



United Nations Environment Programme

**Southeast Asia Knowledge Network of Climate Change Offices  
(SEAN-CC Phase II)**

## **CASE STUDY**

**contributing to Terminal Evaluation of**

**“Project 12/3-P1 – Support for Integrated Analysis and Development of  
Framework Policies for Greenhouse Gas Mitigation”**

**And**

**“Project 12/3-P2 – Support for the Deployment of Renewable Energy and  
Energy-efficient Technologies in Developing Countries”**

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**PROJECT IDENTIFICATION TABLE FOR SOUTHEAST ASIA KNOWLEDGE NETWORK ON CLIMATE CHANGE OFFICES (SEAN-CC PHASE II)**

<b>UNEP PIMS ID:</b>	609 or 619	<b>IMIS number:</b>	3744, 3C40 and 3F64
<b>Sub-programme:</b>	Climate Change	<b>Expected Accomplishment(s):</b>	EA (B)
<b>UNEP approval date:</b>	There is no specific UNEP approval (considered as continuation of SEAN-CC Phase 1 2009-2012)	<b>PoW Output(s):</b>	2010/11: 121, 122, 123, 124, 125, 126 2012/13: 121, 122, 123 2014/15: 123, 126
<b>Expected Start Date:</b>	January 1, 2012	<b>Actual start date:</b>	January 1, 2012
<b>Planned completion date:</b>	December 31, 2015	<b>Actual completion date:</b>	April 30, 2016
<b>Planned project budget at approval:</b>	\$3,513,484	<b>Total expenditures 2012-2014:</b>	\$2,526,897
<b>Planned Regular Budget allocation:</b>	0	<b>Actual Regular Budget Exp as of [date]:</b>	0
<b>Planned Extra-budgetary financing (XBF):</b>	\$2,743,484	<b>Actual XBF expenditures reported as of 31/12/2015</b>	\$2,600,000 (estimate)
<b>XBF secured:</b>	\$2,743,484	<b>Leveraged financing:</b>	No information available
<b>First Disbursement:</b>	May 2012	<b>Date of financial closure:</b>	June 30, 2016
<b>No. of revisions:</b>	None	<b>Date of last revision:</b>	NA
<b>Date of last Steering Committee meeting:</b>	November 17, 2014		November 3, 2015
<b>Mid-term review/ evaluation (planned date):</b>	June 8, 2011	<b>Other review/ evaluation (actual date):</b>	May 18, 2016

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## List of acronyms & abbreviations

ACE	ASEAN Centre for Energy
ADB	Asian Development Bank
AIT	Asian Institute of Technology
APAN	Asia Pacific Adaptation Network
AWGCC	ASEAN Working Group on Climate Change
CAN	Climate Action Network
CC	Climate Change
CTCN	Climate Technology Centre and Network
COP	Conference of the Parties
DEPI	Division of Environmental Policy Implementation
DELCC	Division of Environmental Law and Conventions
DNPI	Dewan Nasional Perubahan Iklim - National Council on Climate Change (Indonesia)
DTIE	Division of Industry, Technology, and Economics
DTU	Technical University of Denmark
EE - Mekong	Energy and Environment Mekong
EA	Expected Accomplishment
FIRM	Facilitation Implementation and Readiness for Mitigation
GIR	Greenhouse Gas Inventory & Research Center of Korea
GIZ	German Corporation for International Cooperation
GSP	Global Support Program
ICA	International Copper Association
ICLEI	Local Governments for Sustainability
IGES	Institute for Global Environmental Strategies
IIEC	International Institute for Energy Conservation
IIED	International Institute for Environment and Development

INDC	Intended Nationally Determined Contribution
LDC	Least Developed Country
MCCA	Myanmar Climate Change Alliance
MONRE	Ministry of Natural Resources and Environment (of e.g. Vietnam, etc..)
MRV	Measuring, Reporting, and Verification
NAMA	Nationally Appropriate Mitigation Action
NCCS	National Climate Change Secretariat, Singapore
NDE	National Designated Entity
NEA	National Environment Agency, Singapore
NIE	National Implementing Entity
NGO	Non-governmental organization
PoW	Programme of Work
ROAP	Regional Office for Asia Pacific
SEI	Stockholm Environment Institute
SSFA	Small Scale Funding Agreement
ToC	Theory of Change
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

## EXECUTIVE SUMMARY

- i. This is a terminal evaluation for the project “Southeast Asia Knowledge Network of Climate Change Offices,” known as SEAN-CC Phase II (2012 - 2015). It is requested by the donor, the government of Finland, and it will also be used as a case study that is part of a larger terminal evaluation effort by the UNEP Evaluation Office of two umbrella projects (12/3-P1 and 12/3-P2) of the DTIE Energy Branch.
- ii. The evaluation analyses project achievements, assesses the project’s relevance to beneficiary needs and UNEP’s mandate and Programmes of Work, and discusses internal and external factors that may have affected project performance. Lessons learned and recommendations are provided.
- iii. The information presented in the evaluation is based on an extensive review and analysis of all existing project documentation, interviews with project stakeholders and project management staff, and the results of a questionnaire filled out by project stakeholders to gauge project achievements and stakeholder satisfaction.
- iv. SEAN-CC Phase II is about “strengthening institutional frameworks for coordinating climate change at national and regional levels with a view to enable countries to adopt integrated approaches for climate resilient and low carbon development and respond to UNFCCC commitments; specifically it aims “to strengthen the capacities and capabilities of the climate change focal points and related institutional mechanisms of ASEAN countries.” As such, and as evidenced by its achievement of outputs and outcomes, the project is aligned with and is relevant to EA(b), EA (a), and EA(e) of UNEP’s Climate Change subprogram. Furthermore, SEAN-CC Phase II is coherent with the umbrella project P12/3 P1, and through the implementation of its activities has contributed to the umbrella project objectives and intervention strategies.
- v. SEAN-CC Phase II is a project where the stakeholders, the climate change focal points in ASEAN countries, are very involved in the decision of the services that the network provides in order to best meet their national climate change capacity building needs. This has insured that the project truly does serve its beneficiaries and these beneficiaries are very satisfied with the services provided to them. To provide these services the project has strategically collaborated with over 25 organisations and initiatives; and the information that has been provided and the learning that has taken place has been effectively shared and disseminated with stakeholders and made available to a larger audience via the website knowledge platform.
- vi. Project challenges with implementation are mainly linked to two factors: 1) insufficient staff because of a staffing structure that was never implemented as envisioned due to numerous internal administrative challenges and 2) the difficulty of scheduling desired meetings and capacity building events in a timely manner because of conflicting agendas with network participants, hence their unavailability to participate. Both of these challenges led to significant delays, and constituted the root-causes, along with a large carry-over balance from SEAN-CC Phase 1 project into its Phase 2, to the extension of the project duration from two years to four years and four months.



- vii. Furthermore, despite country desires for SEAN-CC efforts to continue, the project did not raise the required funds to sustain activities beyond this project cycle, and it did not produce a strategy or roadmap to guide the continuation of this work, other than integrating and expanding the offer of such capacity-building and knowledge sharing sub-regional networks in the current UNEP Programme of Work (PoW) under approved project 126.3 (#01741) "Climate Knowledge Networks and Partnerships." However, there is no secured funding, yet, to take this work forward. That said, with the implementation lessons learned and the recommendations offered herein the project can strategically design a Phase III and search for funding, either as a stand-alone project or as part of the aforementioned PoW project <sup>1</sup>.
- viii. If the project were to develop into a Phase III a significant recommendation to consider is conducting a thorough institutional analysis in the network countries and at the ASEAN region level prior to project development in order to best inform project design. This effort can: a) clarify inter-institutional relationships for advancing the climate change agenda, specifically how various national level organisations cooperate with each other, or not; b) map out the key stakeholders in the climate change agenda; c) in light of these two elements, better inform the kind of activities that the network could implement, and at which scale they should be implemented, for moving the climate change agenda forward; and d) provide information for implementing strategic in-country projects to further strengthen the climate change agenda.
- ix. The information from the institutional analysis can lead to a "tighter" initial project document with very clear links between outputs and outcomes, a succinct monitoring plan, and a workplan timeline of activities better aligned with country commitments. SEAN-CC Phase II initial project document was not this "tight" and as such detracted from the overall success of the project, not in terms of achievements and satisfaction of its stakeholders, but simply in terms of there not being a clear and evident match between what the document put forth and what the project did.
- x. Nonetheless, as evidenced from completion of outputs and outcomes and participant positive perceptions of these completions, the project has indeed strengthened institutional frameworks for coordinating climate change at national and regional levels and has helped countries respond to UNFCCC commitments. The project has also contributed to moving the bar for countries to move towards climate resilient and low carbon development. However, it is clear to both project staff and stakeholders that climate resilient and low carbon development are dependent on a plethora of in-country specific external factors that the project cannot influence, therefore SEAN CC Phase II has been successful within the purview of what it can do.

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<sup>1</sup> Once the main investigation for the case study was concluded it came to the evaluators attention that UNEP ROAP Director and UNEP Regional Climate Change Coordinator for Asia and Pacific assured the SEAN-CC network members when addressing them during the post-COP21 debriefing workshop of 23-24 March 2016, that there will be enough additional resources to keep networks activities to a minimum level throughout the year 2016 (including for the organisation of a pre-COP22 regional workshop) and that efforts to raise new funding will continue to be pursued to support SEAN-CC activities in the following years.

## 1. INTRODUCTION

1. Climate change capacity building in developing countries has been recognised by UNFCCC parties as an essential component for countries to achieve set UNFCCC commitments and address climate change issues. The Southeast Asia Knowledge Network of Climate Change Offices (SEAN-CC Phase II) aims to strengthen institutional frameworks for coordinating climate change at national and regional levels.
2. SEAN-CC Phase II is the continuation of the 2009-2011 initiative called “Supporting Action on Climate Change through a Network of Climate Change Focal Points in Southeast Asia (SEAN-CC)”. Both Phase I and Phase II were modelled on the successful UN initiative of Regional Networks of National Ozone Units for meeting the Montreal Protocol, and on the already confirmed assumption that networks that link officials in different countries and give them the means of sharing information and experiences can help increase practical skills and disseminate successful approaches.
3. Phase II was scheduled for an original duration of 24 months, from January 2012 to December 2013. Funding for both phases of the project is from the Finnish government. Finland’s contribution to SEAN-CC Phase II is US\$2,743,484 (2,000,000 €). In-kind contributions from participating countries, partners and UNEP were estimated at US\$770,000. Hence, total budget for the period of 24 months was estimated at US\$3,513,484. The project was extended at the end of 2013, at no cost, until December 2015. At the end of 2015 it was extended until April 2016. No further funding was added for either extension.
4. SEAN-CC Phase II is a sub-project under the umbrella project 12/3-P1, and it is expected to deliver the umbrella project outputs which are:
  - a. For 2012-13: C2) Strengthening of capacity and capabilities of national and regional Climate Change focal points and related institutional mechanisms of ASEAN countries
  - b. For 2014: C2) The activities of the Southeast Asia Network selected by its members, continue to lead to enhanced coordination, formulation, and implementation of Climate Change responses in the region.
5. Since 2015, SEAN-CC Phase II is considered part of the project 126.3 (#01741) Climate Knowledge Networks and Partnerships, specifically delivering its Output E: SEAN-CC’s climate change regional capacity building, support of national level activities and knowledge-sharing network.

### 1.1. Evaluation Scope and Approach

6. This terminal evaluation is for the project “Southeast Asia Knowledge Network of Climate Change Offices,” known as SEAN-CC Phase II. It is requested by the donor, the government of Finland, and it will also be used as a case study that is part of a larger terminal evaluation effort by the UNEP Evaluation Office of two umbrella projects (12/3-P1 and 12/3-P2) of the DTIE Energy Branch.
7. The evaluation analyses project achievements against expected outputs, outcomes and impacts. It assesses the project’s relevance to beneficiary needs and UNEP’s mandate and Programmes of Work, and analyses internal and external factors that may have affected project performance, and discusses how these challenges were addressed. With this information, it details lessons learned and provides recommendations that could be useful for a possible continuation of the network or for the deployment of similar networks in other sub regions.

8. To collect the necessary information, the project evaluator has read and analysed project documents, workplans, annual reports, financial reports, steering committee and supervisory board minutes, donor agreements, prior evaluation, and website information. For a list of the documents reviewed see Annex 5.2 and Annex 5.8. The evaluator has also interviewed and surveyed key network participants (principal project stakeholders) and partner institutions. Key network participants from nine of the countries were interviewed in November 2015, in Bangkok, during a network meeting. The same people that were interviewed were also provided with a questionnaire that complemented interview questions; network participants responded to the questionnaires on their own. Members of the project management team were also interviewed. For a full list of people interviewed see Annex 5.1; for the questionnaire see Annex 5.4
9. The evaluation process was straightforward, with the project management team being very cooperative, answering questions and providing documentation as requested. Two of the current team members had been with project for less than a year, so while they contributed fully, their knowledge of three years prior work was limited. Also, many network participants speak very little English, the language in which the interview and questionnaire questions were framed. Thus, interview questions were often rephrased or clarified with illustrative examples. Some questions in the questionnaire had to be reviewed with participants in order to clarify meaning. The evaluator does not feel that these elements altered the information offered. The case study was carried out between October 20th 2015 and February 29, 2016.

## 2. PROJECT BACKGROUND

### 2.1. Context

10. SEAN-CC Phase II builds on the results and lessons learned from Phase I. As expressed in the SEAN-CC Phase II project document, the principal result of Phase I was getting climate change focal points to meet at least twice a year to discuss and exchange information on the international, regional, and national climate change agendas to encourage a common understanding of climate change issues and possible responses to those issues. The project also strengthened the links between CC offices and energy sector professionals, and improved the knowledge of CC offices on key energy sector activities to achieve low carbon development.
11. According to the evaluation report of Phase I, some of the key recommendations emerging from SEAN-CC Phase I were:
  - a. stay focused on the original idea of networking between countries climate change focal points (in Phase 1 the network veered of that purpose and focused on mitigation, particularly energy efficiency and conservation related work)
  - b. better engage the climate change focal points in planning and implementation of the network activities
  - c. provide more capacity building to the climate change focal points in order to strengthen their role in their country's government structures
  - d. increase interface with other relevant climate change related initiatives and bodies active in the region

- e. create and implement a steering committee for the project
  - f. provide clear criteria for in-country selection of the projects that will be financed with project money
  - g. provide a proper project document that clearly states objective, purpose, results, activities, indicators etc. to allow for improved monitoring of activities and more clear reporting
12. Of these seven recommendations six were implemented and achieved in SEAN-CC Phase II. Specifically, the project did return to its original idea of networking between climate change focal points; it has thoroughly engaged the focal points in the planning and implementation of the network activities (see paragraph 14); it has provided numerous and varied capacity building opportunities (see Table 3, number 3); it has interacted with other relevant climate change related initiatives in the region (see Table 1 and Table 9), yet it was not possible to determine if the SEAN-CC Phase II interactions with other climate change initiatives are an improvement from Phase I; it did develop criteria for selecting and funding in-country projects; and it did begin SEAN-CC with a proper project document; however, this improved project document did not lead to significantly better reporting or monitoring of project activities (see paragraph 91).

## 2.2. Target Geography and Target Groups

13. SEAN-CC is a regional network whose principal stakeholders are the UNFCCC national focal points of the 10 ASEAN<sup>2</sup> countries and the climate change teams that they lead. This group of countries is a very heterogeneous mix economically, politically and socio/culturally. This diversity means very different development needs and priorities hence very different climate change agendas, mirrored in a variety of governance mechanisms and institutional structures for addressing climate change. This vast diversity presents challenges for defining common priorities and activities that will effectively satisfy the needs of all countries. This diversity also represents an opportunity for peer-learning between leading countries in some areas and others lagging behind, and greatly influences how what is learned in the network at the regional level is effectively translated into action on the ground in each of the different countries.
14. These climate change focal points, or other key members from each country appointed by the climate change focal points guide the work of the network in various ways. Specifically they:
- a. directly decide the priority sectors and key UNFCCC high profile topics for which they want SEAN-CC to provide capacity building support;
  - b. via the steering committee, formed by representatives of the participating countries, they validate the proposed yearly work plans;
  - c. design and implement the projects at a national level with SEAN-CC funding (US\$100,000 per country) and technical guidance
  - d. are given the opportunity to provide feedback via written evaluations after every event (in fact, this opportunity is given to all participants to these events).

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<sup>2</sup> ASEAN countries are: Brunei, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand and Vietnam.

### 2.3. Project Objectives and Components

15. The project's overall objective is "to strengthen institutional frameworks for coordinating climate change at national and regional levels with a view to enable countries to adopt integrated approaches for climate resilient and low carbon development and respond to UNFCCC commitments." The specific purpose or outcome is, "to strengthen the capacities and capabilities of the climate change focal points and related institutional mechanisms of ASEAN countries." (Official Project Document, pg. 12)
16. In order to achieve the outcome and overall objective the project document states that the project will:
  1. Strengthen national climate change offices and climate change coordination structures in the region,
  2. Have climate change offices with the ability to formulate and integrate climate change strategies in selected priority sectors,
  3. Improve national climate change negotiators' understanding of UNFCCC high profile topics and implications for the region,
  4. Create a dedicated regional knowledge platform and,
  5. Create a sustainable regional network of climate change offices.
17. The project document also specifies that the above five elements, called in this evaluation, immediate outcomes, will be achieved via the following eight key outputs.
  1. biannual network meetings
  2. exchange visits for staff or focal points between countries
  3. capacity building and training around UNFCCC high profile topics
  4. identification and assessment of national CC institutional strengthening needs
  5. synergies and partnerships with other major CC initiatives
  6. regional sectoral subnetworks
  7. an improved online knowledge platform (website)
  8. a roadmap for sustainability of the network
18. The project is to provide technical assistance which includes political advice, capacity building, and generation of knowledge and information, to help improve overall climate change knowledge and the coordination among institutions and sectors relevant to climate resilience and low carbon development.
19. Knowledge and information sharing would be done via bi-annual meetings, south-south exchanges and trainings on specific topics selected by network participants. This would be further enhanced via the improvement of the online knowledge platform, and another part would be done by establishing regional subnetworks for the different priority sectors, like transport, infrastructure or agriculture that would act as sector specific climate knowledge centres to provide technical, policy and strategic advice to the Climate Change Offices.
20. Direct strengthening of the prime negotiators in each country on the highest level UNFCCC topics would be accomplished by preparing, at their request, briefing papers, studies, and providing trainings.
21. The project also planned on giving each country (Singapore and Brunei, excluded) a specific amount, to be decided by the Steering Committee, to directly address issues they considered a

priority for advancing the climate change agenda in their countries. The steering committee decided on \$US100,000 per country.

22. All of this work would be accomplished by cooperating with numerous organisations that are integrated into the project depending on the service that needs to be delivered.

## 2.4. Project Partners

23. Throughout its implementation, the project has partnered with a vast array of institutions in order to deliver on its activities for achieving outputs. Partner organisations are brought in on a needs basis depending on the activities that need to be delivered. During Phase II, 2012 - 2015, 22 institutions substantially collaborated with the delivery of project outputs. These organisations are a mix of national government entities, NGOs focused either on research or advocacy, regional entities, research institutes, other UN organisations, and bilateral institutions. The absence of private organisations is simply because the services needed by the network were best provided by other types of institutions. That said, capacity building events often relied on the inputs of content specific resource people, and some of these people occasionally came from the private sector. Simply put, the network always looked for the most appropriate and strategic organisation or person to help fulfil the tasks at hand. The key institutions that have collaborated with the project are grouped according to type of organisation in Table 1 below.

**TABLE 1: SEAN-CC PHASE II PARTNERS BY TYPE OF ORGANISATION**

Academic	Bilateral	National Government Entity	NGO-Advocacy
Asian Institute of Technology (AIT)	German Development Cooperation (GIZ)	National Environment Agency Singapore (NEA) National Climate Change Secretariat (NCCS) Climate Change Commission, the Philippines (CCC) of the Philippines Ministry of Natural Resources and Environment, Vietnam (MONRE)	Local Governments for Sustainability (ICLEI); Climate Action Network (CAN)
NGO- Research	Private Enterprises	Regional Entities	Research Institutes

International Institute for Energy Conservation (IIEC) CDC Climat International Institute for Environment and Development (IIED)		Asian Development Bank (ADB), through ADB-UNEP GEF Project ASEAN Centre for Energy (ACE) International Copper Association (ICA) International Center for Climate Change and Development (ICCCAD) Asia Pacific Adaptation Network (APAN)	Greenhouse Gas Inventory & Research Center of Korea (GIR) Institute for Global Environmental Strategies (IGES) Technical Support Unit Stockholm Environment Institute (SEI) Asia Centre Institute for Global Environmental Strategies (IGES) Regional Center
<b>UN Affiliated</b>	<b>Working Group</b>	<b>Other</b>	
UNEP DTU Partnership UNFCCC Secretariat	ASEAN Working Group on Climate Change (AWGCC)	Energy and Environment Partnership, Mekong (EE-Mekong)	

## 2.5. Planned Implementation Arrangements and Milestones

24. According to the project document the day to day project activities were to be coordinated by a Project Secretariat based out of UNEP Regional Office for Asia Pacific (ROAP) in Bangkok, Thailand. Some UNEP DTIE staff were to backstop the Secretariat, provide key technical inputs, and help link SEAN-CC with other UNEP climate change programmes and projects. The project was to establish a Steering Committee and a Supervisory Board.
25. It is key to keep in mind that the workplan of the network is in large part determined by the country climate change focal points or other appropriate representatives of the climate change offices (paragraph 14). Hence, what was originally outlined in the project document is subject to variation as the project evolves.
26. One milestone was defined for the project after the project document had been written, because when the project was written UNEP did not require milestones to be identified as part of the project structure. The established milestone for 2012 and 2013 was:
- percent of respondents declaring they agree with the statement: “my capacity and that of the national government has been strengthened thorough my participation in SEAN-CC Network and related activities”. For 2012 the indicator value was 60% and for 2013, the indicator value was 85%.
27. According to the results of a project beneficiary survey sent out in July of 2013 to capture level of satisfaction for two periods, April - December 2012, and January - June 2013, both milestone indicator values were met.

## 2.6. Project Financing

28. The project has a total budget of US\$3,513,484, of which US\$2,743,484 are from the donor, the Finnish Government, and US\$770,000 are pledged in-kind contributions. The in-kind

contributions were expected from countries, partners, and UNEP; each contributing US\$230,000, US\$120,000, US\$420,000 respectively.

29. When Phase II began, the project benefitted from US\$986,000 in carry-over funds from Phase I. These were used to: cover activities that were still pending from Phase I; to cover the cost of new activities selected by network members as part of SEAN-CC phase II; and for a set-aside for the terminal evaluation of the project at the end of Phase II. These carryover funds were not reflected in the Phase II budget because the donor preferred it that way. Table 2 below summarises the project budget.

**TABLE 2: FINANCING BY COMPONENT ACCORDING TO DETAILED PROJECT BUDGET IN PROJECT DOCUMENT**

Budget Component	Donor Contribution	In kind Contribution	Total Budgeted Amount
Project Personnel	910,000	420,000	1,330,000
Subcontracts	935,000	185,000	1,120,000
Training	712,000	109,000	821,000
Equipment and Premises	3004	13,000	16,004
Miscellaneous	4,000	43,000	47,000
Direct Cost	2,564,004		3,334,004
PSC@7%	179,480		179,480
<b>Grand Total</b>	<b>2,743,484</b>	<b>770,000</b>	<b>3,513,484</b>

## 2.7. Changes in Design During Implementation

30. There were no significant changes to the design of the project during implementation, however, as previously mentioned, the design of the project states that the project will define and evolve its workplan with the full input of the countries based on the most pressing needs that are prioritised by these countries during dedicated break-out groups sessions of the periodic regional network meetings. Within that framework, the project did add and takeaway activities, and events did occur during project implementation that were not specified in the original project document. Small changes of this sort that did not deviate from the original intent/objective of the project were noted and agreed upon in Steering Committee meetings, and were not processed through formal UNEP revision forms because the project design allowed for these small changes to be made without an extensive revision process. By design, the project offered that kind of flexibility as long as plans remained country-driven and fully aligned with the overall project purpose, features that were regularly monitored by the Supervisory Board, representing the highest governance level of the project.

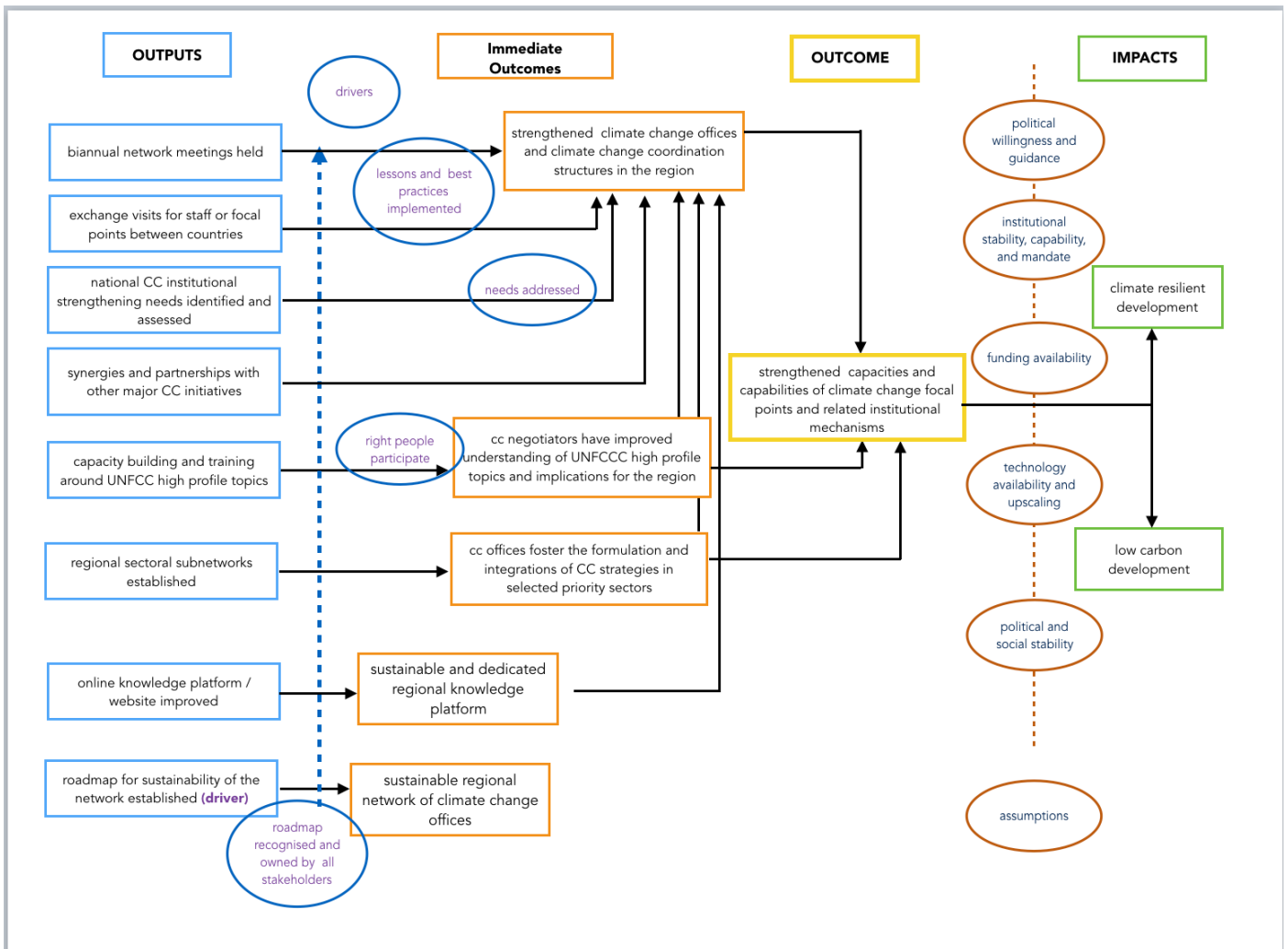


## 2.8. Reconstructed Theory of Change

31. According to the official project document SEAN-CC Phase II, has as its principal purpose “to strengthen the capacities and capabilities of the climate change focal points and related institutional mechanisms of ASEAN countries”. This is nested under an overarching project objective which states that the project will “strengthen frameworks for coordinating climate change at national and regional levels with a view to enable countries to adopt integrated approaches for climate resilient and low carbon development and respond to UNFCCC commitments.” For this evaluation, the purpose of the project is the project outcome. This outcome is outlined in yellow in the reconstructed theory of change (TOC) diagram that follows.
32. There are five immediate outcomes contributing to the project outcome. In the diagram, these are outlined in orange. The project outcome can eventually lead to two desired impacts at a country level: climate resilient development, and low carbon development. These impacts are outlined in light green in the TOC diagram.
33. The immediate outcomes are a result of project outputs. These outputs are outlined in light blue in the TOC diagram. The outputs relate to the immediate outcomes in the following way:
34. The immediate outcome of “strengthened climate change offices and climate change coordination structures in the region” is achieved via four project outputs.
  - a. bi-annual meetings
  - b. exchange visits for staff and focal points between countries
  - c. identifying and addressing cc institutional needs
  - d. developing synergies and partnerships with other major cc institutions
35. The above mentioned immediate outcome is also achieved via the attainment of the following three immediate outcomes.
  - a. “cc negotiators have improved understanding of UNFCCC high profile topics and implications in the region”. This immediate outcome is in turn achieved by project output of “capacity building and training around UNFCC high profile topics”.
  - b. “cc offices foster the formulation and integration of cc strategies in selected priority sectors”. This immediate outcome is achieved by project output “regional sectoral subnetworks established”.
  - c. “sustainable and dedicated regional knowledge platform”. This immediate outcome is achieved by project output “online knowledge platform/website improved”.
36. As reflected in the description above, and in the diagram below, all outputs lead to immediate outcomes that then lead to the project outcome. It is important to keep in mind that not all outputs were accomplished as originally envisioned, and some were not implemented at all. Thus, the diagram reflects an idealised theory of change, based on the original project design.
37. It is also important to bear in mind that the project document does not use the language of outputs, outcomes or impacts as now defined by UNEP. Instead, the document uses project statement and approach, project purpose, project objective, outputs, sub-outputs, and activities; and furthermore, there is not a clear distinction between what constitutes an output, versus a sub-output versus an activity. This said, the TOC diagram herein is an accurate reflection, verified and agreed upon by SEAN-CC project management team, of what SEAN-CC Phase II was in fact designed to accomplish.

38. The TOC diagram includes several key drivers which are external factors that can be influenced by the project and may affect the realisation of outcomes. The most relevant drivers are:
- a. implementation of the lessons and best practices that are learned and shared in the network. If these lessons are not implemented individuals may be intellectually strengthened but the immediate outcome of “CC offices and coordination structures strengthened” will not be achieved.
  - b. addressing the needs that are identified via the institutional needs assessments. This driver is linked to achieving the outcome of “CC offices and coordination structures strengthened”.
  - c. participation of the “right” people in the capacity building events. In order for the immediate outcome of “CC negotiators have improved understanding of UNFCCC high profile topics” to be achieved, the project has to insure that the right people participate in the appropriate events.
  - d. recognition and acceptance by project stakeholders of the roadmap for sustainability of the network. To the degree that this roadmap is embraced and implemented is the degree to which the network will remain active in to the future, and continue to work for the achievement of its desired impacts.
39. There are a series of other external factors or conditions, not influenced by the project, that need to occur for the realisation of the desired impacts. These factors are called assumptions in the TOC diagram and are outlined in light brown ovals. The assumptions in this project, the things that must occur or be in place in order for the desired project impacts to occur include:
- a. political willingness: governments must prioritise climate resilient and low carbon development;
  - b. capacity: in-country institutions dealing with climate change issues must have the relevant capacity and the mandates to move the agenda in the direction of climate resilient and low carbon development; these institutions must be willing to cooperate with each other;
  - c. funding: countries must be able to access funds and have a clear plan for investing these funds in low carbon or climate resilience actions;
  - d. technology: the appropriate technology must be available for implementation; capacity to implement this technology must exist;
  - e. stability: the countries have to remain politically and socially stable.
40. These assumptions are in essence enabling conditions that allow the possibility of what is learned in the network to translate into action at the country level. The countries/network participants are fully aware of these enabling conditions, and there are other UNEP initiatives and other international agency initiatives that are addressing several of these assumptions in the various countries.

**FIGURE 1: RECONSTRUCTED THEORY OF CHANGE**



## 3. FINDINGS

### 3.1. Strategic relevance

41. SEAN-CC project is housed under the umbrella project 12/3-P1 “Support for Integrated Analysis and Development of Framework Policies for Greenhouse Gas Mitigation” of the UNEP 2010-2011 Programme of Work (PoW). The SEAN-CC project is linked to Expected Accomplishment (EA) (b) of the Climate Change Sub-programme in 2010-2011 PoW, which was reformulated for the PoW 2012-2013 as follows:

- **2010-2011 POW, EA(b), CC Sub-programme:** b) countries make sound policy, technology, and investment choices that lead to a reduction in greenhouse gas emissions and potential co-benefits, with a focus on clean and renewable energy sources, energy efficiency and energy conservation.
- **2012-2013 POW, EA(b), CC Sub-programme:** b) low carbon and clean energy sources and technology alternatives are increasingly adopted, inefficient technologies are phased out, and economic growth, pollution and greenhouse gas emissions are decoupled by countries based on technical and economic assessments, cooperation, policy advice, legislative support and catalytic financing mechanisms.

42. A large part of SEAN-CC work has been highly relevant in contributing towards the fulfilment of EA b of the Climate Change PoW. The project’s overall objective is “to strengthen institutional frameworks for coordinating climate change at national and regional levels with a view to enable countries to adopt integrated approaches for climate resilient and low carbon development and respond to UNFCCC commitments.” The low carbon development part of this objective is directly relevant to EA b.

43. Specifically, 35% of the SEAN-CC events and 22% of the knowledge products produced have been about mitigation related topics. Additionally, of the 34 negotiation briefs that were produced 22 were directly related to mitigation action, technology, policy or financing. Thus the overall objective is aligned with EA b, and the work carried out by SEAN-CC has directly addressed advancing the agenda on low carbon development.

44. The objective of project 12/3P1 is “to strengthen the capacity of countries to analyse, plan and implement emission mitigation opportunities”. Project 12/3-P1 would help developing countries analyse GHG emission reduction opportunities on a macroeconomic and sectoral level, design technology needs evaluations and national climate technology plans, and benefit from regional government knowledge networks”. SEAN-CC as noted in paragraph 43 above has contributed clearly towards this objective and is thus aligned with the umbrella project 12/3-P1.

45. The SEAN-CC project is also relevant to EA(a) and EA(e)<sup>3</sup> of the Climate Change Sub-programme, related to climate change adaptation, and science and outreach, respectively. This is actually the case for most regional CC network projects which have all been considered sub-projects of the

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<sup>3</sup> EA(a) for the CC Sub-programme in the POW 2010-11 was “Adaptation, planning, financing and cost-effective preventive actions are increasingly incorporated into national development processes that are supported by scientific information, integrated climate impact assessments and local climate data”. EA(e) was “National-level policymakers and negotiators, civil society and the private sector have access to relevant climate change science and information for decision-making”.

12/3-P1 mitigation umbrella project, even though they also cover climate change adaptation, support to negotiators and outreach quite extensively.

46. SEAN-CC Phase II clear alignment with the Programme of Work also aligns it completely with the expected accomplishment of the Bali Strategic Plan, whose main objective is to strengthen the ability of countries to integrate climate change into national development process.

47. Overall, the project design and implementation were gender-sensitive: Since its onset, Phase II has encouraged the nomination of women for network meetings, trainings, and workshops, recognising that globally women are not fairly or adequately represented in international climate change policy fora. SEAN-CC Phase II project document outlines five specific actions that it will take to keep gender mainstreamed within the project activities. These actions are:

- a. One of the criteria for prioritisation of activities on request of countries will be their impact on gender and other social issues;
- b. Encourage the climate change focal points to frame policies taking into account the gender dimensions whenever possible - by being gender neutral at a minimum or with provisions designed to help advance the role and influence of women;
- c. Propose to climate change focal points that they commission a study to explore ways of facilitating access for women to environmentally sound technologies that could improve mitigation and adaptation at the community level;
- d. Invitation to attend workshops/ training programmes with a recommendation that if two participants are nominated from a particular country they should seek a gender balance when possible (overall goal for the project being of at least 40-60 % share);
- e. Populate the project website with best examples of projects and initiatives ensuring gender advancement while addressing climate change issues.

48. The project management team feels that all points have been touched upon and that points a, d, and e have been actively implemented throughout the project. Worth noting in this context has been the specific support provided to the 3 LDCs through sponsoring additional female delegates to the COPs and inter-sessional climate negotiations in Bonn, as a suggestion of the project team which was endorsed by SEAN-CC Steering Committee. Network participants were asked to rank how well the “the network supports greater access to information and climate change awareness of women as well as gender balance.” (claim SEAN-CC Phase II publicly makes of itself). The average response among the nine countries surveyed was a 3.75 out of 5; 1 being “poor” and 5 being “excellent”. This, combined with the project management team response on inclusion of gender would indicate that the project has taken concrete actions to incorporate gender topics into the project implementation.

Strategic Relevance Rating: HS

### 3.2. Achievement of Outputs

49. The Phase II project document puts forth a plan for intended outputs, albeit a bit repetitive. However, the project did not secure a proper monitoring and evaluation protocol or follow a reporting format that allowed for obvious or clear tracking of output achievements. That said, the project management team was able to clearly explain what had been achieved in light of the

original workplan, before yearly modifications by the Steering Committee. (see lesson learned three).

50. Of the eight outputs outlined (see section 2.3), four were accomplished, three were partially accomplished, and 1 was cancelled. The cancellation was based on network members ranking of priorities and subsequent recommendations of the Steering Committee. This information is summarised in Table 3 below. According to a basic status ranking, see Table 3 below, a total of 28 points were possible for 7 the outputs that were actively pursued. The activities that were done roughly totalled 21 points, that is about 75% of the total possible 28 points. This indicates that about 75% of the agreed upon outputs at design stage, were achieved.

**TABLE 3: ACHIEVEMENT STATUS OF PROJECT OUTPUTS**

Status Ranking: 1 = started; 2=below midway; 3=above midway; 4= done

	Major Outputs	Status	Comments
1	having biannual network meetings	Done (4)	10 network meetings were held between 2010 and 2015. 6 of those ten meetings were held during Phase II.
2	having exchange visits for staff or focal points between countries	Done partially (1)	1 formal exchange visit was carried out, and there is email and phone exchange between country focal points.
3	conducting capacity building and training around UNFCCC high profile topics	Done (4)	SEAN-CC directly implemented 21 such events during the entire Phase I and Phase 2. They also supported the participation of network members in 12 additional events throughout this period. The bulk of all of these events, over 75%, were carried out during Phase II.
4	identifying and assessing national CC institutional strengthening needs	Done partially (2)	No institutional SWOT analysis of the various in country CC related institutions was performed. Countries did not view it as a priority, commenting that it would not add to their learning experiences or needed concrete building of capacity. Also, project management sensed sensitivities among countries at not wanting to expose possible lagging behind in comparison to other countries. Project management did not have the staff resources to perform this activity, so the output was taken off the table.  However, the in country projects were designed based on identification of factors that could be strengthened in country to improve the overall CC agenda.
5	establishing synergies and partnerships with other major CC initiatives	Done (4)	Synergies were established with APAN and ASEAN, as well as with relevant UNEP support initiatives on NAP, CTCN, NAMA and iNDC development.
6	establishing regional sectoral subnetworks	Cancelled (NA)	The priority sectors were selected: low carbon and climate resilience energy sector; local climate change mainstreaming; adaptation for agriculture; and forestry. However, the steering committee in its second meeting of October 2012 decided that establishing regional subnetworks was not a priority and it would not be necessary to establish those subgroups; instead the network should support themes like these, if a particular country needed the help, by facilitating regional experts to the countries.

7	improving the online knowledge platform (website)	Done (3)	The online knowledge platform was improved during Phase II, including the creation of a regional, country specific database with a vast array of information relevant to the climate change agenda. Reportedly (through speaking with the project team), there were some periods of times during project implementation when the information on the website was not always uploaded immediately after the regional events or national level activities took place
8	creating a roadmap for sustainability of the network	Done partially (2)	A task force of members from within the network, called Sustainability Task Team, was established and operated during 1 year and a half. This work helped clarify, a bit, the model for support but highlighted the main constraint which is to secure steady financial support for such initiative to be truly sustainable

51. Network participants were asked how well the SEAN-CC had completed the aforementioned outputs. The ranking used went from 1 “not well” or “poor”, to 5 “excellent”. Their perceptions of how well these outputs were achieved are listed below in Table 4. The outputs in italics signal discrepancies with the actual workplan achievements and are explained in paragraph 52 below.

**TABLE 4: PERCEPTION OF NETWORK PARTICIPANTS OF HOW WELL OUTPUTS WERE ACHIEVED**

	Major Outputs (n=10)	Rank
1	having biannual network meetings	5
2	having exchange visits for staff or focal points between countries	2
3	conducting capacity building and training around UNFCCC high profile topics	4.25
4	<i>identifying and assessing national CC institutional strengthening needs</i>	4.05
5	establishing synergies and partnerships with other major CC initiatives	4.25
6	establishing regional sectoral subnetworks	1
7	improving the online knowledge platform (website)	3.1
8	<i>establishing a roadmap for sustainability of the network</i>	3.2

52. The project did not conduct the in-country institutional needs assessments however, in the questionnaire the participants ranked this as done well. This was discussed verbally with the network participants and all explained that they took that output to mean the analysis that was done for selecting the in-country projects that would be funded with the US\$100,000 provided by the project. This selection necessarily incorporated adequate prior needs assessments, including institutional ones, carried out jointly by the project team and the in-country network focal points through iterative consultations. Also, the project did not establish a roadmap for sustainability, yet when participants were asked in the questionnaire “there is a clear roadmap for continuing past this project” some countries took this to mean (as verified in conversation) that they as countries had an idea of how to keep in communication with each other once SEAN-

CC finished. Plus, some members interviewed did remember discussions about a “roadmap” for sustaining the network.

53. Another useful way to gauge output achievement of SEAN-CC Phase II is to look at capacity building efforts; though not clearly stated as outputs they are the forte of the network’s activities. In the questionnaire, the network participants were asked to rank the usefulness of the different capacity building efforts that have been offered via the network. Overall, countries feel that the capacity building efforts have been “very useful”, with a close “somewhat useful”. Nothing was perceived as being “not useful”. Table 5 below summarises the country perceptions.

**TABLE 5: COUNTRY PERCEPTION OF USEFULNESS OF SEAN-CC PHASE II CAPACITY BUILDING EFFORTS**

Type of Capacity Building /Usefulness (n= 9)	Very Useful	Somewhat Useful	Not Useful
Technical workshops led by SEAN-CC	6	3	
Trainings supported by SEAN-CC	6	3	
Negotiations knowledge and briefing papers	5	4	
Conferences and forums SEAN-CC has made possible to attend	4	5	
Outreach events coordinated by SEAN-CC	3	5	one not applicable
Totals	24	20	

54. The network participants were also asked how good the network had been at providing relevant knowledge, relevant access to information, relevant tools, and policy support. 1 was “not good”, and 5 was “excellent”. The network is perceived as being anywhere between “very good to excellent” in all aspects. It is safe to say that for the network participants, the capacity building efforts of the network and provision of knowledge, information tools and policy support have been highly successful.

55. Another aspect to gauge output achievement of the project is the work carried out in-country with the US\$100,000 allotted for each country (except Singapore and Brunei). These activities are not reflected in the project document outputs and yet, according to network participants, have been a very successful and relevant component of the project. When asked about this funding and its usefulness, network participants, hands down, responded that it was a very useful provision of the project since it enabled concrete action in their countries with respect to climate change. A total of 15 projects were planned amongst the 8 countries; ten have been completed, and five are in progress (and will be completed by 30 June 2016).Table 6 below summarises what each country has accomplished to date and Annex 5.5 describes each of the activities in a bit more detail.



**TABLE 6: IN-COUNTRY PROJECTS SUPPORTED WITH SEAN-CC FUNDS**

Country	Activity	Payment and support modality	Status
Cambodia	Capacity Building and Institutional Strengthening for National Climate Change Implementation	SSFA between UNEP and Climate Change Department of the Ministry of Environment	Complete
Indonesia	Capacity building support to National Council on Climate Change of Indonesia	SSFA between UNEP and Matsushita Gobel Foundation	Complete
	Development of an Implementation roadmap for Article 6 of the Convention (Action for Climate Empowerment)	PCA between UNEP and UNEP-DTU Partnership, which in turn contracted Indonesia institution (such creative arrangements were made necessary to go around UMOJA roll-out related impact on UNEP operations since April 2015)	In progress
Lao PDR	Awareness Raising on Climate Change and Capacity Building (Part 1)	SSFA between UNEP and Department of Disaster Management and Climate Change of the Ministry of Natural Resources and Environment	Complete
	Awareness Raising on Climate Change and Disaster District Levels (Part 2)		Complete
Malaysia	MyCarbon Web Portal Planning, Design and Piloting <a href="#">MyCarbon Programme</a>	SSA between UNEP and 1 local individual consultant	Complete
	National Climate Change Web Portal Content Development	SSA between UNEP and 1 local individual consultant	Complete
	V&A Study of Climate change impacts on Floods in Sarawak River Basin	SSFA between UNEP and National Hydraulic Research Institute of Malaysia, Ministry of Natural Resources and Environment	In progress
Thailand	Thailand National Climate Change Database and Website Development ( <a href="http://climate.onep.go.th/">http://climate.onep.go.th/</a> )	One local firm is 'contracted' to deliver work. Since SSA cannot be issued to a firm, 4 SSAs were issued by UNEP to 4 local individual consultants hired by firm.	Complete
	Web launch and Thailand climate expo 2015	SSFA between UNEP and University of Technology Thonburi	Complete
Myanmar	Awareness Raising on Climate Change at District Levels	SSFA between UNEP and Environmental Conservation Department , Ministry of Environmental Conservation and Forestry	In progress
	Stocktaking Report for National Adaptation Plan	SSFA between UNEP and Stockholm Environment Institute (SEI)-Asia Centre	In progress
Philippines	Tailored Nationally appropriate Mitigation Action (NAMA) prioritisation using Multi-criteria analysis tool, developed and adapted through participatory approach	SSFA between UNEP and UDP (total amount \$ 132,000 including \$ 50,000 national level activities in Philippines and three regional knowledge products on NAMAs called "NAMA studies")	Complete
	MRV for energy and transport sectors	Included in PCA agreement between UNEP's FIRM Project and DTU (same as above: to go around UMOJA roll-out related impact on UNEP operations since April 2015)	In progress

Country	Activity	Payment and support modality	Status
Vietnam	Capacity Building for Vietnam Climate Change Negotiation Delegation	SSFA between UNEP and Department of Meteorology, Hydrology and Climate Change of the Ministry of Natural Resources and Environment of Viet Nam	Complete

Output Achievement Rating: HS

### 3.3. Effectiveness: Attainment of Project Outcomes and Results

#### 3.3.1. Achievement of Direct Outcomes

56. SEAN-CC Phase II has one principal outcome and five immediate outcomes (see 2.7 Reconstructed Theory of Change). However, the project does not have any official metrics to determine whether or not its outcomes were achieved, so a simple causal pathway analysis, based on the TOC diagram, provides insight as to whether or not the immediate and principal outcomes could have potentially been achieved.
57. Immediate outcome, “strengthened climate change offices and climate coordination structures in the region, is “fed” directly by four outputs and two other immediate outcomes. Of the four outputs three were achieved and one was not done, hence the probability that the outcome was achieved to a degree is strong. Of the two immediate outcomes feeding into this outcome, both were achieved, thus further fortifying the probability that this immediate outcome was achieved. Network participants were asked about how well this outcome had been met, the overall response on a scale from 1 to 5, 1 being “poor” and 5 being “excellent”, was 4.2. Three of the four outputs linked to that outcome were also ranked by participants as having been achieved very good to excellent (see Table 7).
58. Immediate outcome “CC negotiators have improved understanding of UNFCCC high profile topics and implications for the region” has one output that feeds directly into it. This output was achieved as evidenced by all the trainings and briefs that were given and prepared as part of this output (see Table 4, #3, section 3.2) In the perception of the network participants this outcome was ranked with a 4.8, an almost excellent achievement status, and the corresponding output linked to this outcome was ranked similarly high by participants (see Table 7)
59. Another immediate outcome “a sustainable and dedicated regional knowledge platform” has one output that feeds into it. This output was achieved with specific activities undertaken to revamp and improve the platform. According to network participants the outcome and output have somewhat similar achievement rankings (see Table 7), indicating that the network participants acknowledge the dedication of the website but perhaps were less impressed with the work that was done to improve the website, or as mentioned before were not fully satisfied by the occasional lack of timely updating of information on the regional knowledge platform. Admittedly network members have also expressed that what was of higher importance to them, was the quality of their own national website and other online climate change platforms, which SEAN-CC helped improve through national level activities when required, to their full satisfaction.

60. One of the five immediate outcomes (CC offices foster the formulation and integration of CC strategies in selected priority sectors) was not seen, by the Steering Committee, as priority for strengthening capacities of climate change focal points and therefore was not accomplished. Nonetheless, when asked to rank it the network participants did ascribe a value (See Table 7). The immediate outcome “CC offices foster the formulation and integrations of CC strategies in selected priority sectors” is ranked much higher than it’s corresponding output “establishing regional sectoral networks” which was in fact never carried out. The reason the outcome still has significance for the participants and is viewed as having been achieved is because the countries felt that they had the sufficient resources in-country to carry out this function, (often as a result of receiving relevant knowledge and of adequate capacity built through SEAN-CC topical workshops), and if they needed help, they would request it from the network.
61. Immediate outcome, “sustainable regional network of climate change offices” was not achieved because its output, creation of a roadmap for sustainability of the network was not achieved. Not achieving this immediate outcome does not affect the attainment of the other outcomes in the project, but it does affect the network moving forward in the future. As explained in paragraph 50 above, despite the network not producing a roadmap the participants took this output to mean (as verified in conversation) that they as countries more or less had an idea of how to keep in communication with each other once SEAN-CC finished; plus, some members interviewed did remember discussions about a “roadmap” for sustaining the network, hence the rank. The outcome rank simply corresponds with these views. (See Table 7).
62. As seen from the analysis above the majority of the outputs and immediate outcomes were achieved, and in the perception of the network participants, they were achieved well; so it follows that the principal outcome of the project “strengthened capacities and capabilities of climate change focal points and related institutional mechanisms” has also been achieved. That said, it is important to keep in mind key facts that can question the robustness of the attainment of the immediate outcomes and principal outcome.
63. First of all, the project does not have any metrics to measure if the immediate outcomes or principal outcome were achieved. Second, the logical sequence displayed in this analysis between outputs, immediate outcomes, and principal outcome was not something the project, in any way, had contemplated. In fact, the project management team felt the Reconstructed TOC diagram clarified how the various components of the project fit with each other; this clarity was not in the project document, and although understood by the project management team nowhere was it laid out in a way that the project could logically discuss how progress towards an outcome was being made. Third, the attainment of the immediate outcomes is contingent on certain factors (drivers) as mentioned earlier in 2.7. These include: 1) that the “right people”, meaning the ones that can move the respective aspects of the national climate change agendas, are the ones receiving the appropriate capacity building; and, 2) that countries actually implement the lessons and best practices that are shared/taught via the network meetings and trainings. The project management team felt that occasionally the person receiving the training or attending an event was not the “right one” (see lesson learned two) but had no control or little influence over the matter (the nomination process is under the responsibility of the UNFCCC national focal point), and the project did not have an easy way of gauging if lessons and best practices from the network were being implemented in the home country (see lesson learned three).
64. The table below lists the immediate outcomes with the corresponding outputs (See Figure 1 Reconstructed TOC, under 2.7), and how well they were achieved according to network

participants. Network participants were asked to rank how well they thought the outcomes and outputs had been achieved. However, in the questionnaire, the participants did not know what output was linked to what outcome. In fact, the distinction between outputs and outcomes is not known to the network participants. They see all of these elements as goals or things that the network is trying to do. Interestingly however, there is correlation between the ranks of the outputs and the ranks of the outcomes associated with them.

**TABLE 7: NETWORK PARTICIPANT RANKINGS OF OUTCOMES LINKED TO PARTICIPANT RANKINGS OF OUTPUTS**

	Outputs linked to Immediate Outcomes (n=10)	Output Rank	Immediate Outcomes (n=10)	Outcome Rank
1	having biannual network meetings	5	strengthened climate change offices and coordination structures	4.2
2	having exchange visits for staff or focal points between countries	2		
3	identifying and assessing national CC institutional strengthening needs (participants saw this outputs as the work that was done for deciding what in country project to implement with the 100k See paragraph 50)	4.05		
4	establishing synergies and partnerships with other major CC initiatives	4.25		
5	conducting capacity building and training around UNFCCC high profile topics	4.25	cc negotiators have improved understanding of UNFCCC high profile topics	4.8
6	establishing regional sectoral subnetworks	1	cc offices foster the formulation and integrations of CC strategies in selected priority sectors	3.8
7	improving the online knowledge platform (website)	3.1	sustainable and dedicated regional knowledge platform	3.8
8	<i>establishing a roadmap for sustainability of the network</i>	3.2	sustainable regional network of CC offices	3.7

Direct Outcome Achievement Ranking: S

### 3.3.2. Likelihood of Impact

65. The impacts resulting from the project outcome are two: 1) climate resilient development, and 2) low carbon development. It is too early to adequately gauge if the strengthened capacities and capabilities will turn into concrete action that will produce climate resilient and low carbon development in the various countries. Still, evidence (such as the review of material presented during technical workshops and trainings on NAP, CTCN, NAMA, iNDC development, GHG inventory) and testimonies from network members, suggest that SEAN-CC support contributed to an increased likelihood that such impact will eventually materialize. Getting to concrete action will require policy changes, funding, new technology deployments, and other political and institutional arrangements (see 2,8 Reconstructed Theory of Change, paragraph 39 and 40).

66. Network participants were asked if they felt that the project was contributing towards climate resilient and low carbon development directly or indirectly, in the short term (1-3 years), medium term (4-6) years, or long term (7-10 years). For the most part, project activities are

perceived to have an indirect influence on both aspects, and these are influences that are expected to have an effect within 4-6 years.

67. The countries are keenly aware that what is provided by the network cannot be translated into concrete actions unless certain enabling conditions are created in their country. Some of the conditions that were mentioned the most during interviews with the participants were: government willingness to do what has to be done, funding to do what must be done, installed capacity to do what must be done, and minimisation of turnover of key staff in climate change offices and other key climate change related institutions. In the end, the most important condition according to interviewees was the government's willingness to take real committed action. These same conditions are mentioned in the TOC as assumptions (paragraph 39) affecting the achievement of the desired impacts.
68. As a note: capacity building projects that have desired impacts that will take four - six years to meet, or more, cannot expect that two years of sporadic interventions will transform into these impacts, especially when the impacts desired are highly processed based and almost completely contingent on factors beyond the scope of the project. So, while this project logically moves the bar in the direction of the impacts it will not be the determining factor; and it will definitely not be the determining factor if its intervention is not more closely matched in time to the reality of these country bound processes. See recommendation five for more information.

Likelihood of Impact Rating: MS

### 3.3.3. Achievement of Project Goals and Planned Objectives

69. The original project document does not use the language of goals or planned objectives. It lists one principal objective: "to strengthen institutional frameworks for coordinating climate change at national and regional levels with a view to enable countries to adopt integrated approaches for climate resilient and low carbon development and respond to UNFCCC commitments". The aforementioned outputs, immediate outcomes, outcome, and impacts of the project are the distillation of that very general objective, and ratings have been provided for those already, therefore, this rating reflects an average of the three ratings provided above.

Goals and Planned Objectives Rating: S

## 3.4. Sustainability and Replication

### Project Sustainability

70. This is a project with a very high degree of ownership and buy-in on the part of the stakeholders. The stakeholders set the agenda based on real knowledge gaps they need to fill, and the project delivers services to close those gaps. It was designed that way from the onset (paragraph 14) and has successfully achieved what it set out to do in terms of involving the countries and making this a learning network for them and their needs. However, the high level of ownership in this type of project, one that provides services to build capacity, does not translate into the effort continuing beyond project duration. Once the project ends, this dynamic between stakeholders and project is over.

### Financial Sustainability

71. In order for service provision to continue, funding is required. The work of SEAN-CC network will remain useful in the near to medium future since much still needs to be learned, shared,

disseminated and acted upon in order for the development of ASEAN countries to become low-carbon and climate resilient. However, this continuation is completely dependent on financing for delivering the kind of services the project has provided thus far. The project has not yet secured additional funding for continuation of its efforts. However, there are other climate change initiatives in UNEP that can potentially provide or fund some of the SEAN CC type services for the network participants after the project has concluded. The project is working on structuring these possible interactions. Furthermore, countries can also look for funding elsewhere to receive SEAN CC type services or complement work already done with SEAN CC.

72. Moreover, the learning that has occurred through network activities needs to translate into concrete action at the country level. One of the major assumptions of this project, as expressed in the TOC, is that countries will have the financial resources to implement climate resilient and low carbon development. While this does not affect the continuation of the SEAN-CC network, it does influence the likelihood of attaining the projects desired impact (paragraphs 65-67). That said, there is funding that countries can access, and some countries in the network are prepared to access that funding.

Financial Sustainability Rating: MU

### **Institutional Frameworks**

73. SEAN-CC Phase II set out to “strengthen capacities and capabilities of national and regional climate change focal points and related institutional mechanisms of ASEAN countries”. However, there are issues at country institutional levels that influence the attainment of this. The 10 ASEAN countries have significantly different socio-political contexts and very different development needs and priorities. Political support for climate change issues differs strongly from one country to the next. The result is that the profiles and influence of the national focal points are very varied, and the climate change governance mechanisms or institutional structures differ strongly from one country to another.

74. This leads to a couple of key institutional challenges, already discussed in the TOC as key assumptions. Specifically, these institutional challenges are:

1. *High turnover of national climate change focal points and related staff because of often changing government structures for addressing climate change and/other environmental issues.*

This means that individual’s capacities are being strengthened but there is no guarantee that those capacities will remain in a place where they will be employed in a progressive execution of actions leading towards tangible low carbon or climate resilient action on the ground.

2. *Poor inter-sectorial coordination between organizations/offices/bodies charged with dealing with climate change issues and all the other government agencies that are either affected by or affect climate change.*

This can occur for two main reasons. The focal point and related staff do not have the mandate to coordinate, or simply the focal point and the related staff do not have the ability to carry out that coordination. The SEAN-CC efforts can improve capacity, but they cannot change the mandate.

75. The project had programmed conducting an independent SWOT analysis of the different in-country climate change institutional set-ups and governance mechanisms to then share the information with the countries and evaluate best set-up options given particular circumstances. This activity was not carried out because the countries did not feel it was a priority activity. If a third phase of the network were to emerge, this is an action that should be prioritised at the very onset of the project, or at project development stage, since it could, at the very least, clarify to what entity or entities certain network actions would best be targeted; and at best, it could strengthen institutional mechanisms so that the services and learning provided could be effectively absorbed and adapted in to action. See recommendation one for more information.

Institutional Sustainability Rating: MU

#### **Environmental Sustainability**

76. The project itself is not promoting any particular actions for either adaptation or mitigation, instead it is presenting the stakeholders with a variety of options, and empowering them with enough knowledge to be able to decide on actions and practices that best suit their particular country situations. Furthermore, in theory, the implementation of adaptation and mitigation actions are designed to favour or improve the environment. So, environmental negative effects should not be resulting from this project. Then again, any mitigation or adaptation action for which proper and thorough due diligence is not done could have detrimental effects on the environment. This due diligence is responsibility of the country stakeholders.

Environmental Sustainability Rating: HS

#### **Socio-Political Sustainability**

77. If the project were to secure funds for continuation, and its success is the effective participation, learning, and satisfaction of its participants, and the translation of learning to action on the ground, success will always hinge on the political willingness of governments to take action, and on the socio-political stability of the countries. These two factors are simply part of the enabling conditions in countries. As expressed in 2.2 Target Geography and Groups there is a lot of socio-political variability in the region that could prove more or less conducive to the implementation of climate resilient and low carbon development.

Socio-Political Sustainability Rating: MS

#### **Catalytic Role**

78. Network participants were asked specific questions about the catalytic role of the project. According to the responses the project has had a moderately satisfactory catalytic role, with the project having contributed somewhat to institutional changes, additional financing, and people's ability to catalyse change. The area where less catalytic influence is visible is in the policy arena, which is not surprising, since policy changes usually require more than three years to take effect. Table 8 below shows the network participants perception of the project's catalytic role.

**TABLE 8: COUNTRY PERCEPTION OF CATALYTIC ROLE OF SEAN-CC PHASE II**

Catalytic Question (n=9)	No	Few	Some	Many
Has the SEAN-CC project contributed to institutional changes within your organization?	3		6	
Has the SEAN-CC project contributed to policy changes in your country?	4	1	4	
Has the SEAN-CC project contributed to additional financing sources ?	1	2	6	
Has the SEAN-CC project contributed to other peoples' ability in your organization to catalyse change?	1		6	2
TOTALS	9	3	22	2

**Replication**

79. The bulk of this project is about sharing specific and relevant information and knowledge with the network participants, with the expectation that they will take what is learned and implement what may be useful to their particular country situations. The sharing of information and imparting of knowledge has been successfully done as evidenced by capacity building events, network meetings, improvement of the website, and dissemination of many publications (see section 3.2, Table 3). However the project did not actively track how what was being learned was possibly being applied in-country.

80. Some countries have hosted or co-hosted capacity building events attended by network participants. These events have been planned as part of the network's overall activities and are not replications of what the network does. Also, as stated in paragraph 82 the participants as well as project management feel strongly that this project is not being replicated in the region or at a country level. ASEAN has an apparently similar effort where the countries do come together for climate change related events that sometimes involve learning. However, it was repeatedly stated by countries that the significant differences between SEAN-CC and ASEAN are: 1) the countries really do get to tailor the SEAN-CC work agenda to meet their most pressing learning needs; 2) the network fosters a strong sense of ownership and sustainability of national activities; 3) the network member countries benefit from informal smooth exchanges and peer to learning in a non-politically charged arena.

81. This type of learning network project is fairly straightforward to replicate, in fact SEAN-CC is in essence tailored after a similar network learning project, the UN initiative of Regional Networks of National Ozone Units for meeting the Montreal Protocol. The basic recipe of both these projects is: "bring together a specific set of stakeholders around a particular issue, and provide specific capacity building to transmit learning and knowledge that can be used to achieve a desired impact upon the particular issue." Important to keep in mind that the type of issue will determine the complexity of the network — both in terms of who to involve, how to involve them, what capacity building to provide, and how to monitor success towards desired impact. Once a desired impact has been determined, a recommendation is to conduct an institutional needs analysis prior to project design in order to fine tune who needs to be targeted, with what, and how. See recommendation one for more information.

Catalytic Role and Replication Rating: S



### 3.5. Efficiency

#### Cost Effectiveness

82. The perception by participants is that this is not a project that is being done elsewhere, especially because of the “informal” way in which the network operates. According to the network participants, there are other ASEAN regional climate change fora where countries can participate, but none tailor the agenda to the countries’ needs as much as SEAN-CC, and none encourage as much open discussion and learning from each other in the absence of a political agenda. The strong focus on building capacity and learning was also stated as being different from the other fora that bring together the ASEAN countries for climate change issues. Thus, in the participant’s view the project and network do not duplicate other efforts or networks in the region.
83. Aside from the numerous organisations the project partners with to deliver learning and knowledge to its participants (Table 1 and Table 12), SEAN-CC has also collaborated with nine other ROAP climate change initiatives and DTIE FIRM project to leverage efforts. Table 9 below lists the initiative and explains a bit about the collaboration. The collaboration in italics are projects that are also under the same umbrella project as SEAN-CC Phase II.

**TABLE 9: COLLABORATION WITH OTHER ROAP CLIMATE CHANGE PROJECTS**

Project	Collaboration
NAMA for Building Project , funded by Germany, implemented in 4 countries (Indonesia, Thailand, Philippines, Vietnam) :	Two big regional workshops on NAMAs organised jointly, as well as with GIZ; the first one was also organised with FIRM project and GEF pilot AP CTNFC project.
Myanmar Climate Change Alliance (MCCA)	SEAN-CC national level activity in Myanmar complements MCCA programme. It can also be said that since the discussions preceded the start of implementation of MCCA (a much larger initiative funded by the EU), that SEAN-CC helped identify the right team and department where to anchor the MCCA, an important factor for its future success.
<i>CTCN and GEF pilot Asia Pacific CTNFC</i>	<i>Some activities identified by SEAN-CC network members were picked up by these projects including NDE training, regional study and workshop on Adaptation Technologies, regional harmonization of energy efficiency standards for air conditioners, among others.</i>
Central Asia Network	Negotiation briefing papers developed under SEAN-CC have been regularly translated into Russian for the benefit of CC officials of the 5 "-stans" of the Central Asia Network; Some cost-sharing (same material and same resource speakers) used for twin pre-COP21 regional workshops of last 2-3 November 2015 in Bangkok (SEAN-CC) and 4-5 November in Astana (Central Asia Network). <i>Note: likewise the negotiation briefing papers developed under SEAN-CC have been regularly translated into Spanish for the benefit of CC officials of the LAC countries of the REGATTA initiative which is also under the same umbrella project as SEAN-CC Phase II.</i>
APAN	All the adaptation related activities of SEAN-CC Phase II were implemented jointly with APAN main executing partner, IGES Regional Office in Bangkok, and its partners ICLEI and SERCA, respectively the sub-regional node (for Southeast Asia) and a thematic node (for Agriculture) of APAN.

LDC - Negotiator; designed to build the capacity of low income developing (LDC) (worldwide) countries' negotiators	IIED is a technical partner for both this programme and SEAN-CC Negotiation support work stream.
NIE – National Implementing Entities to the Adaptation Fund	SEAN-CC has contributed during its workshops on climate finance to clarify what NIE were for, how they could be selected, what is the process for their accreditation, etc. Project has also tapped NIE support programme expertise (resource speaker and materials developed).
NAP - GSP; National Adaptation Plan Global Support Programme, a GEF funded global programme targeting LDCs originally, now expanded to other developing countries	NAP process workshop organized by SEAN-CC in July 2014 (or 2015) with in-kind ("off the shelf" technical input and in-house resource speakers) from NAP GSP team.
INDC support element of GEF-funded Global Support Program for National Communications (NCs) and Biennial Update Reports (BURs)	INDC preparation sessions at SEAN-CC COP20 debriefing workshop in March 2015, which triggered intense dialogue and exchange of ideas among network countries and the start of fruitful collaboration throughout 2015 between GEF-funded Global support programme and development partners also assisting countries in the region for the preparation of their iNDCs: UK's Ricardo AEA consulting, GIZ, UNDP

84. A factor that the project management team felt hampered collaboration with other initiatives was that there was not an ideal place where the project could be housed within UNEP. SEAN-CC is housed with DTIE because it is the home of the Regional Networks of National Ozone Units and SEAN-CC was initially modelled on these networks. Further, DTIE is the Division whose work contributes most to the reduction of GHG emissions worldwide, and the donor wished to demonstrate the effectiveness of such flexible capacity building and knowledge sharing networks for facilitating the implementation of COP decisions particularly in this area (Climate Change Mitigation). However, because of the nature of the SEAN-CC that also touches upon a lot on Climate Change adaptation and Climate Negotiations topics, one could have argued that it could have also been housed within DEPI or with DELC. In fact, REGATTA, a somewhat similar initiative in the LAC region, also touching on both CC adaptation and mitigation, is housed in both DEPI and DTIE. According to project management team members, within UNEP, collaborating with other relevant teams within a division can be challenging; collaborating with other teams across divisions is more challenging. The reasons in a nutshell: cumbersome administrative processes to share project funds and tendency to "protect" one's initiative and area of expertise for initiatives that are donor-specific with funding that is project-based. This begs the question: for a project that is regional in nature, and deals with thematic aspects that are currently managed from different divisions within UNEP where is the best place for it to be housed in order to best receive the supervisory and backstopping support it needs from UNEP, and in order to best leverage cooperation from other UNEP initiatives? The project management team also posed an even bigger question, of whether the introduction of thematic sub-programmes within UNEP a few years back, have fully delivered or not on their promises to allow for easier collaboration across technical divisions. See recommendation six for more information.

### Timeliness

85. At the beginning of SEAN-CC Phase II there was a carryover of US\$986,000 from Phase I which was about one year of planned expenditures. This money was not reflected in the project document budget of Phase II as preferred by the donor. However, the pending activities

associated with that money were all executed during most of 2012, which meant that activities of the 2012 workplan, as presented in the project document, began execution late in 2012; furthermore, these 2012 activities were implemented with part of the leftover funding, hence putting Phase II, right from the beginning, with a late start in project execution and an even more significant delay with regards to planned disbursement of project funds.

86. Other factors have further delayed implementation. One reason is the inadequate number of staff to implement in a timely manner; see paragraphs 95 -97, and Tables 10 and 11. Most of the times during implementation the project had only one dedicated team member, a full time consultant, in the regional office. For short periods of time before 2015, there were no dedicated team members in the regional office; and then, for most of 2015, there were two, including a project officer. Since mid-2011, there had been an almost fully dedicated staff at the Paris DTIE office supporting the SEAN-CC. At the end of 2012 this staff began to fully manage SEAN CC from Paris.
87. Many delays were because of conflicting schedules among the different government entities in the various countries, and the many other commitments to which the same people that participate in the network have to attend. Finding available dates for training and meetings was a constant challenge and activities often had to be postponed. See lesson learned one for more information.
88. Also, some of the in-country projects have been delayed because of government institutional changes. Project management has moved these projects along to the best of their ability but ultimately, in-country projects are subject to the timeline of whomever is in charge of the project in-country. See lessons learned for more information.
89. Overall, the delays did not affect the delivery of the types of activities that network members selected, nor did it affect when these network members could “absorb” them, since events were scheduled around their availability. The work agreed upon with the countries - network participants - has been accomplished; the project has delivered within given constraints. However, it has been accomplished in a much longer timeframe, 2 years and 4 months longer. Two external factors are important to consider when evaluating delays: 1) the ever expanding number of climate change topics the climate focal points are responsible for in the international negotiations and the implications of these at the domestic level; this translates to filled agendas and limited availability. 2) the estimated implementation timeframe vs. the funding provided vs. the type of work required. It is possible, that the implementation timeframe was too short given the level of funding provided, for the type of work required, for the particular stakeholder involved. Hence, again the value of conducting an institutional needs assessment prior to a further project development. See recommendation one.
90. Because of the aforementioned delays, the SEAN-CC Phase II final termination date has been extended twice (paragraph 3), and the donor has been fine with it, since from the beginning the Donor Agreement signed between UNEP and the government of Finland kept an open end date, precisely to facilitate these extensions, and with the donor fully aware of the implications of the Phase I rollover of unspent funds. All major staff time costs, related to the operation of the project in this extended time frame have been covered by the project.

Efficiency Rating: MS

### 3.6. Factors Affecting Performance

#### Preparation and Readiness

91. SEAN-CC Phase II was designed based on the lessons learned and recommendations that emerged from an evaluation of Phase I (see section 2.1). SEAN-CC Phase II project document explains how it will address these recommendations, outlining outputs and activities to do so. The project document for Phase II is clearer and more focused than the project document for Phase I, however, it still lacks concise and straightforward explanation of what will be done. There is much repetition with different language of what it intends to do, and this muddles and inadvertently hides the nuts and bolts of the project. The project document has the basic ideas of what it intends to do but could really benefit from more concise and direct writing that succinctly links the various elements/ideas together. See recommendation two for more information.
92. The project design clearly laid out a structure for project management with clear roles and responsibilities for all involved. Day to day implementation was to be done by a Project Secretariat (project management team) of 3.5 FTEs based out of ROAP and supervised by the Head of Technology Transfer Unit of DTIE' Energy Branch and the Regional Director of ROAP. The DTIE office in Paris would also provide in-kind services from certain staff for reporting, budget management, some day-to-day guidance, and backup support. However, this set-up was never implemented as envisioned. See paragraphs 95-97 and Tables 10 and 11.
93. Potential partnerships were clearly laid out in the project document, however, no roles and responsibilities were negotiated prior to project implementation. Actual partnerships were sought out and brought into the project on a case-by-case and needs basis. As was seen under 2.4 Project Partners and below in Table 12, a variety of institutions and organisations have contributed to deliver the services that were being asked for by countries. Thus, partnerships were chosen strategically depending on what had to be done, and roles and responsibilities were negotiated at that moment.
94. Stakeholders for this project are the climate change focal points and their offices/staff. This was determined from the get-go during Phase I, and was not changed for Phase II as it is inherent to project design and model of the Montreal Protocol Regional Networks of National Ozone Officers on which SEAN-CC is based. Therefore, no official stakeholder analysis was conducted prior to the project design. However, since Phase II was designed based on the lessons learned and recommendations that emerged from the Phase I mid-term evaluation, and country stakeholders provided much feedback for that mid-term evaluation, it is fair to say that the country stakeholders did have input on how Phase II was going to develop.

Preparation and Readiness Rating: S

#### Project Implementation and Management

95. One of the most significant factors affecting timely project implementation and management has been the incomplete staffing structure that the project has had from its onset. Originally the project called for a project management team, with 3.5 FTEs that would manage day-to-day implementation and would be based out of UNEP, Regional Office for Asia Pacific, in Bangkok.

The donor would pay for a large portion of those positions and UNEP would co-finance the remainder (i.e. 25% of the two P3 positions).

96. However, the project was never staffed as envisioned, so a series of short term consultants were hired to partially fill the gap in project staff. These consultants worked between 75 and 90% of their time for the project. The reasons why the project was never staffed as originally designed are:

- The P4 position was never administratively vacant, and thus could not be filled;
- One of the P3 positions, although on paper functioning for the project and receiving a salary from the project during the whole of 2012, dedicated minimal time to the project; but this post could not be properly filled because it was not made administratively vacant until early 2014 ;
- The other P3 position was based out of Paris, which presented some communication and travel challenges because of the distance from the region;
- The supposedly full-time team assistant, budgeted for two years, dedicated on average about 20 to 30% of her time to the project.

Table 10 below illustrates the real staffing situation of the project according to the time dedicated to the project over the last four years.

**TABLE 10: STAFF TIMES OF SEAN-CC PROJECT, ENVISIONED VS REAL**

Secretariat	Envisioned	2012 real	2013 real	2014 real	2015 real	Average 4-year period	Average on equivalent 2 year period	Comment
P4 PM	50%	0%	0%	0%	0%	0%	0%	Post never became vacant administratively.
P3 Proj. Off. 1	100%	70%	75%	75%	60%	70%	140%	This was always Jérôme Malavelle, who was based in DTIE, Paris; he also assumed Project Manager function as of September 2012.
P3 Proj. Off.2	100%	30%	5%	0%	75%	28%	56%	Rajiv Garg assumed Project manager function through summer 2012, switched to GEF project in 2013 while retaining administratively this P3 position. Position was re-advertised in March 2014 and refilled in January 2015 (Usman Tariq).
G5 Assistant	100%	30%	25%	20%	20%	24%	48%	Assistant (Jutaporn, Apple, and Rowena successively) spent time on other projects besides SEAN-CC hence the small % per year.

In-house consultant (not in original design)	50%	80%	75%	90%	85%	83%	166%	In-house Consultant hired in lieu of project staff (Hanh Le, then Jiwon Rhee, then Ellie Bacani); Hanh Le's start date was mid March 2012 in Paris, and there were 3 month interruptions in her contracts early 2013 when she moved to Bangkok. When she resigned in March 2014, Jiwon Rhee had just started as she was to become the "2 <sup>nd</sup> full time consultant" to make for the high work load. When Jiwon Rhee moved to FAO Jakarta as JPO in January 2015, Ellie Bacani came on board
Total FTEs	4.0	2.1	1.8	1.9	2.4	2.0	4.0	

97. The project also included in-kind time of positions in DTIE that were intended to lend their expertise and support to the project. This support did not quite turn out the way it was intended for reasons that are unclear. However, Table 11 below depicts the actual support provided and comments specifically on the nature / amount of support provided.

**TABLE 11: DTIE AND ROAP IN-KIND STAFF TIMES OF SEAN-CC PROJECT, ENVISIONED VS REAL**

DTIE and ROAP	Envisio ned	2012 real	2013 real	2014 real	2015 real	Averag e 4- year period	Averag e on equival ent 2 year period	Comment
Programme Officer	30%	10%	0%	3%	3%	4%	8%	Jonathan Duwyn helped in 2012 during launch of Phase 2. Other colleagues contributed in 2013 and 2014.
Sr. Programme Manager	10%	2%	1%	5%	5%	3%	7%	Bernard Jamet provided guidance in 2012, then there was time lapse without head of unit after he retired, then contribution of heads of Technology unit and Policy unit.
Global and Regional CCC	10%	10%	15%	20%	20%	16%	33%	Little contribution from UNEP CC Sub-programme coordinator, but essential contribution by Regional CCC on substance, providing strategic guidance, and to manage Bangkok team on every day basis.

Head of Branch	2%	4%	1%	1%	1%	2%	5%	Substantial contribution for launch of Phase 2 then on-demand overall guidance and SVB participation.
Admin and Secretarial	10%	8%	8%	8%	8%	8%	16%	Support at DTIE (5%) mostly provided by Vera Pyataeva, with guidance from Amanda Lees; admin guidance at ROAP (2.5%) mostly provided by Henk Veerbeek
Total in kind FTE	0.6	0.3	0.2	0.4	0.4	0.3	0.6	

98. Despite always being understaffed, the project has delivered on the activities according to the workplans established by the countries and the countries are very satisfied with what has been done. (See 3.2, Achievement of Outputs). The staffing challenges simply led to implementation delays as mentioned above under “timeliness”; everything took longer to do; hence the four year duration of the project versus two.
99. The network participants mentioned that they found it strange that the Secretariat was always understaffed and that there was a high turnover rate. In the questionnaire the network participants were asked if the Secretariat was easy to access; if they responded to emails or calls within a reasonable time frame; if they were courteous and respectful in their interactions; if they had provided effective assistance to country needs; and if they were knowledgeable of topics or could direct to the appropriate source. Across the board, the team got very favourable remarks with ‘always’ being the overwhelmingly predominant answer. In the perception of the participants, the Secretariat was doing its job, and as evidenced earlier in section 3.2 the participants were satisfied with the capacity building services coordinated and provided by the network.
100. Three network participants and two partners asked if this project was considered important in UNEP ROAP, because if it was considered important, they felt it should be given the proper management and administrative support, meaning it should be properly staffed. This observation, was not questioning the services provided by the network or the Secretariat, it was questioning the bigger picture and support from UNEP towards the project.

Project Implementation and Management Rating: MU

### Stakeholder Participation, Cooperation and Partnerships

101. The partners in this project (see section 2.4, Table 1) provide services for the stakeholders, which are the climate change focal points, their staff, and other relevant climate change affiliated government staff. The network participants (stakeholders) are satisfied with what the project has delivered (see 3.2 Achievement of Outputs), and as voiced in conversations, they seem satisfied with various partners that have cooperated with the project.
102. Partners are sought out on a case-by-case basis depending on the need at hand. Generally speaking organisations and subsequent partnerships are sought for: lead training or capacity building; sometimes partner organisations spearhead policy decisions that then SEAN-CC supports; other partner organisations provide key technical assistance and produce content material; some partners host or co-host meetings that SEAN-CC members attend; other

partners jointly implement activities with SEAN-CC; some organisations provide people as key information resources during SEAN-CC meetings or trainings; and some partners are essential for delivering on logistics and administrative issues. A partner organisation can play more than one role. Tables 12 below is an example of how some of the project partners have interacted with SEAN-CC, and hence how they have interacted with the country stakeholders.

**TABLE 12: PARTNERS AND HOW THEY INTERACT TO SUPPORT COUNTRY NEEDS 2015**

Nature of Relationship / Institutions / 2015	AIT	CCC (Philippines)	GIZ	NCCS (Singapore)	NEA (Singapore)	UNEP/DTU	SEI Asia Centre	IIED	MONRE (Vietnam)	DNPI (Indonesia)
Partner is lead trainer or capacity builder			x			x	x	x		
Partner spearheads policy decision that SEAN-CC supports		x	x			x		x		
Partner provides key technical assistance/content (tangible results produced)	x		x			x	x			
Partner hosts or co-hosts meeting and SEAN-CC members attend	x	x	x	x	x		x		x	x
Partner jointly implements activity/event with SEAN-CC	x		x			x	x		x	x
Partner provides key people as key information resources for SEAN-CC activities	x		x	x	x	x	x	x	x	x
Partner is key for delivering on logistics and administrative issues	x	x	x	x	x		x		x	x

103. Regional collaboration with other initiatives was sought out by the project and seen as something positive for the sustainability of the network. The project would have liked to position the network vis-a-vis the ASEAN efforts regarding climate change. However, ASEAN was not so keen on this collaboration, especially without financial remuneration, thus a closer collaboration occurred with the ASEAN Working Group on Climate Change (AWGCC), particularly its successive Chairs (ONEP Thailand and then MONRE Vietnam), and during the AWGCC annual meetings and ASEAN-EU dialogue on Climate Change. The project has had the Chair of AWGCC on its Supervisory Board, hence keeping ASEAN very informed of its work and allowing it the possibility of contributing suggestions and commenting on all its work.



Furthermore, ASEAN Secretariat staff is invited to all relevant events, and has co-hosted events with SEAN-CC.

Stakeholder and Partner Participation Rating: HS

Stakeholder and Partner Participation Rating: HS

### Communication and Public Awareness

104. The information in the network is shared among its stakeholders and partners in the following ways: minutes are produced after bi-annual meetings; presentations and documents that are used during events, trainings, meetings etc. are distributed to all stakeholders and partners present at the event via email, and occasionally printed copies are also distributed. Many of these materials are posted on the SEAN-CC website. The project has produced a large number of briefs and technical studies which are all available for download from the website.
105. Stakeholder countries are informed via email when a new publication (briefing or technical study) is produced/available. The SEAN-CC website therefore has vast amounts of relevant information arranged by countries and topics. At outreach events, relevant documents are often printed and shared with groups outside of the key stakeholder group. The network has a brochure that it shares at all public events. The website information is available to anyone.
106. The network participants are always given the opportunity to provide feedback. After all events, the network participants fill in questionnaires to evaluate the events. See Annex 5.4 for a sample questionnaire. During regional meetings the network participants provide feedback on workplan activities and voice clear opinions about what they need in terms of assistance from the network; this information is then discussed in the Steering Committee where decisions are made that are then shared for final approval with the Supervisory Body. Final workplans and other relevant decisions are shared with the network participants in the spirit of informing the path ahead.
107. Some country participants suggested the network could better sustain the momentum of the learning events by providing information updates, or related knowledge between events. A newsletter could be created to keep participants engaged more consistently. A chat or a facebook page could also serve that function. That said, they also recognised that these kind of efforts need to be thought out strategically so as to not turn into information overload with little value, that in the end could have the opposite effect of keeping stakeholders engaged. This thought was shared with the project management team, and while they agreed it would be useful, they could not imagine under what circumstances, given the staffing challenges, would this have been a feasible service to carry out. See recommendation three for more information.

Communication and Public Awareness Rating: HS

## Country Ownership and Drivenness

108. This project has a very high degree of country ownership and drivenness. As stated earlier, under 2.2 Target Geography and Target Groups, governments, through the figure of the climate change focal points and their offices and staff are the primary stakeholders of this project. Furthermore, these focal points will always reach out to other relevant government agencies that could benefit from the climate change learning at hand. The countries, via the bi-annual network meetings and via the steering committee, guide the workplan for the network; countries also decide what climate change activities will be implemented in their countries with the US\$100,000 provided by the project. When a country is hosting a SEAN-CC event, the relevant government agencies help with all the logistics of the meetings, in some cases contribute to agenda content, and in other cases even deliver thematic content. On a scale from 1 to 5, 1 being “poor” and 5 being “excellent”, countries feel that the statement “the network fosters a strong sense of ownership and sustainability of national activities” is a 4.

**Country Ownership and Drivenness Rating:**

## Financial Planning and Management

109. The project has complied with basic UNEP financial procedures, however, project management repeatedly stated that getting a clear picture of how much had been spent on project activities and therefore how much was left to continue with planned implementation was always hard. The explanation for this was that current UNEP systems do not allow for such detailed and timely reporting. In fact, tracking expenditures by budgeted activities is not possible. Not only are the systems used not the most appropriate for practical financial record keeping of money in and money out, but the project has also had insufficient administrative support to facilitate the processing of this information (see paragraph 96 and Table 10).

110. Financially, the donor agreed to pay for half of a P4 project manager position and 75% of two P3 project officers positions; UNEP would pay the 25%x2 correspondingly. As mentioned in Table 10 above the P4 position was never hired because the post was never administratively vacant. So, in reality the program only had, the two P3 positions and the assistant position available. UNEP did not raise the 25%x2 for the P3 positions, so it took the money that had been budgeted for the P4 position and used it to cover the 25% of one of the P3 positions for the duration of the project. The other P3 position should have charged only 75% of their time but instead charged 100% in 2012, about 25% in 2013 and then nothing for 2014 because the staff member was paid by the other project he had been managing, yet administratively he retained the SEAN-CC P3 position for about another year. This P3 position was advertised in April 2014 and refilled in January 2015 with the project paying 50% instead of the original 75%. Additionally, UNEP used project funds to pay for 25% of ROAP Regional Climate Change Coordinator during 2014 and 2015. This was not in the project budget, yet the Coordinator did provide supervision and technical backstopping to the project. As per the project document there was to be a full time project administrative assistant for two years, paid by the project budget. In reality the project got much less time from that assistant since she<sup>4</sup> also provided assistance to all the other projects under the Climate Change team in the ROAP office. The

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<sup>4</sup> There were 3 different persons successively holding this position, all women, hence the use of the female pronoun

services provided remained mostly limited to those services deemed indispensable from a purely administrative nature, and other tasks of broader project assistance such as drafting letters, preparing project forms, computing results of evaluation questionnaires, developing and maintaining a contacts database, maintaining and organising project activity folders, etc. had to be picked up by other project team members. This “picking up” constituted on-the-go remedial actions which allowed the work of the project to be delivered in a satisfactory manner, although in an unsatisfactory use of human resources. This overall use of funds for staffing, very different from what was stipulated originally, has all been made known to the donor, and work has continued. For more information on the staffing situation of the project see paragraphs 95 - 100 above.

111. Counterpart in-kind resources, US\$700,000, were contemplated in the project design. UNEP, participating countries, and project partners would contribute these resources. Although the project management team knows that countries and partners have contributed substantially to the implementation of project activities they did not track these in-kind resources or other financial resources, that may have been brought into the project by a collaborating partner or a country government, in a systematic manner<sup>5</sup>. Although the project design document includes this information, project management team explained that tracking this funding is an area where UNEP can still improve, and that often, in staff constrained situations, this task receives lower attention. Internally, UNEP does not have a system to track how it contributes its own in-kind resources to a specific project, so UNEP in-kind contributions are also unverified.
112. Table 13 below shows the current expenditures to date according to the line items officially used by UNEP to report the Statement of Income and Expenditure. The table has information from the beginning of the project with SEAN-CC Phase I.

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<sup>5</sup> In-kind contributions were tracked more systematically for the national level activities for which the implementing partner institution had to budget in the SSFA instrument and report on its in-kind contribution. But even in these cases, the project management team found that this reporting lacked quality and consistency.

**TABLE 13: SEAN-CC STATEMENT OF INCOME AND EXPENDITURE: PHASE 1 AND PHASE 2**

Supporting Actions on Climate Change through a Network of National Climate Change Focal Points in Southeast Asia (SEAN) (Financed by the Government of Finland)								
STATEMENT OF INCOME AND EXPENDITURE FOR THE PERIOD ENDED 31 DECEMBER 2014								
UNEP IDs: CP/4040-09-03/CP/4040-10-81/CP/4040-14-70 - Project 3744/3C40/3F64								
	2008	2009	2010	2011	2012	2013	2014	Total
<b>INCOME</b>								
Voluntary Contributions	661,376	976,331	0	1,544,945	1,282,624	1,303,781	0	5,769,057
<b>Total Income</b>	<b>661,376</b>	<b>976,331</b>	<b>0</b>	<b>1,544,945</b>	<b>1,282,624</b>	<b>1,303,781</b>	<b>0</b>	<b>5,769,057</b>
<b>EXPENDITURE</b>								
Staff and Personnel Costs		121,366	405,064	329,180	315,377	258,866	211,533	1,641,385
Consultants		14,000	41,500	12,800	103,061	73,738	113,070	358,169
Contractual Services		0	110,027	549,387	69,526	218,293	259,933	1,207,166
Travel		17,577	86,357	86,803	49,554	25,536	31,283	297,109
Meetings and Conferences		53,111	102,903	116,476	94,691	203,708	323,884	894,772
Acquisitions								0
Rentals								0
Operating Expenses		51	5,302	251	3,611	4,422	0	13,637
Reporting Costs		0	613	94	0	1,500	0	2,208
Sundry								0
<b>TOTAL EXPENDITURE excl. PSC</b>		<b>206,104</b>	<b>751,766</b>	<b>1,094,990</b>	<b>635,819</b>	<b>786,064</b>	<b>939,703</b>	<b>4,414,446</b>
Programme Support Costs 7%		14,427	52,624	76,649	44,507	55,024	65,779	309,011
<b>TOTAL EXPENDITURE</b>		<b>220,532</b>	<b>804,389</b>	<b>1,171,639</b>	<b>680,327</b>	<b>841,088</b>	<b>1,005,482</b>	<b>4,723,457</b>
<b>EXCESS INCOME OVER EXPENDITURES</b>	<b>661,376</b>	<b>755,800</b>	<b>-804,389</b>	<b>373,305</b>	<b>602,298</b>	<b>462,693</b>	<b>-1,005,482</b>	<b>1,045,600</b>

FUND BALANCE AT BEGINNING OF PERIOD	0	661,376	1,417,175	612,786	986,092	1,588,389	2,051,082	0
FUND BALANCE AT END OF PERIOD	661,376	1,417,175	612,786	986,092	1,588,389	2,051,082	1,045,600	1,045,600

Financial Planning and Management Rating: U

### Supervision, Guidance, and Technical Backstopping

113. The original project document stated that project management would turn in bi-annual progress and financial reports to the relevant UNEP division. The donor would receive annual reports and brief bi-annual reports. Annual progress and financial reports were done for both parties, and the half-year reports for the donor were substituted by emails with a list of bullets highlighting major progress points.

114. The annual reports are comprehensive but the UNEP format in which the information is presented makes it difficult to check reported results vis-a-vis the workplan activities. So, while results are reported and things that the network participants had requested were getting done, being able to track progress based on a pre-established workplan was challenging. See lesson three.

115. Some of the supervisory and backstopping function was to come from staff in DTIE beyond its professional staff paid directly by the project, however, very little of this occurred for reasons discussed in Table 11. That said, technical guidance and project management backstopping has been provided by the Regional Climate Change Coordinator. Also, the project set up a Supervisory Board and a Steering Committee, two noteworthy improvements from Phase I that did not have these supervisory bodies.

116. The Supervisory Board is composed in the following way:

- 2 high level government officials from the donor, Finland (Ministry of Foreign Affairs and Ministry of Environment); 1 Director, International Environmental Policy Department for Development; and 1 Director General, International Affairs;
- 1 UNEP representative, Head of Energy Branch, at the Division of Technology, Industry and Economics (DTIE);
- 1 representative from the Asian Development Bank, Advisor on climate change, Regional and Sustainable Development Department;
- 1 representative from a major regional climate change initiative, (the Chair of the ASEAN Working Group on Climate Change).

117. The Supervisory Board met once a year for the duration of the project. The Board's mandate was to: 1) oversee the achievement of the overall project purpose; 2) re-orient the major workplans based on results achieved; 3) approve new approaches; and, 4) approve linkages with other initiatives in the region. Review of the Supervisory Board meetings indicates that these roles were performed and according to project management all functions were performed well.

118. The Steering Committee is formed of three climate change focal points or their chosen representatives. One of them acts as chair. The three focal points have to come one each from the following three groups of network countries a) Cambodia, Laos and Myanmar (the “LDC group”); b) Thailand, Singapore, Malaysia, and Brunei; c) Indonesia, Vietnam, and Philippines. The committee also includes the Head of the Technology Transfer Unit within UNEP’s DTIE, the Project Manager as Secretary to the chair, and an observer from the Finnish Ministry of Foreign Affairs at the Finnish Embassy in Bangkok (different person from that in Supervisory Board). In practice, additional observers were brought in to the Steering Committee meetings in order to facilitate the provision of technical input (e.g. from other SEAN-CC project team members) or of beneficiaries’ views (from other network members), hence facilitating the deliberations and decisions making of the Steering Committee members. The committee met generally twice a year for the duration of the project, often back to back with a regional network meeting, and had six key responsibilities:

- Provide directions to the Network Secretariat to develop workplans based on suggestions given by countries during network meetings
- Approve six month workplans and budgets
- Approve the bi-annual and annual reports
- Reorient activities in the workplan if need be
- Finalise national and regional project activity selection criteria.
- Propose new approaches to the Supervisory Board.

119. Review of the Steering Committee minutes indicates that these activities were performed. According to project management the functions were performed well. An observation is that both the Steering Committee minutes and Supervisory Board minutes have information about capacity building needs, creating alliances and strengthening the network that can be analysed to inform a third phase of SEAN-CC. At the time, this information was noted as suggestions, they were not resolutions that were taken to be acted upon during that time period. See recommendation four for more information.

Supervision. Rating: MS

## **Monitoring and Evaluation (M&E)**

### *M&E Design*

120. The project did not establish or execute a formal monitoring and evaluation plan even though this was foreseen in the original project document. The logical framework presented in the original project document complies with identification of indicators for the various outputs and outcomes, however, those indicators were not “translated” into any kind of monitoring plan.

121. The project did keep an internal record of events indicating: which topics they covered; the number and lists of participants involved; meeting agendas, reports and publications produced; and organisations involved in delivering services. All this useful information was summarised in 6-month project updates and Annual Reports to the Donor, as well as entered in UNEP’s online PIMS reporting system. However this fell short of a proper monitoring system that would have been designed and a corresponding plan developed as part of the project document.

122. The project also collected stakeholder feedback via surveys after most network events and trainings (See Annex 5.4). Comprehensive analysis of these survey results was being processed at the time of this evaluation.

M&E Design Rating: MU

*M&E Budget and Funding*

123. The project did set aside funds for a terminal evaluation (this evaluation being the terminal evaluation), and it also agreed that UNEP would commission an ex-post evaluation about 1 year after the project ended to analyse impacts of the project.

M&E Budget Rating: HS

*M&E Plan Implementation*

124. As highlighted, the project did not establish a monitoring and evaluation plan, and therefore, did not execute a formal monitoring and evaluation plan. However, (ad-hoc) monitoring and evaluation activities were carried out on a regular basis as detailed in paragraphs 121 and 122 above.

M&E Plan Implementation Rating: U

**TABLE 14: SUMMARY OF EVALUATION RATINGS**

Criterion	Summary Assessment	Rating
<b>A. Strategic relevance</b>	Aligned with and contributing to UNEP Climate Change POW and Umbrella project P12/P1	<b>HS</b>
<b>B. Achievement of outputs</b>	Estimated 75% of outputs achieved with very high satisfaction expressed by stakeholders	<b>HS</b>
<b>C. Effectiveness: Attainment objectives and planned results</b>	This is an average of the three scores below.	<b>MS</b>
1. Achievement of direct outcomes	Achievement directly related to achievement of outputs, but no formal system to measure; perception of stakeholders is that achievement of outcomes was good to very good.	S
2. Likelihood of impact	Achieving specified impacts highly dependent on many factors outside of project control	MS
3. Achievement project goal and planned objectives	Measured by achievement of outputs, outcomes and impact	S
<b>D. Sustainability and replication</b>	This score reflects the lowest score below as per the guidelines for this assessment	<b>MU</b>

Criterion	Summary Assessment	Rating
1. Financial	The project did not raise funds for its continuation, but is looking to other UNEP initiatives for support to continue some of its work.	MU
2. Socio-political	Achieving desired impacts is subject to myriad socio-political factors of a varying and variable nature in each country	MS
3. Institutional framework	In-country institutional challenges hamper action towards desired impacts; some countries have less challenges than others — this is an average score for all the countries	MU
4. Environmental	No environmental side-effects from project implementation	HS
5. Catalytic role and replication	Easy to replicate and has catalysed some change in-country	S
<b>E. Efficiency</b>	Project activity implementation delayed; joint activities carried out to reduce costs	<b>MS</b>
<b>F. Factors affecting project performance</b>	This is an average of the eight factors below	<b>MS</b>
1. Preparation and readiness	Biggest challenge: project document not straightforward in conceptualisation of what was to be done.	S
2. Project implementation and management	Always understaffed leading to constrained capacity to implement in a timely manner	MU
3. Stakeholders participation, cooperation and partnerships	Worked with vast array of organisations to deliver services; collaborated with other initiatives whenever possible	HS
4. Communication and public awareness	Plenty of mechanisms to communicate and disseminate information	HS
5. Country ownership and driven-ness	Beneficiaries feel lots of ownership and involvement	HS
6. Financial planning and management	Many constraints to track spending because of UNEP systems; UNEP did not seem to uphold commitment to co-finance certain staff positions (at least there is no clear evidence of it)	U
7. Supervision, guidance and technical backstopping	Functioning Supervisory Board and Steering Committee, lean support from DTIE for technical backstopping	MS
8. Monitoring and evaluation	No monitoring plan established or implemented	MU
a. M&E design	Basic elements of design in place	MU
b. Budgeting and funding for M&E activities	Funds budgeted and used for evaluations	HS
c. M&E plan implementation	No formal plan to implement but does track activities done and gauge participant satisfaction	U
<b>Overall project rating</b>		<b>MS</b>



## 4. CONCLUSIONS, LESSONS LEARNED AND RECOMMENDATIONS

### 4.1. Conclusions

The following conclusions summarise the answers for the six main evaluation questions. Each question is listed below in bold and the evaluation answer follows

#### **1. How relevant was the project to beneficiary needs and UNEPs mandate and Programme of Work?**

125. The project is much appreciated by its beneficiaries as evidenced via interviews with network participants and written responses to key questions about the services provided by the network. They feel a high degree of ownership of the project, feel the network has done what they collectively agreed it would do, and what has been provided through those activities has been of use to them. See sections 3.2 and 3.3 and paragraph 108.

126. SEAN-CC work is aligned with and is relevant to EA(b), EA (a), and EA(e) of UNEP's Climate Change subprogram. All of the network's capacity building activities, outreach activities, and knowledge products are either about mitigation, adaptation, UNFCCC negotiation aspects or a combination of those. See section 3.1 for more information

#### **2. How coherent was the project with the umbrella project objectives and proposed intervention strategies, and how complementary was it to other sub-projects and other UNEP projects in the same field?**

127. SEAN-CC Phase II is coherent with the umbrella project P12/3 P1, and through the implementation of its activities has contributed to the umbrella project objectives and intervention strategies. The project is also complementary to many of the projects under umbrella project 12/3 - P1 since the majority of those projects are also supporting knowledge networks, and building capacity around adaptation, mitigation, and are enabling to various degrees the implementation of climate change actions domestically in response to recommendations and decisions stemming from the international climate change negotiations under the UNFCCC process.

128. That said, the SEAN-CC had limited interaction with other projects under the umbrella project. There are two reasons behind this. One is the inherent challenge of coordinating between UNEP divisions as well as within them because of lack of incentives to do so including the administrative complications that such collaborations lead to (see paragraph 84); the other, to some extent a linked reason, is the understaffing of the project (paragraphs 95 -97, Table 10). Coordinating with another initiative requires time so as to structure a collaboration that makes sense for both parties and adds value to the ultimate beneficiaries; to that time, add the time needed to navigate internal administrative hurdles, and it is clear that the project did not have the human resources to dedicate to this task. Higher level management DTIE staff assigned to support the project had this as a responsibility, however, as seen in Table 11, in the end, DTIE staff dedicated rather limited time to the project.

129. Also, although SEAN CC is coherent on paper with the umbrella project and with its other projects, the project did have distinctive features that may have made close interactions with other projects a bit challenging to structure. As mentioned throughout this evaluation, some of the these distinctive features include: a) a governance structure where the beneficiaries decided almost freely on the activities of the work plan; b) a thematic scope cross cutting across all climate change issues (adaptation, mitigation, negotiations), whereas the majority of

the other projects under the umbrella fit specifically within mitigation; and c) an expansive and diverse geographic and social cultural scope (Southeast Asia).

### **3. To what extent and how efficiently did the project deliver its intended outputs?**

130. The project delivered 75% of its outputs (see section 3.2). The project complied with its design and implementation principle that gives the network participants the opportunity to review and adjust the workplan as they deem most useful and relevant for their climate change capacity building needs. Hence, the outputs that were modified, or not done were because the Steering Committee agreed it so.

131. That said, the project did not complete its roadmap for sustainability, in essence a plan for the continuation of the network beyond SEANC-CC Phase II. Thus, the project did not define what a future continuance of the network would look like, or how it could be implemented; and it did not secure funding to continue the current basic efforts of the network, like the bi-annual meetings and the updating and maintenance of the web knowledge platform. It is unclear as to why this roadmap was not accomplished, as the process was started and developed over a year and a half.

### **4. How well did the project contribute to its expected outcomes and the expected outcomes of the umbrella project?**

132. If an output was achieved, logic follows that the outcomes associated to the outputs would also be achieved, and according to the perceptions of the participants, as gauged by the questionnaire responses, the outcomes have been achieved, see section 3.3, and Table 7). That said, the project did not have a clear conceptualisation of outputs to outcomes, and it did not monitor factors that could affect the realisation of these outcomes ( paragraph 63). Overall, the project does not have any formal metrics to measure how well it might have achieved an outcome. So the strongest measures of this accomplishment are the completion of the outputs linked to the outcomes and the perception of the project participants.

### **5. What were the internal and external factors that most affected performance of the project?**

133. Internally, the understaffing was the biggest factor affecting performance of the project. Because of internal administrative factors the project was never staffed as it was intended in the project design (see paragraphs 95-97 and Tables 10 and 11). There were times when the project had one staff operating from Paris. The result was that activities were not delivered in the timeframe planned and the project extended itself from two years to four years. As stated above, minimal staff support also restricted possible collaborations with other initiatives within UNEP.

134. Externally, the very busy agendas of the network participants was the biggest factor affecting performance of the project. The climate change focal points and their associated staff have extremely busy agendas and finding dates for meetings and trainings that more or less worked for everyone was a constant challenge (see paragraph 87). So, even if the project had been adequately staffed, delays to project implementation would have still occurred because of this external challenge.

### **6. What management measures were taken to make full use of opportunities and address obstacles to enhance project performance?**

135. The project secured a series of consultants to address the staffing challenge, and they partnered strategically with a variety of organisations that helped them provide all the services requested by the country participants. (see paragraph 22 and Table 1; paragraph 101, 102 and

Table 12). In sum, they worked with organisations that could support the provision of knowledge for the capacity building events; that could support them with the logistical aspects of facilitating events; and that could create and produce knowledge products, including the maintenance and improvement of the website. The project management team was also very flexible with the schedules for network meetings and capacity building events, accommodating the workplan timetable to best fit with the many other commitments had by network participants.

## 4.2. Lessons Learned

The following lessons are the observations of the project management team after four years of project implementation, and refer to elements they would do differently to increase project implementation effectiveness.

### 1. Better yearly planning can improve the chance of delivering the project on a timely basis

136. This first lesson implies recognising that working with climate change focal points and very possibly any government employees means working with people that have very busy agendas; therefore, there is a maximum absorptive capacity of meetings/trainings that these people will have in a year. Experience in this project pointed to 5 -7 events per year; thus from project inception the workplan activity timetable must accommodate to that possible absorptive capacity. A good practice is to check country agendas before developing the final workplan activity timetable, since many commitments are known in advance.

### 2. Broadening the scope of targeted stakeholders will improve chances of delivering the capacity building to the “right” people.

137. This project was designed to target climate change focal points and their offices, and as such had to direct requests through this office; however, these people were not always the ones most suited to receive the particular training at hand. This was understood by the focal points and they did reach out to the best person available for the training. That said, because of inter-institutional politics (see paragraph 73 and 74) this was not always the most expedient or effective way of getting the right people to attend. Project management recognises that being able to directly contact the most relevant stakeholder to/for the issue at hand could have minimised delays and also improved receiving the “right people” at the given events. Lesson one above feeds into this second lesson, since planning around the absorptive capacity of key stakeholders will increase the chance of those people attending the appropriate capacity building event.

### 3. Improved systematisation (including a monitoring and evaluation system) of work done could provide more clear and tangible information for gauging results and course correcting implementation if needed.

138. The project management team recognised that while much good work was done, more consistent systematisation of the work done would provide valuable information for improving project implementation and also for easily proving success or not of results. This systematisation includes elements like maintaining a clear link between project workplans and annual reports, better documenting changes made to workplans, and developing and implementing more robust metrics to measure output and outcome completion. In part, this

systematisation was not done more consistently and thoroughly because the staff resources were not available.

#### 4.3. Recommendations

The following recommendations are made in light of a possible third phase of the network.

##### **1. Conduct an institutional analysis prior to project development in order to best inform project design (paragraph 81).**

139. One of the outputs for this project was to identify an address national climate change related institutional strengthening needs. This was not done in its entirety as the countries did not see it as a priority (Table 3, #4). However, conducting this analysis while designing Phase III could enhance the function of the network in its future implementation in the following ways:

- a. First, an analysis of this sort would help to map out all the key stakeholders in the climate change agenda as they pertain to each country. In particular, key stakeholders other than the climate focal points and their office staff.
- b. Second, it would clarify how various national level organisations cooperate with each other, or not, to move the climate change agenda forward. Understanding points a and b will inform the selection of participants to the different network events.
- c. Third, understanding the weaknesses and strengths of these offices and the overall climate change institutional system will better inform the kind of activities that the network could conduct to build capacity in the specific topics that are essential for moving the climate change agenda forward.
- d. Fourth, the analysis can provide information for implementing strategic in-country projects to further strengthen the climate change agenda.

##### **2. Streamline and tighten initial project design, project reporting, and monitoring (paragraphs 49, 75, 91,114, and 120), and provide the agreed upon resources for project implementation (paragraphs 95 - 97, Tables 10 and 11).**

140. If UNEP projects are to be evaluated with certain criteria, the initial project formulation needs to effectively include, in the project document, all the necessary elements required to comply with those criteria. For instance, if a project is to be evaluated on a theory of change, this theory of change needs to be conceived of in the initial project formulation; it cannot be an afterthought, or less ideal, a reconstruction of project elements that were constructed under a different logic. Nomenclature for required project design elements needs to be standardised and clear definitions provided; and annual reporting should follow from the workplans, making it simple to understand progress from year to year. Spending needs to be tracked by activities budgeted in the project document tables, otherwise there is no point in producing such tables and instead, they should be replaced with a budget format that can be effectively tracked. None of this needs to be complicated, often very simple formats, requiring minimal key information, can be of much more use than approaches requiring too much information.

141. A project should not be approved for implementation without a basic monitoring system that establishes performance indicators and sets-up a monitoring system. What this basic system

entails should be clear and simple, encouraging all projects to be able to accomplish it with relative ease.

142. This project was designed to be managed on a daily basis with a total of 3.5 FTEs over a 2-year planned implementation period. As evidenced in Tables 10 and 11, in the most optimistic of scenarios it had 2.3 FTEs, over a 4-year actual implementation period. Just as it is important to have a clear guiding document for project implementation and a concise system for measuring progress and impact, it is important to staff a project adequately from the beginning to give it the opportunity to perform as expected.

**3. Evaluate the usefulness of current web platform and if it is to be maintained, make it more dynamic and incorporate other social media to further enhance learning (paragraph 107).**

143. While the website is considered to be good, and some countries do use it frequently, both participants and partners have recommendations for its improvement. The current website could better synthesise and organise information. It needs to be kept current and given timely management and maintenance. Partners and participants feel that the site must be fine-tuned to give it that extra edge that makes it so people feel that that is the place to go for information. They also mentioned that the website could be complemented with other social media, that if strategically used, can enhance the cohesiveness of the group by keeping participants engaged and in a learning process between major face to face events.

**4. Consider some of the network participant recommendations for the development of a Phase III.**

144. As voiced in conversations and expressed in Steering Committee minutes, participants are keen to see a continuation of the network, albeit they feel that it should evolve to address the most relevant climate change issues. Some of the thoughts on how the network should evolve are expressed in Steering Committee and Supervisory Board minutes. In interviews, some recommend that the network could develop its workplan around key themes emerging from the Paris Agreement; it can also provide support for developing INDC Roadmaps for implementation; and it can support some on the ground initiatives, perhaps cross border projects, that can demonstrate taking learning into action, in other words, pilot projects that show climate resilient or low carbon development.

**5. Recognise that capacity building in general takes time, and that capacity building for highly complex themes like climate change, where firmly entrenched development patterns need to shift, is very process based and immersed in a plethora of socio-political factors that a project cannot influence directly, and as such, requires capacity building approaches better synched to the timelines of these processes and their key actors, and with realistic expectations of what impact can be expected.**

**6. Improve UNEP internal mechanisms for collaboration among similar projects within or among UNEP divisions (paragraph 84).**

145. Coordinating among similar projects within a UNEP division, or between projects in different divisions, is difficult to accomplish successfully (see paragraph 84). Three things could help improve this. 1) Analyse the effectiveness of the sub-programmes within UNEP in terms of

facilitating project collaboration across divisions. Other originally intended purposes of the sub-programmes can also be examined. Identify mechanisms and approaches that have worked and why, and see if these can be institutionalised as part of project implementation without adding complexity to the administrative processes with which projects already comply. 2) Evaluate administrative processes in light of the new systems that have recently been implemented and identify existing options/processes that can facilitate collaboration among projects; use these to encourage projects to collaborate. 3) Require annual face to face meetings with the project managers of projects under the same sub-programme with similar thematic content, and with similar start and end dates. Managers can meet once a year to get to know all the projects in the “pool”—understand objectives and workplans — and discuss possible effective and efficient options for collaborating or leveraging work. These meetings should be carefully structured and guided by facilitators familiar with the themes at hand and the administrative and donor processes in play; in this way allowing for managers to be led through a process that can help them focus on synergising instead of getting bogged down in project minutiae.

## 5. ANNEXES

### 5.1. List of individuals consulted for the case study

1. Mr. Thy Sum, Director, Climate Change Department, Ministry of Environment, CAMBODIA
2. Syamphone Sengchandala, Director of Management and Coordination Division, Ministry of Natural Resources and Environment, LAOS PDR
3. Mr. Gary William Theseira, Deputy Undersecretary, Environmental Management and Climate Change Division, Ministry of Natural Resources and Environment, MALAYSIA
4. Mr. Than Aye, Director, Policy Division - Environment Conservation Department, MYANMAR
5. Mr. Hla Maung Thein, Deputy Director General, Environmental Conservation Department, Ministry of Environmental Conservation and Forestry, Nay Pyi Taw, MYANMAR
6. Ms. Sandee Recabar, Senior Science Research Specialist, Climate Change Commission, PHILIPPINES
7. Mr. Muslim Anshari Rahman, Assistant Director for International Policy National Climate Change Secretariat, Prime Minister's Office, SINGAPORE
8. Ms. Gan Ann, Assistant Director (International Policy), National Climate Change Secretariat, Prime Minister's Office, SINGAPORE
9. Mr. Sedthapandh Krajangwongs, Chief National Focal Point Section, Climate Change Coordination Office, Office of Natural Resources and Environmental Policy and Planning, THAILAND
10. Mr. Pham Van Tan, Deputy Director General, Department of Meteorology, Hydrology and Climate Change, Ministry of Natural Resources and Environment of Viet Nam, VIET NAM
11. Dr. Achala Abeyasinghe, International Institute for Environment and Development
12. Dr. Victor R. Shinde, Senior Specialist and Affiliated Faculty, Water Engineering and Management, Asian Institute of Technology, THAILAND
13. Mr. Jerome Mallavelle, Programme Officer, UNEP, DTIE, Paris, FRANCE
14. Ms. Eleanor Bacani, Consultant, UNEP, ROAP, Bangkok, THAILAND
15. Mr. Usman Tariq, Programme Officer, UNEP, ROAP, Bangkok, THAILAND
16. Ms. Rowena Elemento, Team Assistant, UNEP, ROAP, Bangkok, THAILAND
17. Titi Panjaitan, Assistant to President's Special Envoy for Climate Change Office of the President's Special Envoy for Climate Change Indonesia
18. Kullakant Chertchutham, Research and Information Specialist, International Institute for Energy Conservation (IIEC), Asia Regional Office, Thailand.
19. Mr. Prasert Sirinapaporn, Director, Climate Change Management and Coordination Division, Office of Natural Resources and Environmental Policy and Planning, THAILAND
20. Mr. Tin Ponlok, Secretary General, National Council for Green Growth, Ministry of Environment, CAMBODIA

## **5.2. List of documents consulted for the case study**

1. Project Document Supporting Action on Climate Change Through a Network of National Climate Change Focal Points in Southeast Asia (UNEP, October 30, 2008)
2. Project Document Southeast Asia Knowledge Network of Climate Change Offices: SEAN-CC phase II (UNEP, .....)
3. Southeast Asian Climate Change Network Project Mid Term Evaluation (Condes Ltd, June 8 2001)
4. SEAN-CC Phase II Annual Reports, 2011 - 2015 (five reports)
5. SEAN-CC, Activities Tracker
6. SEAN-CC, Knowledge Products
7. SEAN-CC National Workstream
8. SEAN-CC National Workstream Summary
9. SEAN-CC Regional Workstream
10. SEAN-CC Network Contact Lists
11. SEAN-CC Phase II, Regional Workshop Evaluations: 2012 - 2015
12. SEAN-CC Steering Committee Minutes: 2012 - 2015
13. SEAN-CC Supervisory Board Minutes: 2012 - 2014



### 5.3. Questionnaire for Country Stakeholders

#### SEAN-CC: Country Stakeholder Questionnaire:

##### Goals and Objectives

1. Rank the statements below on a scale from 1- 5.

1=not well (poor)                      2=ok                      3=well   4=very well                      5=excellent

How well does the network do the following things?

The network fosters a strong sense of ownership and sustainability of national activities. \_\_\_\_

The network is an initiative where members participate as learners and knowledge contributors. \_\_\_\_

The network is an initiative where member countries benefit from informal, smooth exchanges and peer to peer learning on wide-ranging discourse of pivot discussions. \_\_\_\_

The network supports greater access to information and climate change awareness of women as well as gender balance. \_\_\_\_

2. Please rank the following things the network has provided using a scale of 1 - 5.

1=not good                      2=ok                      3=good                      4=very good                      5=excellent

How good has the network been for providing relevant knowledge? \_\_\_\_

How good has the network been for providing relevant access to information? \_\_\_\_

How good has the network been for providing relevant tools? \_\_\_\_

How good has the network been for providing policy support ? \_\_\_\_

3. Please rank how well the SEAN-CC project has met the following goals: Use a scale of 1 - 5. If a goal was, to your knowledge, not addressed please indicate NA.

1=not well (poor)                      2=ok                      3=well   4=very well                      5=excellent

a. National climate change offices and climate change coordination structures in the region have been strengthened. \_\_\_\_

b. Lessons and best practices on national climate change coordination structures, setups and mechanism have been shared. \_\_\_\_

c. Lessons and best practices on national climate change coordination structures, setups and mechanism have been adopted by member countries. \_\_\_\_

d. National climate change related institutional needs have been identified. \_\_\_\_

e. National climate change related institutional needs have been addressed. \_\_\_\_

- f. Synergies and partnerships with other major regional climate change initiatives have been established for improved support to climate change governance in the region. \_\_\_\_\_
- g. There is a sustainable regional network of climate change offices. \_\_\_\_\_
- h. There is regular dialogue, lesson sharing and information exchange between Climate Change offices. \_\_\_\_\_
- i. There is a dedicated regional climate change knowledge platform. \_\_\_\_\_
- j. There is an improved and dynamic SEAN-CC online knowledge platform. \_\_\_\_\_
- k. There is a clear roadmap for continuing (past this project) a sustainable networking and knowledge sharing between climate change offices in the region. \_\_\_\_\_
- l. National climate change negotiators have gained and improved understanding of UNFCCC high profile topics and their implications for the region. \_\_\_\_\_
- m. Capacity of climate change negotiators has been built around the highest profile UNFCCC topics for SEAN-CC countries. \_\_\_\_\_
- n. Climate change offices can foster the formulation and integration of climate change strategies in selected priority sectors. \_\_\_\_\_
- o. Expert sub-networks have been established to support the Climate Change offices for the formulation and integration of climate change strategies in selected priority sectors. \_\_\_\_\_
- p. Climate Change offices can better engage national stakeholders from a priority sectors to foster the formulation and integration of climate change strategies in these sectors. \_\_\_\_\_
4. Do you feel that the current SEAN-CC project efforts are helping the countries in the region better address the following three issues? Answer yes or no; if yes specify if the contribution is direct or indirect; short term (1-3 years), medium term (4 - 6 years), long term (7 -10) years.
- A. Climate resilience (adaptation) \_\_\_\_\_ Yes \_\_\_\_\_ No  
       \_\_\_\_\_ direct \_\_\_\_\_ indirect  
       \_\_\_\_\_ short term \_\_\_\_\_ medium term \_\_\_\_\_ long term
- B. Low carbon development (mitigation) \_\_\_\_\_ Yes \_\_\_\_\_ No  
       \_\_\_\_\_ direct \_\_\_\_\_ indirect  
       \_\_\_\_\_ short term \_\_\_\_\_ medium term \_\_\_\_\_ long term
- C. UNFCCC implementation (domestic implementation of internationally agreed COP decisions) \_\_\_\_\_  
       \_\_\_\_\_ direct \_\_\_\_\_ indirect  
       \_\_\_\_\_ short term \_\_\_\_\_ medium term \_\_\_\_\_ long term
5. Please rate the level of impact each of the following things provided by SEAN-CC has had on your country. Use a scale from 1-5.

1=no impact 2=low impact 3=some impact 4=significant impact 5=very much impact

- Additional knowledge (technical, practical) \_\_\_\_\_
- Better understanding of certain climate change issues \_\_\_\_\_
- Better understanding of COP related decisions \_\_\_\_\_
- Enhanced inter-agency coordinator at the national level \_\_\_\_\_
- Enhanced sub-regional (ASEAN) coordination \_\_\_\_\_
- Enhanced sub-regional (ASEAN) collaboration \_\_\_\_\_
- Networking with other relevant international organisations \_\_\_\_\_
- Direct action for mitigation \_\_\_\_\_
- Direct action for adaptation \_\_\_\_\_

### Sustainability

6. As a member country of this network how much have you been able to decide about what gets supported at a regional level?

\_\_\_\_\_ We have lots of input as to what gets supported at a regional level

\_\_\_\_\_ We have some input as to what gets supported at a regional level

\_\_\_\_\_ We have no input as to what gets supported at a regional level

At a national level?

\_\_\_\_\_ We have lots of input as to what gets supported at a national level

\_\_\_\_\_ We have some input as to what gets supported at a national level

\_\_\_\_\_ We have no input as to what gets supported at a national level

7. Have the relevant government agencies/offices/ministries in your country provided adequate support to what this project is trying to do?

\_\_\_\_\_ Yes      \_\_\_\_\_ To some extent      \_\_\_\_\_ No

8. Can your organization continue efforts like it has achieved with this project without the financial resources SEAN-CC has provided?

\_\_\_\_\_ Yes      \_\_\_\_\_ To some extent      \_\_\_\_\_ No

9. Can your organization continue efforts like it has achieved with this project without the technical (tools) resources SEAN-CC has provided?

\_\_\_\_\_ Yes      \_\_\_\_\_ To some extent      \_\_\_\_\_ No

10. Can your organization continue efforts like it has achieved with this project without the capacity building (knowledge) resources SEAN-CC has provided?

\_\_\_\_\_ Yes      \_\_\_\_\_ To some extent      \_\_\_\_\_ No

11. Can your organization continue efforts like it has achieved with this project without the policy support resources SEAN-CC has provided?

\_\_\_\_\_ Yes      \_\_\_\_\_ To some extent      \_\_\_\_\_ No

## Capacity Building

12. Please rank the usefulness of the different capacity building efforts that have been offered via SEAN-CC.
- The technical workshops led by SEAN-CC have been  
\_\_\_\_\_Very useful    \_\_\_\_\_Somewhat useful    \_\_\_\_\_Not very useful
  - The trainings that SEAN-CC has supported have been  
\_\_\_\_\_Very useful    \_\_\_\_\_Somewhat useful    \_\_\_\_\_Not very useful
  - The negotiations knowledge and the briefing papers that SEAN-CC has facilitated have been  
\_\_\_\_\_Very useful    \_\_\_\_\_Somewhat useful    \_\_\_\_\_Not very useful
  - The conferences and forums that SEAN-CC has made possible to attend have been  
\_\_\_\_\_Very useful    \_\_\_\_\_Somewhat useful    \_\_\_\_\_Not very useful
  - The outreach events that have been coordinated by SEAN-CC have been  
\_\_\_\_\_Very useful    \_\_\_\_\_Somewhat useful    \_\_\_\_\_Not very useful

## Catalytic Role and Replication

13. Is SEAN-CC similar to other project efforts in the region?  
\_\_\_Yes, or \_\_\_No; If yes, please explain.
14. What makes SEAN-CC different from other projects in the region doing similar things?
15. Are the SEAN-CC project efforts coordinated with other similar efforts in the region?  
\_\_\_Yes, or \_\_\_No; If yes, please explain.
16. In your country's experience:
- Has the SEAN-CC project contributed to institutional changes within your organization?  
\_\_\_\_\_ yes, many,    \_\_\_\_\_ yes, some,    \_\_\_\_\_ yes, few,    \_\_\_\_\_no
  - Has the SEAN-CC project contributed to policy changes in your country?  
\_\_\_\_\_ yes, many,    \_\_\_\_\_ yes, some,    \_\_\_\_\_ yes, few,    \_\_\_\_\_ no
  - Has the SEAN-CC project contributed to additional financing sources ?  
\_\_\_\_\_ yes, many,    \_\_\_\_\_ yes, some,    \_\_\_\_\_ yes, few,    \_\_\_\_\_ no
  - Has the SEAN-CC project contributed to other peoples ability in your organization to catalyse change?  
\_\_\_\_\_ yes, many,    \_\_\_\_\_ yes, some,    \_\_\_\_\_ yes, few,    \_\_\_\_\_ no

## Project Management Team at UNEP

17. The project management team of SEAN-CC at UNEP/ROAP is easy to access.  
\_\_\_\_\_Always    \_\_\_\_\_Usually    \_\_\_\_\_Never  
They answer your emails or calls within a reasonable time frame.

\_\_\_ Always \_\_\_ Usually \_\_\_ Never

They are courteous and respectful in their interactions with you and your team members.

\_\_\_ Always \_\_\_ Usually \_\_\_ Never

18. The project management team of SEAN-CC at UNEP/ROAP has provided effective assistance to your needs?

\_\_\_ Always \_\_\_ Usually \_\_\_ Never

They are knowledgeable of topics and when they do not know they can direct you to the appropriate source.

\_\_\_ Always \_\_\_ Usually \_\_\_ Never

What can the project management team at UNEP do to improve their services to the network members



## WORKSHOP EVALUATION

BEAN-CC COP19 Workshop  
3-4 March 2014, Ho Chi Minh City, Vietnam

Please encircle the value that best expresses how you found the (from scale of 1 to 5, 5 being the highest point)

### A. Overall workshop objectives

1 How well were the objectives of each session achieved?

Session 1 - Overview of COP 19 outcomes
Session 2 - ADP Workstream 1
Session 3 - ADP Workstream 2
Session 4 - Overview of ADP session in Bonn

2 How much new content did you attain during each session?

Session 1 - Overview of COP 19 outcomes
Session 2 - ADP Workstream 1
Session 3 - ADP Workstream 2
Session 4 - Overview of ADP session in Bonn

### B. Time Allocation

3 Was the duration of the session sufficient?

4 Was the time allocated to each item in the session balanced?

### C. Content

5 Did the workshop meet your expectations?

6 Was the workshop content adequate?

7 Are you satisfied with the quality of the documents and presentation materials?

### D. Administrative Arrangements

8 How would you rate the organization, logistics and administrative arrangements of the workshop?

9 Please write your general assessment of the workshop or elaborate the responses above in the space below.

Anonymous (12 responses)	Responses (24 responses)												Total points	Total nos	Average															
	Vn	La	My	My	Mo	Mo	Th	Th	Ce	Ce	Ce	Ce																		
	Di	Bo	Si	Hi	Hi	Hi	Hi	Sh	Ru	Bo	Bo	Vi	Bo	Bo	Bo	Bo	Bo	Bo	Bo	Bo	Bo	Bo	Bo							
4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	102	24	4.3	
2	4	4	4	4	3	5	5	4	4	3	4	3	5	4	4	5	5	5	5	4	4	4	4	4	4	4	96	24	4.1	
2	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	97	24	4.0	
2	4	3	4	4	4	4	4	3	2	4	3	4	2	5	3	4	4	4	4	5	4	3	4	4	4	86	24	3.7		
																											365	96	4.0	
5	3	4	4	4	4	3	4	3	4	3	3	4	4	4	4	4	4	4	4	5	5	4	4	4	4	4	95	24	4.0	
2	3	3	4	4	4	3	5	3	4	4	3	4	3	3	4	4	4	4	4	5	5	4	4	4	4	4	91	24	3.8	
2	3	3	4	4	4	3	4	4	3	4	3	3	3	4	4	4	4	4	4	5	4	4	4	4	4	4	89	24	3.7	
2	3	3	4	4	4	4	4	3	3	3	3	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	84	23	3.7	
																												359	95	3.8
3	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	5	5	5	5	5	3	101	24	4.2		
3	4	3	4	4	4	3	5	5	-	4	4	5	4	4	-	4	4	5	5	4	4	5	3	3	3	90	22	4.1		
																												191	46	4.2
4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	99	24	4.1	
3	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	91	24	3.8	
4	4	4	4	4	4	4	5	5	4	4	3	4	3	4	3	4	4	4	4	5	5	4	4	4	4	4	100	24	4.2	
																												290	72	4.0
4	4	3	3	3	4	5	5	5	3	5	4	4	5	5	3	4	4	5	5	4	5	4	5	4	4	4	100	24	4.2	
Th No Be Ge Th Ho No No I q Th No No Ve Th No No On No I In Th I w I i No Ov																														
OVERALL WORKSHOP EVALUATION AVERAGE POINT																			4.0											



## MEETING EVALUATION

SEAN-CC Ninth Regional Network Meeting  
16-21 May 2014, Bali, Indonesia

Please encircle the value that best expresses how you found the workshop.

### A. Overall meeting objectives

1. How well were the objectives of each session achieved?	Unachieved					Achieved				
	1	2	3	4	5	1	2	3	4	5
Session 1 - SEAN-CC network update										
Session 2 - Network members' experiences in responding to climate change challenges	1	2	3	4	5					
Session 3 - Discussion for a sustainable SEAN-CC network	1	2	3	4	5					
Session 4 - Spotlight on two climate change initiatives	1	2	3	4	5					
Session 6 - Review of 2014 SEAN-CC workshop and conclusion	1	2	3	4	5					

2. How much new content did you obtain during each session?	Little					A lot				
	1	2	3	4	5	1	2	3	4	5
Session 1 - SEAN-CC network update	1	2	3	4	5					
Session 2 - Network members' experiences in responding to climate change challenges	1	2	3	4	5					
Session 3 - Discussion for a sustainable SEAN-CC network	1	2	3	4	5					
Session 4 - Spotlight on two climate change initiatives	1	2	3	4	5					
Session 6 - Review of 2014 SEAN-CC workshop and conclusion	1	2	3	4	5					

### B. Time Allotment

3. Was the duration of the meeting sufficient?	Overlong					Adequate				
	1	2	3	4	5	1	2	3	4	5
4. Was the time allotted in presentations/discussions balanced?	1	2	3	4	5					

### C. Content

6. Did the meeting meet your expectations?	Disagree					Agree				
	1	2	3	4	5	1	2	3	4	5
9. Was the coverage of topics adequate?	1	2	3	4	5					
7. Are you satisfied with the quality of the presentation materials?	1	2	3	4	5					

### D. Administrative Arrangements

8. How would you rate the organization, logistics and administrative arrangements of the workshop?	Poor					Good				
	1	2	3	4	5	1	2	3	4	5
9. Please write your general assessment of the meeting or elaborate the response above in the space below.										

Average (5 responses)	Response (10 responses)										Total points	Total response	Average					
	M	Th	W	F	Sa	Su	Mo	Tu	We	Th								
4.5	5	4	4	3	5	4	4	4	4	5	5	8	4	4	86	16	4.3	
4.4	4	5	5	5	4	4	3	4	4	4	4	4	4	4	83	16	3.9	
4.4	4	4	4	4	4	4	4	4	4	4	4	5	4	4	85	16	4.1	
4.1	2	3	3	3	4	4	3	4	4	4	5	3	3	4	87	16	3.6	
4.4	4	5	5	4	4	4	4	4	4	4	4	5	5	4	87	16	4.2	
															321	80	4.0	
4.3	3	4	3	3	6	4	4	4	4	3	4	4	5	4	81	16	3.8	
4.4	4	4	3	4	4	5	4	4	4	4	4	4	3	4	84	16	4.0	
4.2	4	4	3	5	4	4	4	4	4	4	4	5	5	4	82	16	3.9	
4.2	2	5	3	4	-	4	4	5	4	5	5	5	3	4	56	15	3.7	
4.2	4	4	3	3	4	4	4	4	4	4	4	5	3	4	82	16	3.9	
															305	79	3.9	
4.4	4	5	5	-	6	4	3	4	4	5	5	3	-	5	56	14	4.0	
4.2	4	3	3	-	4	4	3	4	4	3	5	3	4	4	87	16	3.8	
															113	29	3.9	
5.3	4	3	3	3	4	4	4	4	4	3	5	5	4	4	86	16	4.1	
4.2	4	3	3	3	4	4	4	4	4	3	5	4	4	4	83	16	3.9	
4.2	4	4	3	3	4	4	4	4	4	3	5	4	3	4	59	16	3.7	
															166	46	3.9	
6.2	5	5	4	5	4	5	4	5	4	5	4	5	5	3	4	86	16	4.3

OVERALL WORKSHOP EVALUATION AVERAGE POINT 3.9

## 5.5 Brief Descriptions of In-Country Projects

National activities discussed and/or carried out in 2014 per country	
Country	Highlights
Cambodia	<p>SSFA between Cambodia and UNEP was signed in September 2013 and was finally scheduled for completion in June 2015 (100,000 USD), although some ad hoc national support was already initiated as early as 2012 (i.e. SEAN-CC funded an extra female member of the Cambodia national delegation during COP18 in November 2012). SEAN-CC national level activities are completed in April 2015. The national level work stream in Cambodia under this SSFA include awareness raising, mainstreaming climate change for the local authorities around the Tonle Sap Lake, NAMAs and strengthening negotiation capacity:</p> <ul style="list-style-type: none"> <li>• Development of a Guideline on mainstreaming climate change for the local authorities. It is the guidance tool for sub-national administration to use for mainstreaming climate change adaptation measures into their planning and budgeting processes, as a response on climate change issues occurring at community level</li> <li>• One important contribution of the project in Cambodia is the mainstreaming of climate change in the local planning and budget process of communes or 'Sangkats'. These trainings are held in two priority provinces around the Tonle Sap Lake, namely Kampot and Battombong provinces. The workshops aimed to build capacity of local and provincial authorities. A total of 131 participants from sub-national level benefitted from these capacity building trainings, of which 21 are females.</li> <li>• SEAN-CC supported a NAMA study to identify capacity building needs for government staff so that Cambodia can formulate, develop and implement NAMA activities successfully. This study serves as basis for the establishment of a broader NAMA institutional framework for Cambodia.</li> <li>• As one way of increasing women's participation and representation in international climate change discussions, SEAN-CC supported two female delegates to participate at the COP19 in November 2013 and in the 40<sup>th</sup> sessions of the Subsidiary Body for implementation and the Subsidiary Body for Scientific and Technological Advice, as well as for the June session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action in June 2014.</li> </ul>
Indonesia	<p>No new activity has been implemented in 2014 since the end of the first leg of national level work (for the strengthening of national UNFCCC negotiation preparation process in 2012, 50,000 USD). SEAN-CC's second national level activity has been developed in March 2015 and is on track for commencement in May 2015. It should be noted that the nature of such request is rather timely- with the government of Indonesia's planned submission of INDC later this year. In particular, a contract is being developed to assist the President's Special Envoy for Climate Change in preparing the grounds for Indonesia's commitments within the post-2020 regime which will complement and further advance the work under BAPPENAS. The national activity will aim at strengthening the readiness and capacities of Indonesia for the subsequent implementation of its national commitments.</p>
Lao PDR	<p>Programme on raising awareness and integration of climate change to local governments and local development planning has been implemented and completed in Oudomxay and Bolikhamxay provinces (50,000 USD). The second tranche of support on raising climate change awareness for provincial and district staffs, village authorities, farmers, teachers and students was initiated in October 2014 in two more additional provinces (Savannakhet and Xayabury) and was completed early in 2015.</p>
Malaysia	<p>Development of MyCarbon Portal for voluntary greenhouse gas emission reporting and the National Climate Change Web portal content development are initiated in early 2014 (52,000 USD). Both are completed in April 2015. This national activity is focused on the assessment of</p>

National activities discussed and/or carried out in 2014 per country	
Country	Highlights
	<p>vulnerability to climate change, impacts, and adaptation in the Sarawak River Basin, Sarawak, Malaysia. Malaysia is still eligible for further national activities under their allocation (48,000 USD), which will have to be developed in 2015.</p> <p>In reference to the remaining support, SEAN-CC will be supporting Malaysia's request to conduct a Vulnerability Assessment and Adaptation Study of Climate Change Impacts on Floods in Sarawak River Basin, which is aimed to raise local government and communities' capabilities of climate change response in terms of management, cooperation, coordination and resilience, and as well as for use in reporting of Malaysia's Third National Communication to the UNFCCC in 2017.</p>
Myanmar	<p>No concrete agreement on any topic has been reached despite efforts to initiate discussions in 2014.</p> <p>National level activities were conceptualised in February 2015 which eventually led to something more concrete by March/April. SEAN-CC will be implementing two national level activities in Myanmar, with the Environmental Conservation Department (ECD) of the Ministry of Environmental Conservation and Forestry (MoECAF) as the main executing partner. The following activities are as follow:</p> <p>For the first national level activity, ECD will carry out activities pertaining to the development of awareness raising materials such as locally translated pamphlets and brochures on climate change impacts and implications in Myanmar; and the organisation of awareness raising workshops for 30-40 participants representing Governments, local authorities and members of civil society in up to six districts. This activity has gender component.</p> <p>The second national level activity will consist of a stocktaking exercise, which is aimed at supporting Myanmar in advancing its National Adaptation Plan (NAP) process. Primarily, this activity is the starting point towards supporting the development of an enabling environment for the NAP process in the country. The Stockholm Environment Institute (SEI) has been contracted for this work.</p>
Philippines	<p>Programme on developing framework for prioritisation of NAMAs and capacity building on multi criteria analysis tools was developed and is being implemented (50,000 USD). The draft primer on using the MCA approach for prioritising Mitigation Actions in developing countries. Philippines has requested the second tranche of support with the remaining funds be on in-depth training on other mitigation assessment tools (50,000 USD) and in particular an MRV indicators/templates for tracking progress in implementation of the mitigation actions as well as estimating the impact of implementation. Additionally, it will identify the data needs for estimating indicators, approaches for collecting data, roles and responsibilities of various actors in collecting data and its integration with the GHG inventory data base system. Second tranche is on track for implementation in 2015.</p>
Thailand	<p>Early discussions lead to identify the development of a national climate change database and website to become a central access point to information on climate change in Thailand, as mandated by this country's UNPAF. Since mid-2014, SEAN-CC has been supporting Thailand in this front. This will serve as a central access point to information and information exchanges related to climate change in Thailand. This activity is expected to produce a (1) comprehensive and fully-functional national climate change website with Thai-English bilingual capabilities, and (2) Thailand's national climate change database.</p>

National activities discussed and/or carried out in 2014 per country	
Country	Highlights
Viet Nam	<p>National level activities have been discussed in great length during 2013 and led to the focal point to opt for getting support for implementing a programme on strengthening the institutional arrangements and capacity for climate change negotiation mechanism. SSFA between Vietnam and UNEP was signed early in 2014 (100,000 USD) and completed in April 2015.</p> <p>In 2014, the project is able to deliver substantive and highly relevant training materials including the negotiation handbook, debriefing paper on ADP, financial mechanism, loss and damage, and as well as conduct trainings and workshops to the national delegation team on international climate change negotiations and agreements. This activity also provides a differentiated impact on gender ratio at the roundtable discussions –at least two additional female negotiators (i.e. with SEAN-CC support) were able to participate in ADP (October 2014) and COP20 (December 2014).</p>



## 5.6 Financial Management Rating

Financial management components	Rating	Evidence/ Comments
Attention paid to compliance with procurement rules and regulations	S	Confirmed in interview with financial admin assistant in ROAP
Contact/communication between the PM & Division Fund Managers	S	In conversation with PM
PM knowledge of the project financials	MS	PM expressed difficulty knowing exactly how much had been spent or was available at any given time; product of ineffective UNEP systems
PM responsiveness to financial requests	S	On top of it but constrained by UNEP systems and internal procedures that can make this a slow process; once had to prepare a report to donor trying to estimate how much had been spent per activities, since UNEP does not report in that way.
PM responsiveness to addressing and resolving financial issues	S	Is proactive but can only go as far or as fast as the systems in UNEP permit.
Were the following documents provided to the evaluator:		
A.	Crystal Report	N
B.	All relevant project Legal agreements (SSFA, PCA, ICA) if requested	Y
C.	Associated Financial reports for legal agreements (where applicable)	NA
D.	Copies of any completed audits	NA
Availability of project legal agreements and financial reports	HS	Available upon request
Timeliness of project financial reports and audits	S	All appear on time; based on dates of reports.
Quality of project financial reports and audits	S	Standard UNEP reports
PM knowledge of partner financial expenditure	NA	
<b>Overall rating</b>	<b>S</b>	

## 5.7 Project design assessment

	Project context		Evaluation Comments	Rating
1	Does the project document provide a description of stakeholder consultation during project design process?		No, there was no stakeholder consultation during the design process. From the beginning the project intended the Climate Change focal points to be the principal stakeholders. However, phase II does take into account the feedback provided by climate change focal points and other key stakeholders that had been involved during phase I. This feedback was very much incorporated into the design of phase II.	MS
2	Does the project document include a clear stakeholder analysis? Are stakeholder needs and priorities clearly understood and integrated in project design? (see annex 9)		No. See line 1 above.	MS
3	Does the project document entail a clear situation analysis?		Yes, it does a good job of analysing lessons learned and recommendations provided in review of phase I.	S
4	Does the project document entail a clear problem analysis?		Yes, see line 4 above.	S
5	Does the project document entail a clear gender analysis?		No gender analysis but does make a point of stating that it will include gender in its work. Lists five actions that it will undertake in order to incorporate gender in its activities.	S
	<b>Relevance</b>			<b>Rating</b>
6	Is the project document clear in terms of relevance to:	i) Global, Regional, Sub-regional and National environmental issues and needs?	Relevant: As climate change issues are clear at all levels	S
7		ii) UNEP mandate	Should be in line with UNEP mandate, otherwise should not even be a project.	S
8		iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	NA	NA
9		iv) Stakeholder priorities and needs?	Yes, in the way that it took the feedback offered by the network participants during the review of Phase 1 and incorporated in accordingly into the design of phase II.	S
10	Is the project document clear in terms of relevance to cross-cutting issues	i) Gender equity	Specifically notes" while globally women are not fairly and adequately represented in international climate change policy frameworks and so far received little attention in the climate change debate, it should be noted that the Network Secretariat encouraged the nomination of women for the Network meeting, trainings, and workshops in Phase 1 and will continue to do so in Phase 2." p. 23 Project Document.	S
11		ii) South-South Cooperation	Overall the project is based on the premise of south-south learning and cooperation.	HS

12		iii) Bali Strategic Plan	Yes.	HS
	<b>Intended Results and Causality</b>			
13	Are the outcomes realistic?		Yes, realistic outcomes.	S
14	Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?		The TOC has been reconstructed based on the information provided in the project document under project approach, where outputs, sub outputs, and activities are clearly laid out.	S
15	Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?		Original timeframe was extended. Including Phase 1 the project officially began in 2010 and is ending in December of 2016. The outcomes presented are outcomes that do not have a clear endpoint. Meaning, when is an office strengthened enough — there is always room for strengthening since the issues and challenges of climate change in varying political and economic climates will always merit strengthening of one thing or another. So, within the scope of what is possible in 5 years of operation, given the implementation challenges that are mentioned further on, and in the opinions of network users, yes, the project has achieved it's outcomes; and yes there is room for more.	S
16	Are activities appropriate to produce outputs?		Yes.	HS
17	Are activities appropriate to drive change along the intended causal pathway(s)?		Yes, but change is also dependent on factors outside of project control.	S
18	Are impact drivers and assumptions clearly described for each key causal pathway?		They are understood in the document and expressed under lessons learned from phase 1. But not integrated into a casual pathway since no official TOC.	MS
19	Are the roles of key actors and stakeholders clearly described for each key causal pathway?		Same as above.	MS
20	Is the ToC-D terminology ( <i>result levels, drivers, assumptions etc.</i> ) consistent with UNEP definitions ( <i>Programme Manual</i> )		In the reconstructed TOC yes, in the document, no. Document used completely different nomenclature to refer to the elements expressed in the TOC.	MS
	<b>Efficiency</b>			
21	Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?		Yes, modelled on an existing successful initiative and full incorporating lessons learned in Phase 1.	HS

	<b>Sustainability / Replication and Catalytic effects</b>		
22	Does the project design present a strategy / approach to sustaining outcomes / benefits?	Yes, planned creating a strategy but did not advance much	MU
23	Does the design identify social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts?	Yes. Identified in lessons learned during phase 1	MS
24	Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?	This project is for government stakeholders and the activities performed are in great measure requested by these stakeholders.	S
25	If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?	It had a plan but did not carry it out.	MU
26	Are financial risks adequately identified and does the project describe a clear strategy on how to mitigate the risks (in terms of project's sustainability)	No.	U
27	Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?	No.	U
28	Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?	No.	U
29	Does the project design foresee adequate measures to promote replication and up-scaling / does the project have a clear strategy to promote replication and up-scaling?	No.	U

30	Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?	There is lots of ownership on behalf of stakeholders.	S
	<b>Learning, Communication and outreach</b>		
	Has the project identified appropriate methods for communication with key stakeholders during the project life?	Yes.	HS
	Are plans in place for dissemination of results and lesson sharing.	The project is a learning network, all about sharing lessons and communicating information, and it has done it well.	HS
	Do learning, communication and outreach plans build on analysis of existing communication channels and networks used by key stakeholders ?	Probably to some extent, but not evidenced.	MS
	<b>Risk identification and Social Safeguards</b>		
31	Are all assumptions identified in the ToC presented as risks in the risk management table? Are risks appropriately identified in both, ToC and the risk table?	Yes.	S
32	Is the risk management strategy appropriate?	Yes.	S
33	Are potentially negative environmental, economic and social impacts of projects identified?	A tiny bit in risk analysis -- very cursory.	MU
34	Does the project have adequate mechanisms to reduce its negative environmental footprint?	The project itself will not generate negative environmental impacts; in the future when countries take actions that could happen, but goes way beyond the scope of the project. Nonetheless project does contemplate a solution to minimize impacts.	MS
	Have risks and assumptions been discussed with key stakeholders?	No.	U
	<b>Governance and Supervision Arrangements</b>		
35	Is the project governance model comprehensive, clear and appropriate? ( <i>Steering Committee, partner consultations etc. </i> )	Yes.	S
36	Are supervision / oversight arrangements clear and	Yes.	S

	appropriate?		
	<b>Management, Execution and Partnership Arrangements</b>		
37	Have the capacities of partners been adequately assessed?	Partners are brought in on a need by need basis, since the nature of the activities carried out vary. The PM team — Secretariat does appropriate scoping to find the most suitable partner and resource people. This was not done for the project design since it would not be responding to a particular need.	MS
38	Are the execution arrangements clear and are roles and responsibilities within UNEP clearly defined?	Standard agreements; responsibilities clear.	S
39	Are the roles and responsibilities of external partners properly specified?	NA see line 37; they are specified once partner brought on board.	NA
	<b>Financial Planning / budgeting</b>		
40	Are there any obvious deficiencies in the budgets / financial planning? ( <i>coherence of the budget, do figures add up etc.</i> )	No	S
41	Is the resource utilization cost effective?	NA	NA
42	How realistic is the resource mobilization strategy?	NA	NA
43	Are the financial and administrative arrangements including flows of funds clearly described?	Not evidenced in project document; mentioned in donor agreement.	MS
	<b>Monitoring</b>		
44	Does the logical framework	· capture the key elements of the Theory of Change for the project?	In theory yes, some of them, but project did not have a TOC, it was reconstructed. MS
		· have 'SMART' indicators for outcomes and objectives?	Yes, for the most part. S
		· have appropriate 'means of verification'?	Yes. S

45	Are the milestones appropriate and sufficient to track progress and foster management towards outputs and outcomes?	No milestones were set.	U
46	Is there baseline information in relation to key performance indicators?	No.	U
47	How well has the method for the baseline data collection been explained?	NA	NA
48	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?	Yes.	S
49	How well are the performance targets justified for outputs and outcomes?	Not justified.	U
50	Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	No.	U
51	Does the project have a clear knowledge management approach?	No.	U
	Have mechanisms for involving key project stakeholder groups in monitoring activities been clearly articulated?	No.	U
	<b>Evaluation</b>		
52	Is there an adequate plan for evaluation?	No.	U
53	Has the time frame for evaluation activities been specified?	No.	U
54	Is there an explicit budget provision for mid-term review and terminal evaluation?	Yes.	S
55	Is the budget sufficient?	Yes.	S
	<b>Stakeholder Assessment</b>		
56	Have all stakeholders who are affected by or who could affect (positively or negatively) the project been identified and explained in the stakeholder analysis?	No. See line 1 above.	MU

56	Did the main stakeholders participate in the design stages of the project and did their involvement influence the project design?	Yes, somewhat, see line 1 above.	MS
56	Are the economic, social and environmental impacts to the key stakeholders identified, with particular reference to the most vulnerable groups ?	No	U
56	Have the specific roles and responsibilities of the key stakeholders been documented in relation to project delivery and effectiveness?	No	U
56	For projects operating at country level, are the stakeholder roles country specific? Is there a lead national or regional partner for each country/region involved in the project?	No	U



## 5.8 Non-traditional documentation reviewed for the Case Study

### 1. Letter to Achim Steiner from a Senior Official at the Ministry of the Environment of Cambodia.

This letter expresses deep appreciation for the work that SEAN CC has done from project inception. It states that the "efficiency of the network stems from its implementation approach whereby the member countries are responsible for the defining and approving project workplan and priorities" ...etc..... "the approach ensures better ownership, responsiveness to countries priorities, transparency and accountability". The letter also states a clear desire for seeing the continuation of a platform like SEAN CC to help countries with their climate change agendas, and makes supportive request to Achim to ensure the maintenance of such. The desire for a continuation of SEAN CC in light of the new climate change developments was expressed by many other participants and is duly reported in the case study.

### 2. Letter to Achim Steiner from a Senior Official on the team of Climate Change Negotiations of Viet Nam.

This letter expresses deep appreciation for the work that SEAN CC has done from project inception. It expresses support and desire for such an effort to continue in light of the Paris Agreements. It also stresses the project's importance and value towards helping countries decipher the negotiations process, both before and after COPs. The letter respectfully asks Achim to please continue such an effort. The points expressed in this letter are also felt by other network participants and are duly noted in the case study as the overall satisfaction the participants felt towards the project,

### 3. Email to SEAN CC Project Manager, Jerome Malavelle, from a Senior Director in the Directorate for Economic Development and Environmental Affairs, Ministry of Foreign Affairs of Indonesia.

This email expresses appreciation of the SEAN CC work and is supportive of the type of work the network is doing; The sender, although a first time participant, feels that it would be of much use for such an effort to continue into the future. The sentiment and recognition of the network's usefulness is consistent with the findings expressed in the case study. Mr. Malavelle answers the email, and I quote one of his sentences which in essence summarises how network participants feel: "The value and applicability of these capacity building, knowledge generation and peer-learning events is unanimously recognised by the SEAN-CC community and at UNEP, for fostering climate actions in partner countries." This sentiment came out in my interviews and questionnaires and is also duly noted in the case study.

### 4. Email and document to lead evaluator, Christine Wörlén, for evaluation for which this case study was prepared; from a Senior Member of the Team at the Office of the Presidents Special Envoy for Climate Change, Thailand.

The document sent to Ms. Wörlén corroborates what this case study reveals. In sum: SEAN CC has helped move the climate agenda along by providing knowledge, tools, fora for south-south discussion, and training regarding many aspects of the climate change agenda; how all of this translates into action at the country level is completely dependent on in-country factors. The document, inadvertently, goes on to explain all those factors that are very country specific and outside of the project purview. Among these are: a) the many, moving pieces of the climate change agenda (the basic complexity of the issue in general); recognising that getting to low carbon is a "transformation process" b) the institutional and political complexity within a country to implement whatever the international climate agenda is suggesting — this includes institutional mandates, changes in staff, cooperation among institutions; and, c) the in-country socio-political, socio-economical realities which make it more or less feasible/easier or more difficult to implement the agenda.

## 5.9 Evaluation Assessments

### Quality Assessment of the Evaluation Report

Evaluation Title:

**Southeast Asia Knowledge Network of Climate Change Offices (SEAN CC Phase II)**  
By Michelle Libby Tewis

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final [evaluation report](#) is assessed and rated against the following criteria:

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
<b>Substantive report quality criteria</b>			
A. <b>Quality of the Executive Summary:</b> Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	<b>Draft report:</b> N/A  <b>Final report:</b>	N/A	5
B. <b>Project context and project description:</b> Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	<b>Draft report:</b> The substance of the report was present although details had to be clarified and firmed up.  <b>Final report:</b> All the necessary information is provided in a clear manner.	4	5

<p>C. <b>Strategic relevance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?</p>	<p><b>Draft report:</b></p> <p><b>Final report:</b></p>	5	5
<p>D. <b>Achievement of outputs:</b> Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?</p>	<p><b>Draft report:</b> Outputs presented in neat table with comments.</p> <p><b>Final report:</b></p>	6	6
<p>E. <b>Presentation of Theory of Change:</b> Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?</p>	<p><b>Draft report:</b> Good narrative and diagrammatic representation of the TOC.</p> <p><b>Final report:</b></p>	5	5
<p>F. <b>Effectiveness - Attainment of project objectives and results:</b> Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?</p>	<p><b>Draft report:</b> Some questions raised on the report at outcome level.</p> <p><b>Final report:</b></p>	3	5
<p>G. <b>Sustainability and replication:</b> Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?</p>	<p><b>Draft report:</b></p> <p><b>Final report:</b></p>	3	5
<p>H. <b>Efficiency:</b> Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?</p>	<p><b>Draft report:</b></p> <p><b>Final report:</b></p>	3	5
<p>I. <b>Factors affecting project performance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&amp;E system and its use for project management?</p>	<p><b>Draft report:</b></p> <p><b>Final report:</b></p>	3	5

J. <b>Quality of the conclusions:</b> Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	Draft report: Final report:	N/A	5
K. <b>Quality and utility of the recommendations:</b> Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	Draft report: Final report:	N/A	5
L. <b>Quality and utility of the lessons:</b> Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Final report:	N/A	5
<b>Report structure quality criteria</b>			
M. <b>Structure and clarity of the report:</b> Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: Final report:	5	6
N. <b>Evaluation methods and information sources:</b> Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Draft report: Final report:	3	4
O. <b>Quality of writing:</b> Was the report well written? (clear English language and grammar)	Draft report: Final report:	5	6
P. <b>Report formatting:</b> Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: Final report:	5	6
<b>OVERALL REPORT QUALITY RATING</b>		<b>4.2</b>	<b>5.2</b>

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP Evaluation Office Comments		Rating
<b>Evaluation process quality criteria</b>			
Q. <b>Preparation:</b> Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?			6
R. <b>Timeliness:</b> Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?			6
S. <b>Project's support:</b> Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?			5
T. <b>Recommendations:</b> Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?			N/A
U. <b>Quality assurance:</b> Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report?			4
V. <b>Transparency:</b> Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?			4

W. <b>Participatory approach:</b> Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?			4
X. <b>Independence:</b> Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?			6
<b>OVERALL PROCESS RATING</b>			5

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.