project results?
- Have project resources been utilized in the most economical, effective and equitable ways possible (considering value for money; absorption rate; commitments versus disbursements and projected commitments; co-financing; etc.)?

- Are the project’s governance mechanisms functioning efficiently?
- To what extent did the design of the project help or hinder achieving its own goals?
- Were there clear objectives, ToC and strategy? How were these used in performance management and progress reporting?
- Were there clear baselines indicators and/or benchmark for performance measurements? How were these used in project management? To what extent and how the project applies adaptive management?
- What, if any, alternative strategies would have been more effective in achieving the project objectives?

Progress Towards Results

Progress Towards Outcomes Analysis:

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

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

Project Strategy	Indicator ¹⁷	Baseline Level ¹⁸	Level in 1 st APR (self-reported)	Midterm Target ¹⁹	End of project Target	Midterm Level & Assessment ²⁰	Achievement Rating ²¹	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

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

- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

Project Implementation and Adaptive Management

¹⁷ Populate with data from the Logframe and scorecards

¹⁸ Populate with data from the Project Document

¹⁹ If available

²⁰ Color code this column only

²¹ Use the 6-point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

Management Arrangements:

Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.

- Review the quality of execution of the Executing Entity and recommend areas for improvement.
- Review the quality of support provided by the Accredited Entity (UNDP) and recommend areas for improvement.

Work Planning:

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

Finance and co-finance:

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

Coherence in climate finance delivery with other multilateral entities:

- Who are the partners of the project and how strategic are they in terms of capacities and commitment?
- Is there coherence and complementarity by the project with other actors for local other climate change interventions?
- To what extent has the project complimented other on-going local level initiatives (by stakeholders, donors, governments) on climate change adaptation or mitigation efforts?
- How has the project contributed to achieving stronger and more coherent integration of shift to low emission sustainable development pathways and/or increased climate resilient sustainable development (GCF RMF/PMF Paradigm Shift objectives)? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

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

Reporting:

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

Communications:

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

Sustainability

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

Financial risks to sustainability:

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

Socio-economic risks to sustainability:

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

Institutional Framework and Governance risks to sustainability:

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

Environmental risks to sustainability:

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

Country Ownership

- To what extent is the project aligned with national development plans, national plans of action on climate change, or sub-national policy as well as projects and priorities of the national partners?
- How well is country ownership reflected in the project governance, coordination and consultation mechanisms or other consultations?
- To what extent are country level systems for project management or M&E utilized in the project?
- What level and types of involvement for all Is the project as implemented responsive to local challenges and relevant/appropriate/strategic in relation to SDG indicators, National indicators, GCF RMF/PMF indicators, AE indicators, or other goals?
- Were the modes of deliveries of the outputs appropriate to build essential/necessary capacities, promote national ownership and ensure sustainability of the result achieved?

Gender equity

- Does the project only rely on sex-disaggregated data per population statistics?
- Are financial resources/project activities explicitly allocated to enable women to benefit from project interventions?
- Does the project account in activities and planning for local gender dynamics and how project interventions affect women as beneficiaries?
- Do women as beneficiaries know their rights and/or benefits from project activities/interventions?
- How do the results for women compare to those for men?
- Is the decision-making process transparent and inclusive of both women and men?
- To what extent are female stakeholders or beneficiaries satisfied with the project gender equality results?
- Did the project sufficiently address cross cutting issues including gender?

Innovativeness in results areas

- What role has the project played in the provision of "thought leadership," "innovation," or "unlocked additional climate finance" for climate change adaptation/mitigation in the project and country context? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

Unexpected results, both positive and negative

- What has been the project's ability to adapt and evolve based on continuous lessons learned and the changing development landscape? Please account for factors both within the AE/EE and external.
- Can any unintended or unexpected positive or negative effects be observed as a consequence of the project's interventions?
- What factors have contributed to the unintended outcomes, outputs, activities, results?

Replication and Scalability

- What are project lessons learned, failures/lost opportunities to date? What might have been done better or differently?
- How effective were the exit strategies and approaches to phase out assistance provided by the project including contributing factors and constraints?
- What factors of the project achievements are contingent on specific local context or enabling environment factors?
- Are the actions and results from project interventions likely to be sustained, ideally through ownership by the local partners and stakeholders?
- What are the key factors that will require attention in order to improve prospects of sustainability, scalability or replication of project outcomes/outputs/results?

Impact of COVID-19

- Review of the impact of COVID-19 on overall project management, implementation and results (including on indicators and targets).
-
- Assess the project's response to COVID-19 impacts including and not limited to responses related to stakeholder engagement, management arrangements, work planning and adaptive management actions.

Conclusions & Recommendations

The Interim Evaluation team will include a section of the report setting out the Interim Evaluation's evidence-based conclusions, in light of the findings.²²

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#) for guidance on a recommendation table.

The Interim Evaluation team should make no more than 15 recommendations total.

Ratings

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

Table. Interim Evaluation Ratings & Achievement Summary Table for GCF Vaisigano Catchment Project

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

²² Alternatively, Interim Evaluation conclusions may be integrated into the body of the report.

	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	
II EXPECTED OUTCOMES & DELIVERABLES		

#	Deliverable	Description	Timing	Responsibilities
1	Interim Evaluation Inception Report	Interim Evaluation team clarifies objectives and methods of Midterm Review	30 November 2020	Interim Evaluation Team submits to Commissioning Unit and MoF/Project Management
2	Presentation	Initial Findings	01 February 2020	Interim Evaluation Team presents to MoF/Project Management Unit (GCF-PMU) and the Commissioning Unit
3	Draft Interim Evaluation Report	Full report (using guidelines on content outlined in Annex B) with annexes	12 February 2021	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, MoF/GCF NDA/GCF-PMU
4	Final Interim Evaluation Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final Interim Evaluation report	24 February 2021	Sent to the Commissioning Unit

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

Institutional Arrangements

The principal responsibility for managing this Interim Evaluation resides with the Commissioning Unit. The Commissioning Unit for this project's Interim Evaluation is the UNDP Pacific Office for Fiji, Solomon Islands, Vanuatu, Tonga, Tuvalu, Kiribati, Nauru, Republic of Marshall Is, Palau & Federates States of Micronesia.

The UNDP Pacific Office Fiji, Solomon Islands, Vanuatu, Tonga, Tuvalu, Kiribati, Nauru, Republic of Marshall Islands, Palau & Federated States of Micronesia based in Fiji and the MoF/TCAP Project Management Unit (PMU) will be responsible for liaising with the Interim Evaluation team to provide all relevant documents, set up stakeholder interviews, and arrange field visits for the National Consultant, etc.

A. Duration of the Work:

The tentative Interim Evaluation timeframe is as follows:

COMPLETION DATE	NUMBER OF WORKING DAYS	ACTIVITY
27 November 2020		Prep the Interim Evaluation Team (handover of Project Documents)
27 November – 08 December 2020	8 working days	Document review and preparing Interim Evaluation Inception Report
08 December 2020		Submission of Draft Inception Report by lead consultant
11 December 2020		Finalization and Validation of Interim Evaluation Inception Report- latest start of Interim Evaluation mission
15 December 2020 – 1 February 2021	10 working days	Interim Evaluation mission: stakeholder meetings, interviews, field visits
1 February 2021		Mission wrap-up meeting & presentation of initial findings.
1-12 February 2021	7 working days	Preparing draft IE report
12-17 February 2021	5 working days	Incorporating audit trail from feedback on draft report/Finalization of Interim Evaluation report (note: accommodate time delay in dates for circulation and review of the draft report)
17 February 2021		Submission of Full Final Report
19 February 2021		Feedback on Full Final Report (final comments)
24 February 2021		Expected date of full Interim Evaluation Report completion and acceptance

Options for site visits should be provided in the Inception Report.

Supervision/Reporting

- The Consultant will report to the TCAP Project Manager.

<p>Requirement for Qualifications & Experience</p> <ul style="list-style-type: none"> ▪ Minimum Master’s Degree in Environmental/climate science, Development Studies/International Development, Geography, coastal engineering or other closely related field (10%) ▪ Recent experience with result-based management evaluation methodologies and SMART indicators (15%) ▪ Competence in adaptive management, as applied to Climate Change Adaptation (10%); ▪ Experience working with the GCF or GEF-evaluations (10%); ▪ Experience working in the island nation of Tuvalu or the Pacific (5%); ▪ Experience working in SIDS (5%) ▪ Work experience in relevant technical areas (coastal protection, climate change adaptation) for at least 10 years (5%); ▪ Demonstrated understanding of issues related to gender and climate change adaptation; experience in gender sensitive evaluation and analysis (5%). <p>☐</p> <ul style="list-style-type: none"> ▪ Project evaluation/review experiences within United Nations system will be considered an asset (5%) <p>Language</p> <ul style="list-style-type: none"> ▪ Fluency in English – both written and oral is required <p>Compliance with UN Core Values</p> <ul style="list-style-type: none"> ▪ Demonstrates integrity by modelling the UN’s values and ethical standards; ▪ Promotes the vision, mission, and strategic goals of UNDP; ▪ Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability; ☐ Treats all people fairly without favouritism; ▪ Fulfils all obligations to gender sensitivity and zero tolerance for sexual harassment;

☐ EVALUATION CRITERIA

The Consultant will be evaluated based on the qualifications and the years of experience, as outlined in the Requirements for Qualification & Experience” section. In addition, the consultant will also be evaluated on the following:

- Technical Criteria weighting – 70%
- Financial Criteria weighting – 30%

The proposal with the highest cumulative scoring will be awarded the contract.

Only candidates obtaining a minimum of 49 points in the Technical Evaluation would be considered for the Financial Evaluation. Interviews may be conducted as part of technical assessment for shortlisted proposals.

Evaluation Matrix for both Technical & Financial proposals

No.	Evaluation Criteria	Points	Percentage
	Technical Evaluation		

1	Minimum Masters Degree in Environmental/Climate Science, Development studies/International Development, Geography, Coastal Engineering or other closely related field	10	10%
2	Recent experience with result-based management evaluation methodologies and SMART indicators	15	15%
3	Competence in adaptive management, as applied to Climate Change Adaptation	10	10%
4	Experience working with the GCF or GEF-evaluation	10	10%
5	Experience working in the island nation of Tuvalu or the Pacific	5	5%
6	Experience working in SIDS	5	5%
7	Work experience in relevant technical areas (coastal protection, climate change adaptation) for at least 10years	5	5%
8	Demonstrated understanding of issues related to gender and climate change adaptation; experience in gender sensitive evaluation and analysis	5	5%
9	Project evaluation/review experiences within United Nations system will be considered an asset	5	5%
	Total – Technical Evaluation		70%
	Financial Evaluation		
1	Lowest price		30%
	TOTAL		100%

Payment Schedule

All payments will be authorized by the Deputy Team Leader RSD, UNDP Pacific Office, Fiji - in close consultation with the TCAP Project Manager who is based in Tuvalu.

DELIVERABLES	DUE DATE	AMOUNT
Upon approval and certification by the Commissioning Unit of the Final Interim Evaluation <u>Inception Report</u>	11 December 2020	20%
Upon approval and certification by the Commissioning Unit of the draft Interim Evaluation Report	17 February 2021	30%

Upon approval and certification by the Commissioning Unit and the UNDP-GCF RTA of the final interim Evaluation report and Audit Trail	24 February 2021	50%
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Daily Fee

The IC shall quote an all-inclusive Daily Fee for this consultancy work. The term “all-inclusive” implies that all costs (professional fees, communications, consumables, etc.) that could be incurred by the IC in completing the assignment are already factored into the daily fee submitted in the proposal. If applicable, travel or daily allowance cost (if any work is to be done outside the IC’s duty station) should be identified separately.

General Notes on Financial Offer

- UNDP shall not accept travel costs exceeding those of an economy class ticket. Should the Consultant wish to travel on a higher class he/she should do so using his/her 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 UNDP and the Individual Consultant, prior to travel and will be reimbursed;

Shortlisted Candidates

Shortlisted candidates may be contacted for an interview.

Offerors must send the following documents.

- i) **Completed template for confirmation of Interest and Submission of Financial Proposal**
- ii) **CV including names/contacts of at least 3 professional referees.**
- iii) **A cover letter indicating why the candidate considers himself/herself suitable for the required consultancy**
- iv) **A brief methodology on how you will approach and conduct the work (2 pages maximum)**

Individuals applying for this consultancy will be reviewed based on their own individual capacity. The successful individual may sign an Individual Contract with UNDP or request his/her employer to sign a Reimbursable Loan Agreement (RLA) on their behalf by indicating this in the Offerors letter to Confirming Interest and Availability

Proposal Submission

- All applications shall be clearly marked with the title of the consultancy and submitted by 30th Nov 2020
 - For further information concerning this Terms of Reference, please contact UNDP Pacific Office by email: procurement.fj@undp.org
- Incomplete or joint proposals and proposals submitted via medium other than the one indicated in the TOR will not be accepted. Only bidders for whom there is further interest will be contacted

7.2. *Interim Evaluation evaluative matrix*

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
Is the project design aligned with Tuvalu's development priorities and plans?	Alignment of project design with priorities presented in national policies, plans and strategies.	Project documents and national policies, plans and strategies.	Document analysis, and interviews with project staff and stakeholders.
Were the perspectives of those affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process considered during the design of TCAP?	Relationships established Project design Participatory implementation approach Specific activities implemented	Project documents, project staff, UNDP staff.	Document analysis, and interviews with project staff and stakeholders.
Are the project Theory of Change (ToC) and intervention logic coherent and realistic? Do the ToC and intervention logic hold at the project mid-term, or does it need to be adjusted?	ToC and intervention logic	Project documents, project staff, UNDP staff, and data collected throughout the IE process.	Document analysis, and interviews with project staff and stakeholders.
Are the planned project objectives and outcomes relevant and realistic to the situation on the ground?	Project design Specific activities conducted Project results	Project documents, project staff, UNDP staff, and data collected throughout the IE process.	Document analysis, and interviews with project staff and stakeholders.
Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?	Coherence between project design and implementation approach Quality of risk mitigation strategies Delays and results to date	Project documents and reports, project staff, UNDP staff, and data collected throughout the IE process.	Document analysis, and interviews with project staff and stakeholders.
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Are the planned inputs and strategies identified realistic, appropriate, and adequate to achieve the results? Were they sequenced sufficiently to deliver the expected results efficiently?	Coherence between project design and implementation approach Activities conducted Results	Project documents and reports, project staff, UNDP staff, and data collected throughout the IE process.	Document analysis, and interviews with project staff and stakeholders.
What and how much progress has been made towards achieving the overall outputs and outcomes of TCAP (including contributing factors and constraints)?	Activities implemented Results Disbursement of finances	Project documents and reports (including logical framework; M&E reporting and APRs), project staff, UNDP staff, and	Document analysis, interviews with project staff and stakeholders, and field site visits.

	Quality of risk mitigation strategies	data collected throughout the IE process.	
Are the outputs being achieved on time? Is this achievement supportive of the ToC and pathways identified?	Activities implemented Results to date Disbursement of finances Quality of risk mitigation strategies	Project documents and reports (including logical framework, ToC, M&E reporting, implementation timetable and APRs), project staff, UNDP staff, and data collected throughout the IE process.	Document analysis, interviews with project staff and stakeholders, and field site visits.
To what extent did the project's M&E data and mechanism(s) contribute to achieving project results?	M&E plan implementation Lessons learned Remedial measures Design updates Adaptive management	M&E plan and reporting, APRs, project staff, UNDP staff, and data collected throughout the IE process.	Document analysis, interviews with project staff and stakeholders, and field site visits.
To what extent has TCAP's design helped or hindered the achievement of project goals to date?	Level of coherence between project design and implementation approach Delays to date	Project documents and reports (such as APRs), project staff, UNDP staff, and data collected throughout the IE process.	Document analysis, and interviews with project staff and stakeholders.
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Are the TCAP's governance mechanisms functioning efficiently?	Relationships between PMU and project partners Results and delays to date Adaptive management	Project reports (such as APRs), project staff, UNDP staff, and data collected throughout the IE process.	Document analysis, and interviews with project staff and stakeholders.
Have TCAP's resources been utilized in the most economical, effective, and equitable ways possible (considering value for money; absorption rate; commitments versus disbursements and projected commitments; co-financing; etc.)?	Results related to disbursements Commitments versus disbursements and projected commitments Co-financing disbursements	Project budget, audit and financial reports, workplans, APRs, and project and UNDP staff.	Document analysis, and interviews with project staff and stakeholders.
Is TCAP complying with all conditions and covenants of the FAA as relates to timing of submissions?	Report submissions	Progress reports (including APRs), and project and UNDP staff.	Document analysis, and interviews with project staff and stakeholders.

How did the project address issues and risks to implementation to date?	Risk log Lessons learned Adaptive management responses Delays and results	Project documents, progress reports (including APRs), and project and UNDP staff.	Document analysis, and interviews with project staff and stakeholders.
Are planning processes results based?	Results-based workplans M&E plan Use of logframe as a management tool	Annual workplans, logical framework, progress reports (including APRs), and project and UNDP staff.	Document analysis, and interviews with project staff and stakeholders.
Are strong financial controls in place that allow for project management to make informed decisions regarding the budget at any time and allow for the timely flow of funds and the payment of satisfactory project deliverables?	Results related to disbursements Commitments versus disbursements and projected commitments Co-financing disbursements	Project budget, audit and financial reports, workplans, APRs, and project and UNDP staff.	Document analysis, and interviews with project staff and stakeholders.
Is TCAP's M&E plan appropriate and has it been implemented effectively?	M&E plan Lessons learned Adaptive management	M&E plan, project reports (such as APRs), and project and UNDP staff.	Document analysis, and interviews with project staff and stakeholders.
How have follow-up actions and/or adaptive management, been taken in response to the APRs?	Workplans Activities conducted Progress improvements	M&E plan, project reports (such as APRs), and project and UNDP staff.	Document analysis, and interviews with project staff and stakeholders.
How well have Project Team and partners undertaken and fulfilled GCF reporting requirements (i.e., how have they addressed poorly rated APRs?), and implemented resulting remedial actions?	Reports Remedial actions Improvements on reporting	Project reports (such as APRs), and project and UNDP staff.	Document analysis, and interviews with project staff and stakeholders.
Are internal and external project communications with stakeholders effective?	Awareness-raising material Project website	Stakeholders, project website, communication products, and project and UNDP staff.	Document analysis, and interviews with project staff and stakeholders.
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
What are the financial risks to the sustainability of TCAP?	Risk log	Project documents, and reports (including APRs) project staff, UNDP staff, and data collected throughout the IE process.	Document analysis, interviews with project staff and stakeholders, and field site visits.

<p>What needs and opportunities are there for financial sustainability?</p>	<p>Risk log and mitigation measures Exit strategy</p>	<p>Project documents, and reports (including APRs) project staff, UNDP staff, and data collected throughout the IE process.</p>	<p>Document analysis, interviews with project staff and stakeholders, and field site visits.</p>
<p>Are there any social or political risks to project sustainability?</p>	<p>Risk log</p>	<p>Project documents, and reports (including APRs) project staff, UNDP staff, and data collected throughout the IE process.</p>	<p>Document analysis, interviews with project staff and stakeholders, and field site visits.</p>
<p>Are there any institutional or governance risks to project sustainability?</p>	<p>Risk log</p>	<p>Project documents, and reports (including APRs) project staff, UNDP staff, and data collected throughout the IE process.</p>	<p>Document analysis, interviews with project staff and stakeholders, and field site visits.</p>
<p>Has TCAP developed the appropriate institutional capacity that will be self-sufficient after project closure?</p>	<p>Activities implemented Capacity-building plans Exit strategy</p>	<p>Project documents, and reports (including APRs) project staff, UNDP staff, and data collected throughout the IE process.</p>	<p>Document analysis, interviews with project staff and stakeholders, and field site visits.</p>

7.3. Example Questionnaire or Interview Guide used for data collection

Questionnaires/interview guides were developed for three stakeholder levels; local, national and project. As an example, the local-level questionnaire/interview guide is presented below.

Question matrix for local-level stakeholders

The questions set out below will contribute to the evaluation of the performance of TCAP to date. Please answer the questions below in an honest manner. It is understood that not all stakeholders will be able to provide answers to all of the questions and respects the choice of an individual to not answer a question. The questions will be discussed further during the virtual of face-to-face meetings. Any clarifications will be provided during these meetings. Should an individual wish to also provide written answers to the questions, space to do so has been provided below. The Interim Evaluation team:

- respects the right of individuals not to engage and requests that those who are willing to answer the questions below honestly;
- will ensure that the anonymity and confidentiality of all informants will be protected throughout the evaluation process;
- respects people's right to provide information in confidence and will ensure that sensitive information cannot be traced to its source;
- is committed to being sensitive to the beliefs, manners and customs of all stakeholders interviewed, as well as to act in integrity and honesty during the evaluation process; and
- will be sensitive to and address issues of discrimination and gender equality during the valuation process.

Name and gender		
Island		
Institution and position/community/livelihood		
Date		
#	Question	Response
Project design		
1	Were your perspectives and needs considered during the design of TCAP?	
Relevance, effectiveness, and efficiency		

1	Is the project relevant and realistic to your needs and the impacts of climate change on your community (sea-level rise and increase in tropical cyclone occurrence)?	
2	Do you think that the project will be completed by 2024? If not, why?	
3	Do you think that project implementation being managed effectively?	
Project implementation and adaptive management		
1	Do you know who the project representatives are and how to contact them?	
2	Does the project team inform you of any changes, updates or delays to project implementation?	
3	Have you in anyway been involved in or contributed to monitoring the progress of the project?	
4	Has the project developed strong relationships with stakeholders and communities on the island?	
5	Do you support the objectives of TCAP on your island?	
6	Is there enough stakeholder awareness of and participation in TCAP's activities on your island?	

7	Does the project communicate regularly and effectively with stakeholders on your island?	
Risks to project sustainability		
1	Are local stakeholders committed to the long-term success and sustainability of the project? If not, why and what can be done to improve this?	
2	Are there any social or political risks on your island that may negatively impact TCAP's sustainability?	
2	Has the project identified and involved champions on your island who can promote the sustainability of TCAP?	
Country ownership		
1	Is the project building capacities and promoting support for its objectives on your island?	
Gender equity		
1	Are gender dynamics and women being accounted for in TCAP's activities?	
2	Are the views of women being considered during project meetings?	
3	For female stakeholders only: are you satisfied that the project is doing enough to include and support women?	

Unexpected results	
1	Has the project resulted in any unexpected results on your island (positive or negative) to date, i.e., results not planned for?
Replication and scalability	
1	Have there been any failures/lost opportunities under the project to date? Can anything be done better or differently?
Recommendations	
1	What has the project done well?
2	What has the project not done well?
3	Do you have any recommendations for improving the implementation of the project?

7.4. Ratings Scales

Progress Towards Results Rating Scale

Rating	Description
Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets without major shortcomings. The progress towards the objective/outcome can be presented as "good practice".
Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets and is not expected to achieve any of its end-of-project targets.

Project Implementation and Adaptive Management Rating Scale

Rating	Description
Highly Satisfactory (HS)	Implementation of all eight components – management arrangements, work planning, finance and co-finance, coherence in climate finance delivery with other multilateral entities, 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".
Satisfactory (S)	Implementation of most of the eight components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
Moderately Satisfactory (MS)	Implementation of some of the eight components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
Moderately Unsatisfactory (MU)	Implementation of some of the eight components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
Unsatisfactory (U)	Implementation of most of the eight components is not leading to efficient and effective project implementation and adaptive management.
Highly Unsatisfactory (HU)	Implementation of none of the eight components is leading to efficient and effective project implementation and adaptive management.

Sustainability Rating Scale

Rating	Project Objectives
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
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 IE
Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

7.5. Interim Evaluation mission itinerary

Date	Site	Details of travel	Activities	Anticipated challenges
25-29 January 2021	Funafuti	The national consultant will travel to consultations and interventions site by motorcycle	<p><u>Key informant interviews with District/Local Government representatives</u></p> <ul style="list-style-type: none"> i. Assistant Chief of the Funafuti Community ii. Representative from the elders/leaders of the Funafuti Community (known locally as Falekaupule members) iii. Secretary of Funafuti Kaupule (local government/council) iv. Representative of Funafuti Kaupule's councillors v. Representative from staff of Funafuti Kaupule vi. Representative from the Fusi Alofa (a local NGO that was established to look after the social welfare of people with disabilities) <p><u>Key informant interviews with Community representatives</u></p> <ul style="list-style-type: none"> i. Representative of the local fishermen's group ii. Representative of the women's group iii. Representative of the youth group iv. Representative of the coastal community directly benefitting from the project (including landowners) <p><u>Project site visit</u></p> <p>Although the implementation of on-the-ground interventions at the site have not been initiated yet, the national consultant will visit during consultations with local stakeholders</p>	<p><u>Challenge:</u> Arranging meetings with all the identified stakeholders will be challenging. Based on previous experiences, local communities and stakeholders in Funafuti do not always attend scheduled group meetings.</p> <p><u>Solution:</u> To ensure that the IE team interviews all stakeholders, the national consultant will conduct face-to-face interviews with each of the identified informants.</p>
26-28 February 2021	Nanumaga	The national consultant will travel to Nanumaga by ship and hire a motorbike for travel around the island	<p>A central venue will be identified (with support from the Nanumaga Kaupule) for the key informant interviews.</p> <p><u>Key informant interviews with District/Local Government representatives</u></p> <ul style="list-style-type: none"> i. Chief of the Nanumaga Community ii. Representative from the elders/leaders of the Nanumaga Community (known locally as Falekaupule members) iii. Secretary of Nanumaga Kaupule (local government/council) iv. Representative of Nanumaga Kaupule's councillors v. Representative of staff of Nanumaga Kaupule vi. Representative from the Fusi Alofa (a local NGO that was established to look after the social welfare of people with disabilities) 	<p><u>Challenge:</u> The transport ship only docks at the island's port for several hours to offload goods, only returning in several weeks. Therefore, there is a limited time period for the national consultant to conduct his consultations.</p> <p><u>Solution:</u> A venue for the consultations will be booked beforehand. All consultations will be scheduled at this venue over the time when the consultant is on the island to make sure that they are all completed during the available time.</p> <p><u>Challenge:</u> The national consultant cannot travel to Nanumaga unless approval is given by the Government's Local Government Department and Local Governments/Council of Nanumaga Islands.</p>

			<p><u>Key informant interviews with Community representatives</u></p> <ul style="list-style-type: none"> i. Representative of the local fishermen's group ii. Representative of the women's group iii. Representative of the youth group iv. Representative of the coastal community directly benefitting from the project (including landowners) 	<p><u>Solutions:</u> i) TCAP PMU will facilitate approval of the trip with the relevant authorities; or ii) the trip will be postponed until February when the ship travels to the island again (the ship travels to the island twice a month).</p>
			<p><u>Project site visit</u></p> <p>Although the implementation of on-the-ground interventions at the site have not been initiated yet, the national consultant will visit during consultations with local stakeholders</p>	
26-28 February 2021	Nanumea	The national consultant will travel to Nanumea by ship and hire a motorbike for travel around the island	<p>A central venue will be identified (with support from the Nanumea Kaupule) for the key informant interviews.</p> <p><u>Key informant interviews with District/Local Government representatives</u></p> <ul style="list-style-type: none"> i. Chief of the Nanumea Community ii. Representative from the elders/leaders of the Nanumea Community (known locally as Falekaupule members) iii. Secretary of Nanumea Kaupule (local government/council) iv. Representative of Nanumea Kaupule's councillors v. Representative of staff of Nanumea Kaupule vi. Representative from the Fusi Alofa (a local NGO that was established to look after the social welfare of people with disabilities) <p><u>Key informant interviews with Community representatives</u></p> <ul style="list-style-type: none"> i. Representative of the local fishermen's group ii. Representative of the women's group iii. Representative of the youth group iv. Representative of the coastal community directly benefitting from the project (including landowners) <p><u>Project site visit</u></p> <p>Although the implementation of on-the-ground interventions at the site have not been initiated yet, the national consultant will visit during consultations with local stakeholders</p>	<p><u>Challenge:</u> The transport ship only docks at the island's port for several hours to offload goods, only returning in several weeks. Therefore, there is a limited time period for the national consultant to conduct his consultations.</p> <p><u>Solution:</u> A venue for the consultations will be booked beforehand. All consultations will be scheduled at this venue over the time when the consultant is on the island to make sure that they are all completed during the available time.</p> <p><u>Challenge:</u> The national consultant cannot travel to Nanumaga unless approval is given by the Government's Local Government Department and Local Governments/Council of Nanumaga Islands.</p> <p><u>Solutions:</u> i) TCAP PMU will facilitate approval of the trip with the relevant authorities; or ii) the trip will be postponed until February when the ship travels to the island again (the ship travels to the island twice a month).</p>

7.6. *List of persons interviewed*

National-level stakeholder matrix.

Name	Location	Position/affiliation	Phone	Email
Members of the Project Board				
Hon Seve Paeniu	Funafuti	Chair, Board Member, Minister of Finance and National Designated Authority for Tuvalu (NDA)	20201/20408	sevepaeniu@gmail.com
Faivatala Morris	Funafuti	Board Member, Chief Executive Officer for Ministry of Finance	20202	LMoresi@gov.tv or leemoresi_tfsec@yahoo.com
Mr. Peniuna Kaitu	Funafuti	Board Member, Ministry of Finance	20212	fkaitu@gov.tv
Mr. Faatasi Maalologa	Funafuti	Board Member, Director of Lands and Survey	20170	fmalologa@gmail.com
Mr. Soseala Tinilau	Funafuti	Board Member, Director of Environment	20179	butchersn@gmail.com
Mr. Taape Morikao	Funafuti	Board Member, Director of Local Government	20173 Or 20175	tmkaua71@gmail.com
Mr. Frank Fiapati	Funafuti	Board Member, Director of Procurement Management Unit (Ag)	7113791 or 20046	mfiapati@live.com
Ms. Pepetua Laatasi	Funafuti	Board Member, Director of Climate Change-TCAP Focal Point	20517	pepetua@gmail.com
Mr. Malofou Sopoaga	Funafuti	Board Member, Director of Public Works Department	20303	msopoaga@gmail.com
Mr. Taasi Pitoi	Funafuti	Board Member, Director of Marine Department	20052	taasi.pitoi@gmail.com
Ms. Kaai Fanoiga	Funafuti	Board Member, Acting Director of Education (Ag)	20414	kaaifanoiga@gmail.com
Ms. Pulafagu Toafa	Funafuti	Board Member, Coordinator Tuvalu National Council of Women		pula_toafa@yahoo.com.au
Ms. Teresa Drecala	Funafuti	Board Member, Coordinator, Tuvalu Association of Non-Governmental Organizations (NGOs)	20758 or 20759	kwinlifuka@gmail.com
Mr. Siliga Kofe	Funafuti	Board Member, Funafuti Community Representative to the Board	7112616 OR 7106265	siligak@rocketmail.com
Mr. Penehuro Hauma	Funafuti	Board Member, Nanumaga Community Representative to the Board	7113680	pnhauma@gmail.com
Mr. Launiu Pelosi	Funafuti	Board Member, Nanumea Community Representative to the Board	20682	launiupelosi@gmail.com

Relevant individuals who are not members of the Project Board				
Falili Simeona	Funafuti	Scholarship Officer, Education Department	20414	nautibabe@gmail.com
Enele Sopoaga	Funafuti	Member of Parliament, Former Prime Minister, and National Designated Authority	20925 OR 7114977	enelesopoaga@yahoo.com
Feue Tipu	Funafuti	Local Consultant for TCAP and other government departments (such as Local Government and Environment Departments)	7113220	tipu1304@gmail.com
Elika Pepeuga	Funafuti	Curriculum Development Officer, Education Department	20554	jnrpelika@gmail.com
Temetiu Talitiga	Funafuti	Assistant Secretary, MEYS	20834	sesologatemetiu@gmail.com
Maryanne Vunisarati	Funafuti	Training Officer, Local Government Department	20173	hinesaintz@gmail.com

District-level stakeholder matrix²³.

Name	Location	Position/affiliation	Phone	Email
Funafuti				
Uluao Lauti	Funafuti	Assistant Chief of Funafuti Community	-	-
Siaosi Finiki	Funafuti	Representative from Funafuti community elders/leaders	-	-
Tualo Penivao	Funafuti	Secretary of Funafuti Kaupule (local government)	20005	
Rev Teleke Lauti	Funafuti	Representative from Funafuti Kaupule Councillors	20005	
Tutonu Bruce	Funafuti	Representative from Staff members of Funafuti Kaupule	20005	tutonu.bruce@gmail.com
Malosiaga Tauetia	Funafuti	Coordinator of Fusi Alofa Association	20628	fusialofa.gm@gmail.com
Nanumaga				
Talepa Tehoa	Nanumaga	Chief of Nanumaga Community		
Lutelu Favae	Nanumaga	Representative from Nanumaga community elders/leaders		

²³ Personal contact details for most of the selected participants were not available. Please note that most of the local people, especially on the outer islands, do not have mobile phones and email addresses. However, they can be contacted through the community contact centre on each island (Tuvalu Telecom Ltd). Please also note that all the participants under this category were identified by the TCAP PMU.

Taimoe Mika	Nanumaga	Secretary of Nanumaga Kaupule (local government)	27005	
Natano Panama	Nanumaga	Representative from Nanumaga Kaupule Councillors	27005	natanopanama@gmail.com
Vasati Malua	Nanumaga	Representative from Staff members of Nanumaga Kaupule	27005	
Ema	Nanumaga	Fusi Alofa (NGO for people with disabilities)		
Nanumea				
Fakalupe Tekamata	Nanumea	Chief of Nanumea Community		
Toai Vevea	Nanumea	Representative from Nanumea community elders/leaders		
Sipele Samuelu	Nanumea	Secretary of Nanumea Kaupule (local government)	26005	
Tofiga Paitela (Pule Kaupule)	Nanumea	Representative from Nanumea Kaupule Councillors	26005	
Teuala Neia	Nanumea	Representative from Staff members of Nanumea Kaupule	26005	
Semisi Semisini	Nanumea	Representative from Tuvalu Red Cross Branch on Nanumea		

Community-level stakeholder matrix²⁴.

Name	Location	Position/affiliation
Funafuti		
Semi Vine	Funafuti	Representative from Fishermen group
Aoga Siliga	Funafuti	Representative from Women group
Uale	Funafuti	Representative from Youth group
Singkiagi Taulamati	Funafuti	Representative from the coastal community affected by the project (Project site landowners)
Nanumaga		

²⁴ The personal contact details of the participants under the community category were not available. Many of the local people on the outer islands do not have mobile phones or email addresses. Normally, people on the capital Funafuti contact their relatives on the outer islands (villages) through their community contact centre (Tuvalu Telecom Office).

Please also note that all the selected participants under this category were selected by the TCAP PMU.

Lotelika Tausi	Nanumaga	Representative from Fishermen group
Sulivanu Sama	Nanumaga	Representative from Women group
Taukimua Tipeni	Nanumaga	Representative from Youth group
Sanaila Bici	Nanumaga	Representative from the coastal community affected by the project (Project site landowners)
Nanumea		
Fatoasami Tutu	Nanumea	Representative from Fishermen group
Seleima Teipauli	Nanumea	Representative from Women group
Vevea Toai	Nanumea	Representative from Youth group
Laina	Nanumea	Representative from coastal community affected by the project (Project site landowners)

Project-level stakeholder engagement matrix.

Name	Location	Position/affiliation	Email
UNDP			
Yusuke Taishi	Bangkok	Regional Technical Specialist	yusuke.taishi@undp.org
Aishath Azza	Australia	Regional Technical Specialist	aishath.azza@undp.org
Winifereti Nainoca	Fiji	Team Leader a.i - Resilience & Sustainable Development	winifereti.nainoca@undp.org
PMU			
Alan Resture	Funafuti	Project Manager	alan.resture@undp.org
Jone Feresi	Fiji	Deputy Project Manager	jone.feresi@undp.org
Arthur Webb	Canada	Chief Technical Advisor	arthur.webb@undp.org
Paul Audin	Funafuti	Chief Technical Advisor - Operations Specialist	paul.audin@undp.org
Consultants			
Kate Smith	Australia	Communications Specialist	kate.smith@undp.org

7.7. *List of documents reviewed*

Project Documents

21. TCAP GCF Funding Proposal
22. TCAP UNDP GCF Project Document

Agreements

1. GCF Funded Activity Agreement between UNDP and GCF for TCAP (Execution Version) — 30 May 2017
2. Amendment No. 1 and Restatement to the GCF Funded Activity Agreement between UNDP and GCF for TCAP (Execution Version) — 3 January 2020
3. Service Delivery Agreement for Procurement Services between the Bureau of Management Services/Procurement Service Unite and UNDP Pacific Office in Fiji — 5 October 2020

Project Assessments and Plans

1. TCAP Gender Strategy and Action Plan
2. TCAP ESIA — Nanumea and Nanumaga
3. TCAP ESIA — Funafuti

Project Reports

1. TCAP 2017 Annual Performance Report (APR)
2. TCAP 2018 APR
3. TCAP 2019 APR

Project Meeting Minutes

1. Minutes of the 1st TCAP Project Board Meeting — 29 November 2017
 2. Minutes of the 2nd TCAP Project Board Meeting — 28 May 2018
 3. Minutes of the 3rd TCAP Project Board Meeting — 12 November 2018
- Minutes of the 4th TCAP Project Board Meeting — 28 October 2019
-

7.8. Signed UNEG Code of Conduct form

Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded. [SEP]
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. [SEP]
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. [SEP]
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. [SEP]
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

Interim Evaluation Consultant Agreement Form

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

Name of Consultant: Dr Anthony Mills and Saamu Tui

Name of Consultancy Organization (where relevant): NA

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

Signed at Cape Town (Place) on 4 March 2021 (Date)

Signature: 

7.9. *Signed Interim Evaluation final report clearance form*

Interim Evaluation Report Clearance Form

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

Midterm Review Report Reviewed and Cleared By:

Commissioning Unit

Name: _____

Signature: _____ Date: _____

Regional Technical Advisor (Nature, Climate and Energy)

Name: _____

Signature: _____ Date: _____

Principal Technical Advisor (Nature, Climate and Energy)

Name: _____

Signature: _____ Date: _____

7.10. *Annexed in a separate file: Audit trail from received comments on draft Interim Evaluation report*

7.11. *Annexed in a separate file: Summary of finding from visits to project sites*
