

# **Final Evaluation of Adapting to Climate Induced Threats to Food Production and Food Security in the Karnali Region of Nepal from 2018 to 2022**



Terms of Reference

WFP Nepal Country Office

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# 1. Background

1. This Terms of Reference (ToR) has been prepared by the United Nations World Food Programme (WFP) Nepal Country Office based upon an initial document review and consultation with program management team and external stakeholders. The ToR follows Adaptation Fund guidelines on project/programme final evaluations and WFP's decentralised evaluation standard template. The purpose of this ToR is to provide key information to stakeholders about the evaluation, to guide the evaluation team and to specify expectations during the various phases of the evaluation.

## 1.1. INTRODUCTION

2. This ToR sets out guidelines and expectations for the final evaluation of the project "Adapting to Climate-Induced Threats to Food Production and Food Security in the Karnali region of Nepal". The operational evaluation will be commissioned by WFP Nepal through an independent evaluation team and will cover the project implementation period from October 2018 to October 2022.
3. The Government of Nepal (GoN) has received grant from Adaptation Fund (AF) to execute the project. The project is being implemented jointly by WFP as Multilateral Implementing Entity and the Government of Nepal (GoN)- Ministry of Forests and Environment (MoFE). The project implementation aligns with Nepal's Climate Change Policy and National Adaptation Programme of Action (NAPA).
4. The total project budget is USD 10,277,160 (over 4 years) which includes USD 9,527,160 from the Adaptation Fund and WFP's contribution of USD 750,000.
5. The project implementation arrangement is aligned with federal governance structure and has been adhered to the new institutional setup of the local governments. The project activities are prioritized and reflected in the annual work-plan following the agreed planning process at the national and sub-national levels. The National Project Steering Committee (NPSC) chaired by Secretary of MoFE provides overall strategic policy guidance, and coordination to the project. The Project Support Unit (PSU) established within the MoFE headed by Joint-Secretary/ Chief of Climate Change Management Division of MoFE and supported by a Programme Manager (Under-Secretary) facilitates and coordinates the implementation of project activities to achieve the results as specified in the project document. For provincial level coordination for project-related activities, as required, Provincial Project Coordination Unit led by Secretary of the Ministry of Industry, Tourism, Forest and Environment is established. Similarly, at the Rural Municipality level, the Local Project Coordination Unit led by Chief Administrative Officer of Municipality coordinates the project activities, provides overall guidance for project planning and implementation and ensure multi-stakeholder engagement and coordination. WFP manages the overall project implementation, monitoring/evaluation, quality assurance and oversight through its various implementation mechanisms, employing implementing partners (NGOs, private sector organizations) and government agencies. WFP has its Country Office in Kathmandu, Sub-Office in Surkhet for Karnali province and WFP Field Coordinators in all project districts.
6. The project's goal is to increase the adaptive capacity of climate vulnerable and food insecure poor households by improved management of livelihood assets and natural resources in Kalikot, Jumla and Mugu of Karnali province. The key objectives of the project are to strengthen local capacity to identify climate risks and design adaptive strategies; diversify livelihood and strengthen food security for climate vulnerable poor households; and increase the resilience of natural systems that support livelihoods to cope with climate change induced stresses. Approximately 10,850 households (estimated 65,800 people) in 7 Rural Municipalities of 3 districts were expected to benefit from different interventions (directly/indirectly) over the four years of period through two programme components: 1) developing local, district and national capacity to plan, implement and monitor adaptation and risk reduction actions, and 2) building household and community resilience and increase adaptive capacity of climate vulnerable poor.

## 1.2. CONTEXT

7. Nepal is a landlocked country straddling the Himalayas and Tibetan plateau to the north and the dry Indian plains to the South. Its 147,516 square kilometres of land contain immense geophysical and ethnic diversity. Nepal's population of nearly 30 million is ethnically diverse. The major ethnic groups are

mosaics of people originating from Indo-Aryan and Tibeto-Burmese races. Two major religions, Hinduism and Buddhism have melded the country's cultural landscape. The population growth rate is over 2.2%, while life expectancy is about 71 years and literacy rate around 65%.

8. Nepal's economy is largely agricultural. Over 80% of the population is engaged in agriculture<sup>1</sup>. However, farming is largely at subsistence-level, without advanced technology or markets. Agriculture (33%) and services (39%) are the largest contributors to GDP.
9. Nepal has made considerable progress towards eradicating poverty. Government data shows Nepal has 17.4 percent poverty rate. According to the government, there are still 4.98 million people in Nepal who live in poverty on many levels, accounting for 17.4 percent of the population. While Nepal is on track to achieve its commitment towards Sustainable Development Goals (SDGs) 2030, the country remains one of the poorest in the world. Nepal is categorized as 'least developed' ranking at 147 out of 187 countries in UNDP's human development index. Per capita annual income is only about USD 1000.<sup>2</sup> A combination of shocks, including political instability, limited economic growth, high prices and frequent natural disasters combine to keep a quarter of Nepal's population under the poverty line.
10. Nepal is one of the most food insecure countries in Asia. Estimates suggest that approximately 38 per cent of the country's population does not consume enough food and is undernourished.<sup>3</sup> In recent years, the combination of climate-related disasters, high food prices, and low economic growth has resulted in higher food insecurity in the most vulnerable communities, particularly in Western Nepal. The mid-Western Mountain regions have some of the worst hunger rates in the world, highlighting the spatial differences in vulnerability across the country<sup>4</sup>.
11. Poverty in Nepal is correlated with household size and number of young children. Poverty is higher among dalits<sup>5</sup> (who have larger families and are caste-discriminated) than non-Dalits. Most tellingly, poverty rates fall drastically for households with over one hectare of agricultural land. Poverty is also strongly linked with a largely limited access to public services such as schools, hospitals and health posts, paved roads, bazaars and markets and banks.
12. Foreign remittances have become a main source of income for rural families, especially in the mid- and high- hills. Migration for labour (mostly unskilled) is seasonal, covering the lean rainfall months, as well as semi-permanent. The largest destination for migration is India, however some poor people travel to the Middle East or Southeast Asia.<sup>6</sup>
13. Nepal's Karnali area has been experiencing the worst poverty and food security impacts of climate change. At one time in the past, the area's location on the trade route between Nepal and Tibet ensured prosperity, when salt from the high Tibetan lakes was traded for grain from Nepal. However, this trade collapsed in the 1970s and low productivity due to climatic factors (mostly drought) and conflict have left the region in poverty.
14. The region is comprised of five districts - Humla, Jumla, Dolpa, Mugu and Kalikot and is named after the Karnali River, which originates from the Himalayan districts of Mugu and Humla and eventually flows into the Indian Ganges River. The region is bordered by Tibet (China), and defined by its mountainous terrain, highly variable precipitation, and high vulnerability to natural disasters. Karnali rates 48.1 on the Human Poverty Index (HPI-1)<sup>7</sup> and is the most impoverished region in Nepal.

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<sup>1</sup> National Adaptation Program of Action to Climate Change. Ministry of Environment, Science and Technology, Government of Nepal 2010

<sup>2</sup> World Bank Country Overview 2012

<sup>3</sup> Nepal Living Standard Survey NLSS-III 2010-2011

<sup>4</sup> WFP and NDRI Food Security Atlas

<sup>5</sup> A scheduled caste

<sup>6</sup> Passage to India: Migration as a coping strategy in times of crisis in Nepal. World Food Programme 2008 <sup>14</sup>WFP and NDRI Food Security Atlas

<sup>7</sup> The United Nations Development Program's Human Poverty Index (HPI-1) is measured on the scale of 0-100 where 0 is least impoverished.

15. The terrain in Karnali varies from high Himalayan mountains to river valleys dissecting the lower hills. Due to steep terrain, there is very little cultivable land, and the soil is poor and eroded. As per WFP's estimation, food production in poverty-stricken areas of Karnali region is sufficient for only 3 to 6 months round the year. At higher altitudes only one crop is possible. per year, Except in Jumla (a relatively better-connected district), irrigation throughout the region is largely limited.<sup>8</sup>
16. Most households rely on subsistence farming as their primary source of livelihood. Farmers in Karnali commonly sow rice, maize and millet as summer crops, while wheat and barley as popular winter crops. Traditional crops such as native barley and oats are still important. Karnali households depend on a mix of their own subsistence agriculture, harvesting of timber and non-timber forest products (NTFPs), daily wage labour, seasonal migration to the Terai districts or India, and government and international food aid.
17. Karnali districts have low population density and are remote and unconnected by infrastructure (roads and bridges). Some higher elevations are habitable only during the summer months. A WFP vulnerability analysis shows that the region is highly exposed to changing temperature and precipitation and all districts face the risk of drought. Some are highly exposed to landslides as well.
18. All districts show very low adaptive capacity in terms of the robustness of markets and connectivity. Despite low population density, one district (Mugu) ranks "very high" in overall vulnerability to climate change<sup>9</sup>, while two districts (Kalikot and Dolpa) rank high, and others (Jumla and Humla) rank moderate. However, the moderate districts are still vulnerable to changes in precipitation and temperature, and they are considered to be at risk of facing severe droughts. This project therefore has been designed to address these issues of poverty, food insecurity, malnutrition and climate induced threats to food production and food security in the Karnali region.
19. Nepal's Gender Development Index is 0.886<sup>10</sup>.. Gender disparity is more pronounced in rural than urban areas and is manifested in poor access to education, health care and income earning opportunities. **Districts in the far and mid-west rank the lowest in GDI values.** Due to cultural and other ingrained practices, women have limited control over household decision-making, but have primary responsibility for childcare, agricultural activities and domestic chores such as fetching water. Employment opportunities for women are limited outside of subsistence agriculture. In the country as a whole, nearly 70% of economically active females engage in unpaid agricultural labour and only a few handfuls of women work in non-agricultural sector in comparison to their male counterparts. Women are also discriminated in labour wages, with men earning substantially more for both skilled and unskilled labour.<sup>11</sup> There is general undervaluing of the women's education and access to health care. As a result, women are more vulnerable during periods of food insecurity.
20. The status of women with regard to employment, health, life expectancy and education is the lowest in the hills and mountains of the far and mid-west. **The highest prevalence of female-headed households is found in far and mid-western Nepal, caused by out-migration of male members in search of employment.**
21. Food insecurity negatively correlates to adaptive capacity. Rural agricultural livelihoods in the project area depend on the health of forest, land and water resources. It is therefore vital, in such climate vulnerable communities, to enhance agro-ecosystem services that increase production, reduce food insecurity and also directly generate income and energy for rural people.
22. CAFS-Karnali is aligned with the federal governance system embraced by the Constitution of Nepal 2015, National Climate Change Policy 2019 and Sustainable Development Goals 2 (Zero Hunger) and SDG 13 (Climate Actions). The project also aligns with the country's 15th Development Plan (2019/20-2023/24) and WFP-CSP (2019-23).

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<sup>8</sup> National Planning Commission – National Food Security Monitoring Task Force Food Security Atlas of Nepal (NeKSAP)

<sup>9</sup> National Adaptation Programme of Action, Nepal, Ministry of Science, Technology and Environment (MoSTE)

<sup>10</sup> [https://npc.gov.np/images/category/NHDR\\_2020.pdf](https://npc.gov.np/images/category/NHDR_2020.pdf)

<sup>11</sup> Food Security Atlas of Nepal. WFP and GoN 2010

23. The table in **Annex 4** presents a summary of climate change observations, current coping methods, and expected future risks to livelihoods in Karnali, based on reports of The Mountain Institute (TMI)<sup>12</sup> and ICIMOD<sup>13</sup> and field consultations carried out for the preparation of the proposed project.
24. Therefore, the project strategy is to improve household adaptive capacity and food security to current and future climate risks by 1) Improving natural resources and building community assets; and 2) Developing climate resiliency in livelihoods and social sectors
25. The main target population for this project is climate vulnerable poor households as defined by 1) low income and consumption; 2) reliance on subsistence agriculture 3) social discrimination and 4) low access to technology and assets - and the capacity of state and non-state service providers supporting these populations.
26. Particular activities have been focused on easing the burden of rural women and improving their living and health standards, ultimately contributing to household adaptive capacity to adverse climate impact.
27. Service delivery organizations at the local level - especially extension services related to agriculture, irrigation, livestock and forestry - will be the primary executing agents in implementation and monitoring of the project. The project focuses on developing capacity of the local communities to respond to climate shocks and design long-term adaptive strategies.
28. An important part of the project strategy is to mainstream project learning and outcomes into regular development processes at the municipalities, District and provincial levels, further contributing to national capacity and sustainability.

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<sup>12</sup> The Mountain Institute (TMI) conducted an unstructured community perception assessment to climate change in Humla and Jumla in early 2012

<sup>13</sup> Responding to Challenges of Global Change- enhancing Resilience and supporting adaptation of mountain communities. ICIMOD Project Brief 2009

## 2. Reasons for the evaluation

### 2.1. RATIONALE

29. As the project comes to an end in October 2022, a final evaluation is being commissioned to independently review the project in accordance with the AF requirements.
30. The evaluation serves the dual and mutually reinforcing objectives of accountability and learning. These factors are given equal consideration in this evaluation in order to assess performance and draw lessons learned for both the donor and key stakeholders at the project's closure. The evaluation is required to assess the performance and results of the project for meeting internal and external accountability requirements. An evaluation is needed to validate results and provide confirmation about the extent to which the intended and unintended results were achieved e.g., increased resilience, decreased vulnerability, improved cost-effectiveness, among others. This evaluation will critically and objectively review the progress of implementation with an eye to generating recommendations that will strengthen project implementation and inform future project design. The evaluation determines the reasons why certain results occurred or did not occur to draw lessons, derive good practices and provide pointers for learning. It will provide evidence-based findings to inform operational and strategic decision-making.
31. The evaluation is required to assess the relevance, efficiency, performance, management methods and success of the project, examining the impact<sup>14</sup> and sustainability of results, including the contribution to capacity development and the achievement of global and national environmental objectives.
32. The AF's guideline for project/ programme evaluation indicates that the 'final evaluation of AF projects and programmes should assess progress towards achievement of increased resilience/reduced vulnerability, and actions taken to achieve sustainability and replicability'. In general, the final evaluation in given context have the following objectives:
  - To promote accountability and transparency within the Fund, and to systematically assess and disclose levels of project or programme accomplishments. Are programmes and projects achieving what they were intended to achieve? An evaluation validates results and can make overall judgments about the extent to which the intended and unintended results were achieved (e.g., increased resilience, decreased vulnerability, improved cost-effectiveness).
  - To organize and synthesize experiences and lessons that may help improve the selection, design, implementation, and evaluation of future AF-funded interventions. What worked or what did not work and why?
  - To understand how project achievements contribute to the mandate of the AF. Aggregated analysis and reporting of individual project achievements provide evidence of the effectiveness of AF operations in achieving its goal.
  - To provide feedback into the decision-making process to improve ongoing and future projects, programmes, and policies.
  - To assess the relevance, effectiveness, and efficiency of project design, objectives, and performance.
33. In addition to AF suggested objectives, as the implementing agency, WFP is commissioning this evaluation with following key learning objectives.
  - Establish the extent to which the skills and knowledge passed on by WFP to different national and local level stakeholders were adopted and put to use.
  - Build a clear contextual understanding of the wider role WFP and Government play in ensuring gender equality and women's empowerment act as interlinked drivers for climate change adaptation works that benefits women, men, girls and boys, and people living with disabilities. Identify and review how innovation opportunities have been promoted through the project.

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<sup>14</sup> The Adaptation Fund's RBM defines impact as "the increased resilience at country level to climate change, including climate variability."

34. WFP Nepal Office will use the findings to assess and inform its positioning as the UN's inter-agency lead on agriculture. Together with the government, UN and donor counterparts, WFP will use the learning to develop strategies that will help the government incentivise food production and food and nutrition self-sufficiency. Attention will be given to alignment with the Economic Contingency Plan 2020 and national Build Back Better agenda for enhancing national resilience in the emerging context of the COVID-19 pandemic.
35. The evaluation is coming towards the end of the five-year Country Strategic Plan (CSP 2019-2023) of WFP CO Nepal in which building resilience and climate adaptation and preparedness is a core part of country strategy. The evaluation of CSP is also being conducted by WFP. In that regard, the findings from this evaluation will complement the evaluation of current CSP and inform the future design of the climate change adaptation activity for second generation CSP of WFP in Nepal.
36. This project is first and only one project in which Nepal accessed the climate finance from the Adaptation Fund. Even until 2022, no other agencies have accessed the Adaptation Fund for Nepal. Therefore, the findings of this evaluation will be valuable for the Adaptation Fund focal point (MoFE of Nepal) in designing strategies for better access and utilization of the funding allocated for Nepal from Adaptation Fund.

### 2.3. STAKEHOLDER ANALYSIS

37. A number of stakeholders both inside and outside of WFP have interests in the results of the evaluation and some of these will be asked to play a role in the evaluation process. **Annex 2** provides a preliminary stakeholder analysis, which should be deepened by the Evaluation Team as part of the Inception phase.
38. Accountability to affected populations is tied to WFP's commitments to include beneficiaries as key stakeholders in WFP's work. As such, WFP is committed to ensuring gender equality and women's empowerment (GEEW) in the evaluation process, with participation and consultation in the evaluation by women, men, boys, and girls from different groups. The evaluation will further investigate the distribution of benefits of the climate change adaptation programme to women, men, boys, and girls from different groups.
39. The primary stakeholders for this evaluation will be:
  - Implementing partners; PACE Nepal for Jumla, Rural Community Development Center (RCDC) for Mugu and HuRENDEC for Kalikot
  - Local government (Gaupalika) officials (agriculture section, livestock section, social development section) and elected leaders
  - District line agencies such as District Development Coordination Committees, Agricultural Service Centers, Livestock Service Centers, Agricultural Research Stations
  - Provincial level ministries including Ministry for Industry, Tourism, Forest and Environment, Ministry for Land Management, Agriculture and Cooperatives; Ministry for Social Development
  - Private sector agencies, financial institutions, value-chain intermediaries, federation of chambers of commerce and industries
  - WFP Surkhet field office
  - WFP Nepal country office and its implementing partners in decision-making, notably related to programme implementation and/or design, country strategy and partnership
  - Ministry of Forest and Environment

The Government has a direct interest in knowing whether WFP activities in the country are aligned with its priorities, harmonized with the action of other implementing partners (**Refer to stakeholder Analysis in Annex 2**) and meet the expected results. Issues related to capacity development, handover and sustainability will be of particular interest. GoN is also interested to understand the improvement in the adaptive capacity of their own institutions, as well as the relevance of the project activities.

- Given the core functions of the RBB, the RBB is expected to use the evaluation findings to provide strategic guidance, programme support, and oversight.



- WFP HQ may use evaluations for wider organizational learning and accountability.
- OEV may use the evaluation findings, as appropriate, to feed into evaluation syntheses as well as for annual reporting to the Executive Board.
- Adaptation Fund: the funding agency has interest to know if the funds have been spent efficiently or not.
- The United Nations Country Team (UNCT) would be interested to learn how partnerships between UN Agencies are conducted to draw lessons and inform the One UN Reform Agenda.

## 3. Subject of the evaluation

### 3.1. SUBJECT OF THE EVALUATION

40. The AF project (October 2018–2022) has aimed to increase adaptive capacity of climate vulnerable and food insecure poor households by improved management of livelihood assets and natural resources in the mountain districts of the Karnali province. The targeted villages of Kalikot, Mugu and Jumla (**Map is in Annex 1**) are particularly vulnerable to food insecurity. Thus, the project strategy is to improve household adaptive capacity and food security to current and future climate risks by: 1) Improving natural resources and building community assets; and 2) Developing climate resiliency in livelihoods and social sectors.
41. Approximately 10,850 climate vulnerable poor households (an estimated 65,800 people) in seven Rural Municipalities of three districts are expected to benefit over the four years of project implementation period through two programme components: develop local, district and national capacity to plan, implement and monitor adaptation and risk reduction actions, and build household and community resilience and increase adaptive capacity of climate vulnerable poor in targeted areas of Mugu, Kalikot and Jumla districts.
42. Major Project activities are categorized under three components as listed below:
  - Develop capacity to plan, implement and monitor adaptation and food security actions at community, municipality and subnational/national level
  - Strengthened ownership and management of climate risk reduction activities and replication of lessons in key livelihood sectors
  - Build household and community resilience and increase adaptive capacity of climate vulnerable poor in project areas

#### **Detail of the activities are provided in Annex 3.**

43. Gender and social inclusion are a strong and integral component of this project. Project has envisaged to support climate vulnerable and food insecure communities, particularly the poor, women, and people from marginalized groups to enhance their adaptive capacity to adverse impacts of climate change.
44. A number of gender, equity and inclusion dimensions can be identified in relation to the evaluation subject. The evaluation will therefore undertake a gender review as part of the evaluation process referring to the WFP Gender Policy (2014-2020) alongside independent assessments of factors affecting women and other disadvantaged groups engaged in climate adaptation project in Nepal.
45. The outcomes and outputs (**refer to the log frame in Annex 8**) were designed to strengthen the local capacity to identify climate risks, to encourage diversified livelihoods, to strengthen food security for climate vulnerable poor in target areas and to increase resilience of natural systems that supported livelihoods to climate change induced stresses. The activities were determined through field consultations at three different districts. Local and district governments recognized and prioritized climate risks as a development threat. At the same time Ministries provided their fullest cooperation to the tasks identified.
46. The 2030 Agenda has a stronger focus on Food Security and Nutrition than was the case under the Millennium Development Goal (MDGs). A specific goal has been defined to “End hunger, achieve food security and improved nutrition and promote sustainable agriculture” (SDG 2). The 2030 Agenda and other agreements that prioritize improved food security and nutrition for the most vulnerable through risk-informed strategies for climate-change adaptation, disaster risk reduction and advanced gender equality. However, the National Adaptation Plan (NAP) highlights, the existing plans and policies lack climate change adaptation as a specific focus area. Therefore, the project contains elements that focus on women’s participation and employment in farm work, as well as non-agriculture activities, targeting developing avenues of income for rural women through provision of knowledge, skills, tools and market access. Through a gender sensitive approach based on key learning from previous WFP programmes, the project aimed at introducing post-harvest technologies as an adaptive strategy that contributes to

climate resilient livelihoods for women and improved household incomes, and subsequent increased adaptive capacity.

47. The project will generate co-benefits through linking with other climate adaptation and development programs being implemented in the region and districts. Some of the projects implemented there include the DFID support NCCSP, World Bank supported Himali Project, Poverty Alleviation Funds of the World Bank and block grants channelled through Karnali Development Fund (a more detailed review of these projects is presented below). Linking and coordination with other projects also delivering hardware deliverables such as Rural Access Program supported by DFID, Ministry of Federal Affairs and Local Development (MoFALD) and WFP's country programme will generate significant aggregated impact to reduce vulnerability in target VDCs.
48. In December 2021, a Midterm Review recommended WFP to strengthen intergovernmental linkages and leverage resources and expertise of the provincial government agencies. The following section provides major recommendations to the WFP, MoFE, project/PSU, MoITFE and Rural municipalities, and to further implement the project effectively and enhance further prospects for its sustainability and impact in the future.
- **WFP:** Work with the MoFE and NPSC to strengthen intergovernmental linkages and leverage resources and expertise of the province government agencies as well
  - **MoFE:** Explore possibility of provincial government's (MoITFE) meaningful engagement in project's planning and execution in the spirit of federal governance system. Learnings from the project implementation be discussed at the PSC meetings consider the possible matching funds for the sustainability of such initiatives.
  - **PSU:** Make sure that PPCU meets regularly and report to the NPSC via PSU; Mobilize and use the PPCU in order that they could contribute positively to the project outcomes and results, and own and monitor the project activities and results, and scale-up in other similar projects in the province and later contribute to sustain good results and outcomes of the project; Revise key terminologies and concepts related to the projects; Produce and disseminate lessons learned document on climate adaptation based on CAFS-Karnali results/outcomes; Mobilize Division Forest Office (DFOs) to ensure local communities appropriately benefit project's support in managing forests, raising plantations, and promoting forest and NTFP based enterprises to build climate resiliency; Ensure that the three LCPs prepare and submit annual project completion report using the same format.
  - **MoITFE:** Make sure that PPCU meets regularly and review the project progress; Coordinate with the MoLMAC to integrate the experience and results of CAFS-Karnali to the programmes and projects implemented with its funding in Karnali province; Assist the target municipalities to implement LAPA with conditional grant; Ensure formal involvement of grassroots level forestry and climate change line agencies at the implementation level, the LPCU

**TARGET RURAL MUNICIPALITY: SELECT THE PROJECTS FOR THE ANNUAL PLANNING AND BUDGETING FROM THE LAPA; ENSURE THAT THE PROJECTS ARE MONITORED AS PER LGOA 2017; EXPLORE THE POSSIBILITY OF EXTENDING CAFS-KARNALI PROJECT ACTIVITIES IN OTHER WARDS WHERE THE PROJECT DOES NOT COVER CURRENTLY.**

### **3.2. SCOPE OF THE EVALUATION**

49. This evaluation is classified as a WFP Operation evaluation which is focused on an in-depth assessment of community resilience to climate change impacts, with both learning and accountability objectives. The evaluation should cover:
- **Timeframe:** The evaluation will cover the period 2018-2022.
  - **Geographical coverage:** Kalikotk, Jumla and Mugu of Karnali Province
- All districts show very low adaptive capacity in terms of the robustness of markets and connectivity. Despite low population density, one district (Mugu) ranks "very high" in overall

vulnerability to climate change<sup>15</sup>, while two districts (Kalikot and Dolpa) rank high, and others (Jumla and Humla) rank moderate. However, the moderate districts are still vulnerable to changes in precipitation and temperature, and they are considered to be at risk of severe drought

- **Target:** Approximately 10,850 households (estimated 65,800 people) in 7 Rural Municipalities of 3 districts are expected to benefit from different interventions (directly/indirectly) over the four years of period.
- **Two programme components:** Component 1: Develop local, district and national capacity to plan, implement and monitor adaptation and risk reduction actions. Component 2: Build household and community resilience and increase adaptive capacity of climate vulnerable poor.

50. As the requirement of the AF project evaluation, this final evaluation should cover following dimensions:

- Achievement of project outcomes both short term and medium-term), including ratings, and with particular consideration of achievements related to the proposed concrete adaptation measures. This includes the assessment of relevance, effectiveness and efficiency of project achievements against the targets.
- Likelihood of sustainability of outcomes at project completion including evaluation of risks to sustainability of project outcomes at project completion and progress towards impacts. This should include various dimensions of sustainability including financial and economic, socio-political, institutional /governance, environmental and uncertainties on climate change impacts
- Assessment of processes influencing the achievement of project results, including preparation, readiness, country ownership, stakeholder involvement, financial management, supervision and backstopping of the multilateral implementing entity, and project start-up and implementation delays.
- Evaluation of contribution of project achievements to the AF targets, objectives, impact and goal, including a report on AF standard/core indicators. Three AF objectives, 1. Strengthened local capacity to identify climate risks and design adaptive strategies, 2. Diversified livelihood and strengthened food security for climate vulnerable poor households in target areas. 3. Increased resilience of natural systems that support livelihoods to climate change induced stresses will be evaluated.
- Evaluation of the M&E systems and implementation including assessment design, implementation, budgeting and funding for M&E plans and activities; assessment of indicators, effectiveness of project baseline and alignment of project's M&E framework to national M&E framework

51. In addition, the final evaluation report should include separate sections for

- Lessons learned, conclusion, recommendations
- ToR for conducting the evaluation
- Official response from the project management team regarding the evaluation conclusion and recommendations; and

Other information such as timing and duration of the evaluation, geographic location visited, people involved/consulted (sex and age disaggregated), key questions, methodology and references used.

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<sup>15</sup> National Adaptation Programme of Action, Nepal, Ministry of Science, Technology and Environment (MoSTE) <sup>24</sup> National Planning Commission – National Food Security Monitoring Task Force Food Security Atlas of Nepal (NeKSAP)

## 4. Evaluation approach, methodology and ethical considerations

### 4.1. EVALUATION QUESTIONS AND CRITERIA

52. As per the guideline from AF, the evaluators should evaluate the achievement of outputs, outcomes and impacts. While there is high emphasis to assess the impacts, it is understood that it takes longer time to achieve or measure the impacts. Therefore, the final evaluation should focus on evaluation of short-to medium-term outcomes and provide a projection of impacts focusing on the overall outcome direction of the project. In that regard, the evaluators are encouraged to evaluate long-term outcomes and impacts as deemed relevant.
53. The evaluation needs to consider all the outcome indicators included in project log frame. WFP encourages the evaluators to include the AF's other standard/ core outcome indicators which are as follows:
- Reduced exposure at national level to climate-related hazards and threats;
  - Strengthened institutional capacity to reduce risks associated with climate induced economic losses;
  - Strengthened awareness and ownership of adaptation and climate risk-reduction processes at the local level;
  - Increased adaptive capacity within relevant development and natural resource sectors;
  - Increased ecosystem resilience in response to climate change and variability-induced stress;
  - Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas; and,
  - Improved policies and regulations that promote and enforce resilience measures.
54. The project outcomes should be evaluated according to two dimensions mentioned above: Achievement of the outcomes; and Risks to Sustainability of outcomes and linkage towards impacts.
55. The AF recommend using criteria of *Relevance*, *Effectiveness*, and *Efficiency* for evaluating the levels of achievements of project's outcomes and outputs as they are applicable. However, The United Nations Evaluation Group evaluation criteria also recommends users criteria of Coherence, Impact and Sustainability. Therefore, evaluators should look to apply all these criteria for this evaluation to assess the levels of achievements wherever applicable. In addition to this, the final evaluation should also give attention to assessing adherence to WFP's corporate norms and standards for gender equality, protection.
56. This final evaluation will concern the following dimensions according to the Adaptation Fund evaluation structure. This will be given an overall rating based on a multi-dimensional analysis and justification in accordance with the donor requirements, as clearly outlined in the Adaptation Fund Final Evaluation Guidelines.<sup>16</sup>
- i. Achievement of project outcomes:

***To what extent were the planned outputs and outcomes of the intervention achieved? Did the extent of achievement differ among different groups of people?***

- *To what extent the outputs and outcomes of the projects has been achieved? Did project underachieve or overachieve any results? [this requires conducting the end line survey and compare the analysis with the baseline to see the change in indicator value]*

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<sup>16</sup> [Guidelines for Proj Prog Final Evaluations final.pdf \(adaptation-fund.org\)](#)

- *To what extent are the interventions aligned and contributing to government climate adaptation strategies and plans?*
- *Are the actual project outcomes commensurate with the original or modified project objectives (as a result of adaptive management)? If the original or modified expected results are merely outputs/inputs, the evaluators should evaluate if the project/programme had real outcomes and, if it did, determine whether these are appropriate with realistic expectations from such projects/programmes*
- *To what degree have the project outputs and outcomes contributed, or are likely to contribute, to progress towards more resilient communities?*
- *Were alternatives considered? How was the process of preparation and implementation compared with other projects? Are the costs incurred and the time taken to achieve outcomes reasonable compared to other similar projects?*
- *To what extent are the costs associated with the intervention proportionate to the benefits it has generated? What factors are influencing any particular discrepancies? How do these factors link to the intervention?*
- *How proportionate were the costs of the intervention borne by different stakeholder groups, considering the distribution of associated benefits?*
- *To what extent was different components of project coherent with each other to generate lasting impacts?*
- *How does the project respond to the different needs of the target groups, including women and men? How were the activities selected? What was the role of communities and beneficiaries in this process? Could more be done to strengthen their engagement?*
- *How well does the project complement the work of other actors focusing on water management, climate-smart livelihoods? to what extent are activities aligned with national priorities? to what extent are they built on the synergies and complementarities between the government and other non-government programmes?*
- *Has the project increased the target communities' ability to mitigate effects of climate change induced rainfall variability and its impacts on livelihood and food security? If so, how?*
- *To what extent is this intervention coherent with other interventions which have similar objectives?*
- *What are the unintended (positive/negative) effects of the project on targeted individuals, households and communities? Did these differ among men and women?*

ii. Evaluation of risks to sustainability of project outcomes at project completion and progress towards impacts, including ratings:

***What is the likelihood that the project's output, outcomes and impact continuing after the funding from project ends? What outcomes, as per the result framework, will continue to contribute to bring desired impacts in future?***

***Are there systems and/or mechanisms that have been built to support the continuation of the outputs and outcomes beyond the life of the project? Which national stakeholders are responsible?***

***Are there any risks to sustainability? how these risks may affect the linkage from outcomes to impacts?***

- *Are there any financial or economic risks that may jeopardize sustainability of project outcomes? What is the likelihood of financial and economic resources being available once the AF grant ends? (Financial and economic risks and assumptions) Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the project's long-term objectives (socio-political risks and assumptions)*
- *Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits? Are requisite systems for accountability and transparency, and required technical know-how, in place? (Institutional framework, and government risks and assumptions)*
- *Are there any environmental risks that may jeopardize sustainability of project/programme outcomes? (Environmental risks and assumptions)*

- *Are there any risks associated with uncertainties in the climate models, and vulnerability assessment which may have caused inappropriate project design and implementation, problem in result framework etc.*

iii. Assessment of processes influencing the achievement of project result:

**Design**

- *Were the project's objective and component clear, practical and feasible for given time frame and budget?*
- *Were the capacities of the executing entities and its counterparts properly consulted when the project/programme was designed?*
- *Were the lessons learned from other relevant projects properly incorporated in the design?*
- *Were the partnership arrangements properly identified and roles and responsibilities negotiated prior to project/programme approval?*
- *Were climate models considered and vulnerability assessments conducted? What was the quality of the models used?*
- *To what extent were recommendations, including from the MTR, implemented?*

**Local ownership**

- *Was the project concept in line with the national sectoral and development priorities and plans of the country?*
- *Are project outcomes contributing to national development priorities and plans?*
- *Were the relevant country representatives from government and civil society involved in the project/programme?*

**Stakeholder engagement**

- *Did the project involve the relevant stakeholders through information sharing and consultation and by seeking their participation in project/programme design, implementation, and M&E?*
- *Did the project consult with, and make use of, the skills, experience, and knowledge of the appropriate government entities, nongovernmental organizations, community groups, private sector entities, local governments, and academic institutions in the design, implementation, and evaluation of project/programme activities?*
- *Were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account while taking decisions?*
- *Were the relevant vulnerable groups (including women, children, elderly, disabled, poor) and powerful supporters and opponents of the processes properly involved? What approaches were applied to ensure, at minimum, equal participation of women in the programme?*
- *Were gender balance perspectives of those affected and involved in the project/programmed assessed?*

**Financial efficiency**

- *Did the project have the appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allowed for timely flow of funds?*
- *To what extent did the project adhere to due diligence in the management of funds and financial audits? Financial audits of the project, if available at the time of the evaluation, should be used as a source of information.*

**Implementing Entity supervision and backstopping**

- *Did Implementing Entity staff identify challenges in a timely fashion and accurately estimate their significance?*
- *Did Implementing Entity staff provide quality support and advice to the project/programme, approve modifications in time, and restructure the project/programme when needed?*
- *Did the Implementing Entity provide the right staffing levels, continuity, skill mix, and frequency of field visits for the project/programme?*

- *Did local partners provide the inputs (human or physical) that would be required to enable the project to be effective? To what degree were resources (inputs) available on time from other stakeholders?*

**Delays in project/ programme start-up and implementation**

- *If there were delays in project/ programme implementation and completion, what were the reasons?*
- *Did the delays affect project/ programme outcomes and/or sustainability, and, if so, in what ways and through what causal linkages?*

iv. Evaluation of contribution of project achievements to the AF targets, objectives, impact and goal.

**To what extent were the project results consistent with the goal, objectives and strategic priorities of the AF, as well as the country priorities?**

- *To what extent does the project contribute to increasing the resilience of communities vulnerable to climate change?*
- *To what extent have the project indicators aligned with AF strategic outcomes and output indicators and targets?*
- *To what extent are the interventions aligned and contributing to government climate adaptation strategies and plans?*
- *To what degree have the project outputs and outcomes contributed, or are likely to contribute, to progress towards more resilient communities?*
- *Has the project increased the target communities' ability to mitigate effects of climate change induced rainfall variability and its impacts on livelihood and food security? If so, how?*
- *How did the project build diversified and resilient livelihoods for marginalized farming communities in the project area through effective management of land and water resources?*
- *What were the main factors influencing achievement /nonachievement?*
- *How did the main barriers and facilitators to achievement vary among men and women? How did the project influence women's decision-making power and access and control of resources?*
- *What have been the main challenges or risks to attain increased resilience? And main challenges or risks to adaptive capacity of the institutions and communities?*

v. Evaluation of the M&E systems and implementation

**How was the quality of the project M&E systems according to 1) M&E plans, 2) indicators, 3) baselines, and 4) alignment with national M&E frameworks?**

- *Was there a clear M&E plan laying out what needs to be monitored based on pre-defined programme logic?*
- *Were the indicators well defined and relevant to measure the achievement of the objectives? Were relevant indicators sex disaggregated?*
- *Did the project M&E system make the best use of existing (local, provincial, federal) monitoring and evaluation systems, including existing indicators?*
- *Could these systems be used as they are, do they need to be revised, or are new and additional systems required?*
- *Has data collection been designed through a participatory approach, using cost-effective and accessible information?*
- *Did the project include plans for feedback and to disseminate results from monitoring and reporting implementation as to allow for lessons learned and good practices identified to be shared with the wider community of adaptation planners and practitioners at all levels and other existing M&E systems?*
- *Were annual project reports complete and, with well-justified ratings?*
- *Were the M&E activities well-funded for the project period?*

**Refer to Annex 6 for mapping of the evaluation questions against the DAC criteria.**



57. Evaluation Questions: Allied to the evaluation criteria, the evaluation will address the given key questions, which will be further developed and adapted by the evaluation team during the inception phase. Collectively, the questions aim at highlighting the key lessons and performance of the CAFS Karnali project, which could inform future strategic and operational decisions.
58. The evaluation should analyse how gender, equity, and wider inclusion objectives and GEWE mainstreaming principles were included in the intervention design, and whether the evaluation subject has been guided by WFP and system-wide objectives on GEWE. The gender, equity and wider inclusion dimensions should be integrated into all evaluation criteria as appropriate.

## 4.2. EVALUATION APPROACH AND METHODOLOGY

59. The evaluation methodology will be designed to address the expectations as set out in the project evaluation guideline of the UN Evaluation Group (UNEG) evaluation criteria of Relevance, Effectiveness, Impact Efficiency, Coherence and Sustainability and their associated evaluation questions. The evaluation should follow a systematic mixed-methods approach that enables the ongoing analysis and validation of findings with the involvement of all relevant stakeholders through the KII and FGD exercises. **Please refer to Annex 2 for Stakeholders Analysis table.**
60. The methodology chosen should demonstrate attention to impartiality and reduction of bias by relying on mixed methods (quantitative<sup>17</sup>, qualitative, participatory, inclusiveness, among others) and different primary and secondary data sources that are systematically triangulated (documents from different sources; a range of stakeholder groups, including beneficiaries; direct observation in different locations; across evaluators; across methods, and so on). It will take into account any challenges to data availability, validity or reliability, as well as any budget and timing constraints. The evaluation questions, lines of inquiry, indicators, data sources and data collection methods will be brought together in an evaluation matrix, which will form the basis of the sampling approach and data collection and analysis instruments (desk review, interview and observation guides, survey questionnaires etc.).
61. WFP has conducted a rigorous baseline survey, outcome monitoring, midterm review, and process monitoring over time. The evaluation team needs to adopt the evaluation methodology both the quantitative and qualitative approaches including the sampling methodology<sup>18</sup> from the baseline survey to make the findings of the baseline and final evaluation results comparable. The firm is expected to analyse the results trend over time using all the past assessments and the final evaluation findings.
62. The methodology should be GEWE, equity and inclusion responsive, indicating how the perspectives and voices of diverse groups (men and women, boys, girls, the elderly, people living with disabilities and other marginalized groups) will be sought and taken into account. The methodology should ensure that primary data collected is disaggregated by sex and age; an explanation should be provided if this is not possible. Triangulation of data will ensure that diverse perspectives and voices of both males and females are heard and taken into account.
63. Looking for explicit consideration of gender and equity/inclusion in the data after fieldwork is too late; the evaluation team must have a clear and detailed plan for collecting data from women and men in gender and equity-sensitive ways before fieldwork begins.
64. The evaluation findings, conclusions and recommendations must reflect gender and equity analysis. The findings should include a discussion on intended and unintended effects of the intervention on gender equality and equity dimensions. The report should provide lessons/ challenges/recommendations for conducting gender and equity-responsive evaluations in the future.
65. The methodology should demonstrate impartiality and lack of bias by relying on a cross-section of information sources (e.g., stakeholder groups) and using a mixed methodological approach (e.g.,

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<sup>17</sup> Quantitative data collection and analysis will be limited to only 15 outcome indicators outlined the result framework aligned with Adaptation Fund result framework

<sup>18</sup>  $n = \left[ \frac{N \cdot (z\alpha/2)^2 \cdot r(1-r)}{\epsilon^2 (N-1) + (z\alpha/2)^2 \cdot r(1-r)} \right] \times [DE \div RR]$ , where

$r$  = Anticipated proportion in the population (taken as 0.5).

$\alpha$  = Significance level, chosen as 0.05 for 95% confidence interval.

$\epsilon$  = Acceptable margin of error, taken as 0.05.

RR = Response rate, taken to be 0.9.

DE = Design effect, taken as 1.5; and

N = Total population = 10,850

quantitative, qualitative) to ensure triangulation of information collected through a mix of primary and secondary sources with different techniques including Key Informant Interviews <sup>19</sup>(KIIs) conducted following a semi-structured interview protocol that aligns with the evaluation questions. Focus Group Discussions <sup>20</sup>(FGDs) should be facilitated with WFP and external stakeholder groups to ensure different perspectives form the findings.

66. The evaluation team is recommended to develop an observational protocol to guide its engagement in ongoing multi-stakeholder processes and meetings. The evaluation should also consider reviewing the quality coordination among the government, WFP, UN, private sector, NGO (civil society) and community stakeholders at the national, regional, district and local levels.
67. Data triangulation should be used to ensure the diverse perspectives and voices of women and men, are recorded and compared to wider stakeholder perceptions. The views of relevant WFP internal CO, regional bureau and headquarter staff members should be contrasted and explored. Strong emphasis should also be given to understanding WFP internal perspectives with the comparative views of governments and other stakeholders. A strong protocol on maintaining methodical qualitative data records should be followed.
68. The document review should span WFP, donor, UN, Government, NGO and research outputs. These will include policies and strategies; project planning and implementation documents; reports and reviews; research studies, surveys and assessments; as well as WFP internal reporting and budgets.
69. The evaluation team should apply guidelines for Adaptation fund final evaluation. The methodology should be sensitive to GEWE considerations in its adoption of data collection methods (such as sex disaggregated FGDs using a female interviewer to guide discussions). Sampling should ensure the equal representation of men, women and disadvantaged groups to ensure the different perspectives of women, men, boys and girls are included. Consideration should be given to geographical coverage across target Districts to ensure ethnic considerations are listened to.
70. The evaluation team will need to expand on the methodology presented in the ToR and develop a detailed evaluation matrix in the inception report.
71. This evaluation timeline and methodology can be impacted by any emergencies such as COVID 19. If the COVID 19 situation deteriorates and the government announces travel restrictions, this evaluation will either be delayed, or the methodology will be changed. In case of the impact of COVID 19 and a change in methodology, the research company will be required to revise the budget accordingly. These potential risks and mitigation measures will be discussed with the donor and the host government for final decision. The evaluation team will be required to perform detailed risk analyses including the impact of COVID-19 in the evaluation processes, and the scope.
72. The overall methodology will be designed by the Evaluation Team and agreed upon with the Evaluation Manager during the inception phase and presented in an evaluation matrix, together with all data collection instruments and sampling frameworks. ***Please refer to Annex 9 for guidance in estimating the evaluation budget.***

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<sup>19</sup> KII's 14 at local level, 2 at provincial and 2 at federal

<sup>20</sup> 6 FGD's per three districts

## 4.3. Evaluability assessment

73. Evaluability is the extent to which an activity or a program can be evaluated reliably and credibly. A preliminary evaluability assessment will be done by the Country Office at the initial stage of the project cycle where M&E plan, result frameworks and theory of change are analysed and established, which will eventually be deepened and expanded upon by the evaluation team in each inception package relating to deliverables.
74. The evaluation team shall critically assess data availability and consider evaluability limitations in its choice of evaluation methods. In doing so, the team will also critically review the evaluability of the gender aspects of the programs, identify related challenges and mitigation measures and determine whether additional indicators are required to include gender empowerment and gender equality dimensions.

### **Data Availability**

75. The following sources of information are indicative of the information that will be made available to the evaluation team during the inception phase. Additional information will be provided as needed. The sources provide quantitative and qualitative information but not limited to -
- WFP Country Strategic Plan
  - Project proposal
  - Project brief
  - Relevant policy and programme documents from both WFP and government FF
  - Project documents of the executive entities– this includes monitoring / field reports, meeting minutes and beneficiary lists
  - CAFS Karnali baseline survey report
  - CAFS Karnali mid-term report
  - Outcome monitoring report
76. Concerning the quality of data and information, the Evaluation Team should:
- Assess data availability and reliability as part of the inception phase expanding on the information provided in this section. This assessment will inform the data collection.
  - Systematically check accuracy, consistency and validity of collected data and information and acknowledge any limitations/caveats in drawing conclusions using the data.

## 4.4. ETHICAL CONSIDERATIONS

77. The evaluation must conform to [UNEG ethical guidelines for evaluation](#). Accordingly, the selected evaluation firm is responsible for safeguarding and ensuring ethics at all stages of the evaluation process. This includes, but is not limited to, ensuring informed consent, protecting privacy, confidentiality and anonymity of respondents, ensuring cultural sensitivity, respecting the autonomy of respondents, ensuring fair recruitment of participants (including women and socially excluded groups) and ensuring that the evaluation results do no harm to respondents or their communities.
78. The evaluation firm will be responsible for managing any potential ethical risks and issues and must put in place, in consultation with the evaluation manager, processes and systems to identify, report and resolve any ethical issues that might arise during the implementation of the evaluation. Ethical approvals and reviews by relevant national and institutional review boards must be sought where required.
79. The team and evaluation manager will not have been involved in the design, implementation or monitoring of the WFP CSP Activity nor have any other potential or perceived conflicts of interest. All members of the evaluation team will abide by the [2020 UNEG Ethical Guidelines](#), including the Pledge of

Ethical Conduct as well as the WFP technical note on gender. The evaluation team will also be expected to sign a data protection agreement.

80. The evaluation team must show flexibility in line with the developmental evaluation approach and potential disruption to planned methodology due to COVID-19. Data collection tools must be designed to be culturally (and age) appropriate. Where possible, attention should be given to ensuring the representation of ethnic minorities and groups living in remote areas. The design of data collection tools should be culturally appropriate and not create distress for respondents. The inception report should consider protocols for the collection of sensitive information. Data collection visits must be planned in collaboration with the relevant stakeholders and organized at the appropriate time and place to minimize risk or inconvenience to respondents.
81. Training on data collection must include research ethics, particularly how to ensure that i) all participants are fully informed of the nature and purpose of the evaluation and their involvement, and ii) they are protected from contracting COVID-19 during this evaluation. Only participants who have given informed written or verbal consent should be involved in the evaluation.

#### **4.5. QUALITY ASSURANCE AND QUALITY ASSESSMENT**

82. The WFP evaluation quality assurance system sets out processes with steps for quality assurance and templates for evaluation products based on a set of [Quality Assurance Checklists](#). The quality assurance will be systematically applied during this evaluation and relevant documents will be provided to the evaluation team. This includes checklists for feedback on quality for each of the evaluation products. The relevant checklist will be applied at each stage, to ensure the quality of the evaluation process and outputs.
83. The evaluation team will ensure the quality of data (validity, consistency and accuracy) throughout the analytical and reporting phases. In the context of potential COVID-19 impacts on the evaluation process, the approach to Quality Assurance will seek to support changes to the data collection approach or focus to ensure the findings are made on the basis of credible evidence.
84. The evaluation team will be required to ensure the quality of data (reliability, consistency and accuracy) throughout the data collection, synthesis, analysis and reporting phases.
85. The evaluation team should be assured of the accessibility of all relevant documentation within the provisions of the directive on disclosure of information. This is available in the [WFP Directive CP2010/001](#) on information disclosure.
86. All final evaluation reports will be subject to a post hoc quality assessment (PHQA) by an independent entity through a process that is managed by the Office of Evaluation. The overall PHQA results will be published on the WFP website alongside the evaluation report.
87. Evaluation team ensure all the deliverables are reviewed by the WFP's internal team and relevant external stakeholders and the feedbacks are incorporated.

## 5. Organization of the evaluation

### 5.1. PHASES AND DELIVERABLES

88. The evaluation will proceed through the following:
89. **Preparatory phase:** This includes finalisation of the TOR including external quality assurance, the recruitment of the evaluation team and the formation of the evaluation committee. This phase is expected to be completed by Mid-August 2022. Revisions to the TOR may take place during the inception phase.
90. **Inception phase:** The evaluation team is responsible for conducting a comprehensive desk review of available data. He/she should inform the Evaluation Manager about any information gaps to be addressed. The evaluation team should suggest revisions to the TOR if needed and prepare a draft inception report by the Mid-September 2022 detailing the methodology and plan for the evaluation mission.
91. **Data collection phase:** The evaluation team will conduct field-level data collection expected to take place during Mid-September 2022 to Mid-October. The evaluation team will communicate regularly with the Evaluation Manager to prepare for the mission, including site visits, meetings with internal and external stakeholders, and a debriefing session at the WFP Nepal CO at end of the mission to present preliminary findings.
92. **Data analysis and reporting:** The evaluation is expected to produce a presentation towards the end of the data collection visit that explains the evaluation and main findings. The evaluation team should submit the draft report by December- 2022. The Evaluation is also expected to deliver a final evaluation report by March 2022 based on the draft version feedback received following completion of the quality assurance protocol. **Two pages evaluation briefs need to be prepared containing** key messages, main findings, conclusions, and recommendations in English and Nepali language. Also, **PowerPoint presentation needs to be developed** describing the methodology adopted and highlighting the major findings.
93. **Dissemination and follow-up:** WFP Nepal CO will be responsible to prepare their management response, to be made publicly available along with the report on WFP’s external website. A Communication and Learning Plan and Template will be developed by the evaluation team and Country Office Manager outlining the channels for distribution and the timeline for the products that will be disseminated. And as per the AF Evaluation guidelines, the report should be submitted to the Ethics and Finance Committee through the Fund’s Secretariat within nine months of project completion
94. Table 1 presents the structure of the main phases of the evaluation, along with the deliverables and deadlines for each phase. **Annex 6 presents a more detailed timeline.**

Table 1: Summary timeline – key evaluation milestones

Main phases	Indicative timeline	Tasks and deliverables	Responsible
1. Preparation	<b>March 2022 -Mid August2022</b>	Preparation of ToR Selection of the evaluation team & contracting Document review	Evaluation manager
2. Inception	<b>Mid-August 2022-Mid September</b>	Inception mission Inception report Data Analysis Plan Inception Workshop	Evaluation Team WFP team

3. Data collection	<b>Mid-September 2022-October 2022</b>	Training Fieldwork Exit debriefing	Evaluation team WFP team
4. Reporting	<b>November 2022-March 2022</b>	Data analysis and report drafting Comments process Workshop Evaluation report Evaluation Brief	Evaluation Team WFP team
5. Dissemination and follow-up	<b>April 2022</b>	Management response Dissemination of the evaluation report PowerPoint-Presentation	Evaluation Team WFP team

## 5.2. EVALUATION TEAM COMPOSITION

95. The evaluation should be carried out by an evaluation team (evaluation expert/team leader with one of the thematic expertise either gender or livelihood resilience, climate change expert). The inclusion of team essential to the unique context, which requires the team to have strong contextual knowledge. The team should be gender balanced and age heterogeneous with appropriate skills and attitudes to assess the gender and human rights as well as technical and cultural dimensions of the evaluation.
96. The team leader will bring together a complementary combination of the technical, socioeconomic, and institutional expertise required and have a track record of excellent written work on similar assignments as well as leadership, analytical, communication and presentation skills and have a high-level degree. Her/his primary responsibilities will be: i) defining the evaluation approach and methodology including its technical, institutional and gender and social inclusion aspects; ii) guiding and managing the evaluation process; iii) leading the evaluation mission (including, potentially remotely); iv) coordinating and leading regular presentations and feedback sessions with stakeholders; v) drafting and revising the inception report, data analysis and preliminary findings debriefings, evidence summaries, and final evaluation report in line with AF evaluation guidelines.
97. Evaluation team members should demonstrate complementary skills including: (i) extensive technical and operational experience in agriculture and rural development in Nepal including experience of engaging and working with government entities; and (ii) social sciences, human rights, gender and social inclusion. Strong, complementary analytical and communication skills will be required across the team members who should demonstrate a strong practical knowledge and experience of data collection, analysis and reporting in their areas of specialism. Emphasis should be given to experience in stakeholder consultations at national, district and local levels in Nepal, with positive experiences of mobilising and supporting the participation of women, men, boys and girls and disadvantaged groups. Complementary language skills will be desirable alongside a desire to ensure a fully gender and culturally responsive and participatory developmental evaluation.
98. Desirable skills and experience across the team include leading or supporting strategic planning processes with UN agencies in in collaboration with Government counterparts; and previous WFP and/or UN related experience.
99. As a developmental evaluation, team members should be willing to work in a collegiate manner, maintain close communication with the WFP evaluation manager and CO staff, and promote wider stakeholder engagement as a key ongoing component of the evaluation. The team will be hired following agreement with WFP on its composition.

## 5.4. SECURITY CONSIDERATIONS

100. **Security clearance** where required is to be obtained from WFP Nepal Country Office

- As an “independent supplier” of evaluation services to WFP, the research company will be responsible for ensuring the security of the evaluation team, and adequate arrangements for evacuation for medical or situational reasons. However, to avoid any security incidents, the evaluation team will ensure that the WFP country office registers the team members with the security officer on arrival in country and arranges a security briefing for them to gain an understanding of the security situation on the ground. The evaluation team must observe applicable United Nations Department of Safety and Security rules including taking security training (BSAFE & SSAFE) and attending in-country briefings.
- The team members observe applicable United Nations security rules and regulations – e.g. curfews etc.
- The evaluation team should follow government COVID-19 protocols in terms of travel, face to face meetings, beneficiary consultations and COVID-19 tests.

## 5.5. COMMUNICATION

101. To ensure a smooth and efficient process and enhance the learning from this evaluation, the evaluation team should place emphasis on transparent and open communication with key stakeholders in all phases. The evaluation team is encouraged to meet with as many internal and external stakeholders on-site as the evaluation mission timing and schedule allows and facilitate a debrief to present preliminary findings at the end of the mission.

102. The evaluation firm will make arrangements of translators if required for fieldwork.

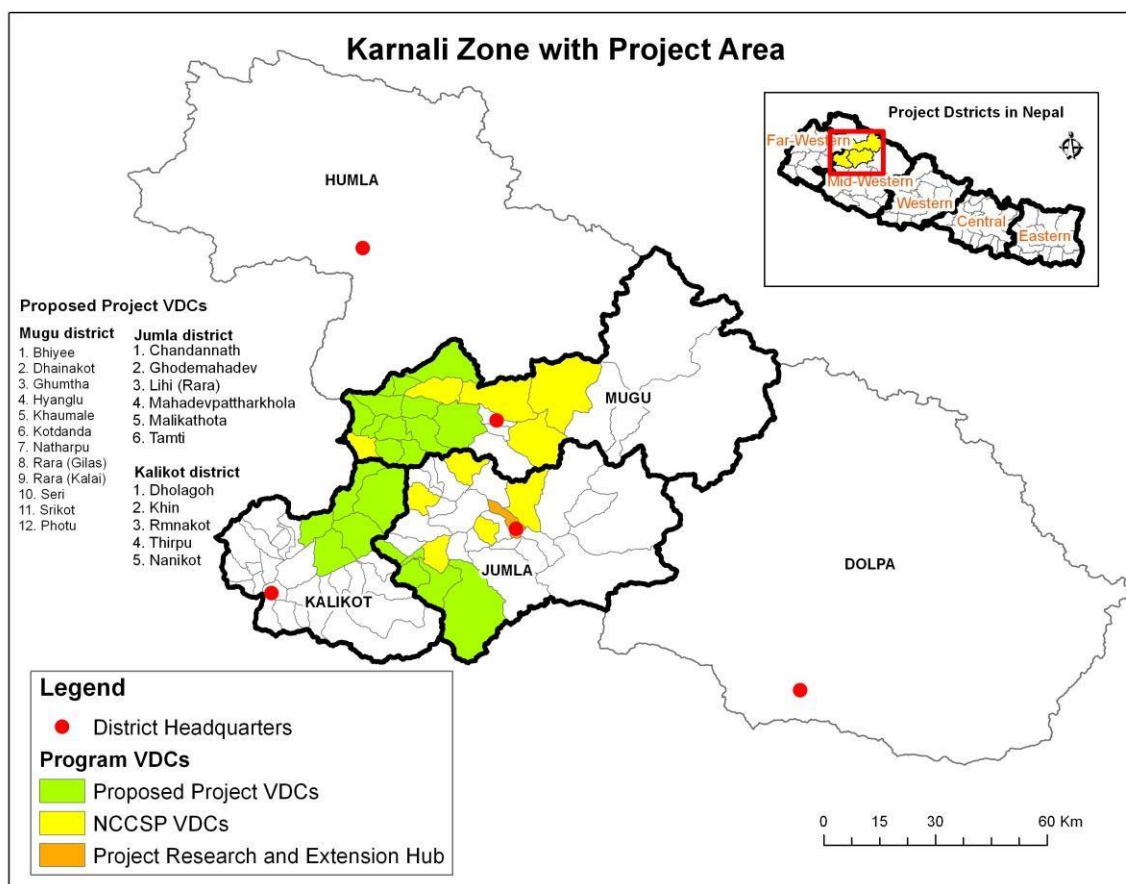
103. Data collection tools and written consent forms should be translated into the local language if required.

104. As part of the international standards for evaluation, WFP requires that all evaluations are made publicly available. Following the approval of the final evaluation report, the evaluation report and executive summary will be disseminated by the WFP CO among Government, UN donors and partners.

105. The evaluation will be carried out and reported in English.



## Annex 1: Map, Project location and beneficiaries



Province	District	Municipality	HHs	Male	Female	Total
Karnali	Mugu	Soru Rural Municipality	4050	12261	11755	24,016
		Khatyad Rural Municipality				
	Kalikot	Palata Rural Municipality	4140	12948	12597	25545
		Pachaljharana Rural Municipality				
	Jumla	Tila Rural Municipality	2660	8249	7989	16238
		Tatopani Rural Municipality				
Hima Rural Municipality						
<b>Grand total</b>		<b>7</b>	<b>10850</b>	<b>33458</b>	<b>32341</b>	<b>65,799</b>

Table: Programme locations and beneficiaries

## Annex 2: Preliminary Stakeholder Analysis

<b>Stakeholders</b>	Interest and involvement in the evaluation
<b>Internal (WFP) stakeholders</b>	
<b>WFP country office (CO) in Nepal</b>	<b>Key informant and primary stakeholder</b> - Responsible for the planning and implementation of WFP interventions at country level. The country office has an interest in learning from experience to inform decision-making. It is also called upon to account internally as well as to its beneficiaries and partners for performance and results of its programmes. The country office will be involved in using evaluation findings for programme implementation and/or in deciding on the next programme design and partnerships.
<b>WFP Surkhet field offices in Nepal</b>	<b>Key informant and primary stakeholder</b> - Responsible for day-to-day programme implementation. The field offices liaise with stakeholders at decentralized levels and has direct beneficiary contact. It will be affected by the outcome of the evaluation.
<b>Regional bureau Bangkok (RBB)</b>	<b>Key informant and primary stakeholder</b> - Responsible for both oversight of country offices and technical guidance and support, the regional bureau management has an interest in an independent/impartial account of operational performance as well as in learning from the evaluation findings to apply this learning to other country offices. The regional bureau will be involved in the planning of the next programme; thus, it is expected to use the evaluation findings to provide strategic guidance, programme support, and oversight.
<b>WFP HQ divisions</b>	<b>Key informant and primary stakeholder</b> - WFP headquarters divisions are responsible for issuing and overseeing the rollout of normative guidance on corporate programme themes, activities and modalities, as well as of overarching corporate policies and strategies. They also have an interest in the lessons that emerge from evaluations, as many may have relevance beyond the geographical area of focus. Relevant headquarters units should be consulted from the planning phase to ensure that key policy, strategic and programmatic considerations are understood from the onset of the evaluation. They may use the evaluation for wider organizational learning and accountability.
<b>WFP Office of Evaluation (OEV)</b>	<b>Primary stakeholder</b> - The Office of Evaluation has a stake in ensuring that evaluations deliver quality, credible and useful evaluations respecting provisions for impartiality as well as roles and accountabilities of various evaluation stakeholders as identified in the evaluation policy. It may use the evaluation findings, as appropriate, to feed into centralized evaluations, evaluation syntheses or other learning products.
<b>WFP Executive Board (EB)</b>	<b>Primary stakeholder</b> - the Executive Board provides final oversight of WFP programmes and guidance to programmes. The WFP governing body has an interest in being informed about the effectiveness of WFP programmes. This evaluation will not be presented to the Executive Board, but its findings may feed into thematic and/or regional syntheses and corporate learning processes.
<b>External stakeholders</b>	
<b>Beneficiaries</b>	As the ultimate recipients of food assistance, beneficiaries have a stake in WFP determining whether its assistance is appropriate and effective. As such, the level of participation in the evaluation of women, men, boys and girls from different groups will be determined and their respective perspectives will be sought.
<b>Government</b>	MoFP, NAPA, Ministry of Industry Tourism Forest and Environment, NPSC, PSU has a direct interest in knowing whether WFP activities in the country are aligned with its priorities, harmonized with the action of other partners and meet the expected results. Issues related to capacity development, handover and sustainability will be of particular interest.
<b>United Nations country team (UNCT)</b>	The harmonized action of the UNCT should contribute to the realization of the government developmental objectives. It has therefore an interest in ensuring that WFP programmes are

	effective in contributing to the United Nations concerted efforts. Various agencies are also direct partners of WFP at policy and activity level.
<b>Non-governmental organizations</b> <b>(PACE Nepal, RCDC, HuRENDEC)</b>	NGOs are WFP partners for the implementation of some activities while at the same time having their own interventions. The results of the evaluation might affect future implementation modalities, strategic orientations and partnerships. They will be involved in using evaluation findings for programme implementation.  Implementing partners; PACE Nepal for Jumal, RCDC for Mugu and HuRENDEC for Kalikot
<b>Donors</b>	The donor has a direct interest in knowing whether their funds have been spent efficiently and if WFP's work has been effective and contributed to the AF strategies and programmes. The donor will use for accountability and learning purposes.

## Annex 3: Key Activities

Component	Activities
Develop local, district and national capacity to plan, implement and monitor adaptation and risk reduction actions.	Design, implementation and monitoring of local adaptation strategies.
	Local level food security and climate adaptation planning.
	Integration of local adaptation plans in to sectoral and local-government planning processes.
	Integrate climate resilience to planning processes and development projects of key sectoral ministries.
	Conduct periodic assessment and document project lessons for wider dissemination at all levels.
Strengthened ownership and management of climate risk reduction activities and replication of lessons in key livelihood sectors	Local adaptation plans integrated in to sector-wise, local and district planning processes
	Integrate climate resilience to planning processes and development projects of key national ministries
	Conduct periodic assessment and document project lessons for dissemination at community/local, sub-national and national levels
Build household and community resilience and increase adaptive capacity of climate vulnerable poor in targeted areas.	Provide increased income opportunities for vulnerable households, especially during agricultural lean-season, through building physical and natural livelihood assets.
	Increase local availability of and access to food and nutrition through better storage and value-addition at local level.
	Improve and adapt current crop and livestock management practices to increased climate risks.
	Increase income through livelihood diversification using local resources.
	Introduce renewable energy-based systems to support women-led enterprises.

## Annex 4: climate change observations, current coping methods, and expected future risks

Communities Perception of Change	Experienced Impacts on livelihood Systems	Coping and Adaptation	Potential Future Risks
Decrease in rainfall and unpredictable onset of monsoon	Overall decline in agricultural productivity	Replacement of rice with finger millet; purchasing rice; barter; improvising with new cash crops; delayed sowing	Increased food and livelihood insecurity
Longer dry spells, in some place's drought like conditions	Drying up of springs; less flow in springs and streams	Rotational use of irrigation systems; traditional water sharing systems  Delayed sowing in irrigated fields at far end of channel	Scarcity of water for drinking and agriculture; increase in health problems; increased workload for women and children; children staying away from school  Crop failure
Higher temperature linked with decreased water availability	Lack of fodder; in some places lack of water for animals  Land becoming less productive	Sell off dairy animals, shift to smaller livestock particularly goats, barter fodder for manure  Less land under cultivation, more food purchases	Risk of malnutrition; increased drudgery  Dependence on cash income; food insecurity
Warmer winters and significantly less snowfall	Increased incidence of pests and diseases  Changes in flowering times	Increased use of pesticides and insecticides; use of ash and salt  No coping mechanism	Increase food and livelihood insecurity  Degradation of Orchards, income insecurity

## Annex 5: Evaluation Criteria and Questions

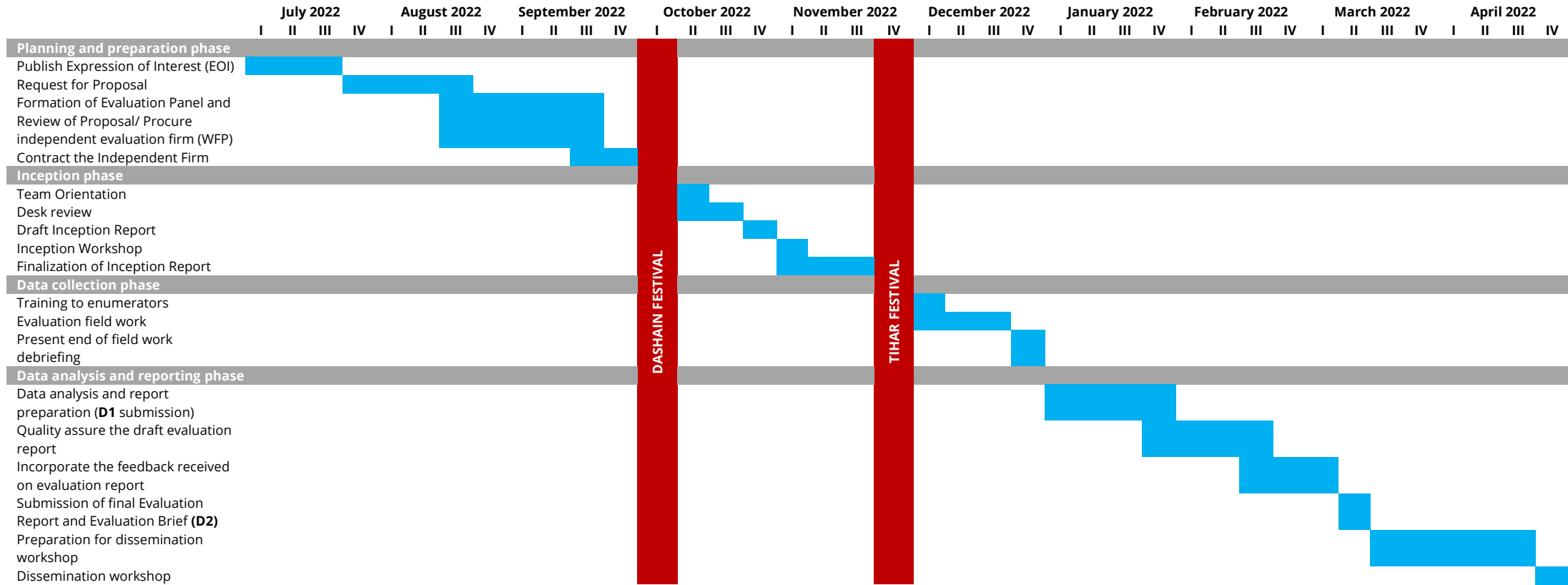
DAC Criteria	Evaluation Questions
Relevance	<p>Were the project outcomes consistent with the AF goal, objectives, and strategic priorities and country priorities?</p> <ul style="list-style-type: none"> <li>- Was the vulnerability assessment conducted at the beginning of the project appropriate, scientifically based?</li> <li>- To what extent were the project results consistent with the goal, objectives and strategic priorities of the AF, as well as the country priorities?</li> <li>- To what extent have the project indicators aligned with AF strategic outcomes and output indicators and targets?</li> <li>- Were the chosen implementation mechanisms (incl. choice of implementation modalities, entities and contractual arrangements) conducive for achieving the expected results?</li> </ul>
Effectiveness	<p>To what extent were the planned outputs and outcomes of the intervention achieved? Did the extent of achievement differ among men and women participants?</p> <ul style="list-style-type: none"> <li>- How does the project respond to the different needs of the target groups, including women and men?</li> <li>- How well does the project complement the work of other actors focusing on water management, climate-smart livelihoods?</li> <li>- What are the unintended (negative and positive) results of the project on gender equality and women's economic empowerment?</li> <li>- What are the unintended (positive/negative) effects of the project on targeted individuals, households and communities? Did these differ among men and women?</li> <li>- How do extension services address the unique needs of women?</li> <li>- To what extent has the project supported the establishment of alternative livelihoods that contribute to the financial security of families? - What approaches were applied to ensure, at minimum, equal participation of women in the programme?</li> <li>- What were the main factors influencing achievement/non-achievement?</li> <li>- How did the main barriers and facilitators to achievement vary among men and women?</li> <li>- - What have been the main challenges or risks to attain increased resilience? And main challenges or risks to adaptive capacity of the institutions and communities?</li> </ul>
Efficiency	<p>Were the project's objectives and components clear, practical, and feasible within its time frame?</p> <ul style="list-style-type: none"> <li>- Were the capacities of the executing entities and its counterparts properly consulted when the project was designed?</li> <li>- Did Implementing Entity staff provide quality support and advice to the project, approve modifications in time, and restructure the project when needed?</li> <li>- Were the partnership arrangements properly identified and roles and responsibilities negotiated prior to project approval?</li> <li>- Did the project have the appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allowed for timely flow of funds?</li> <li>- Was there due diligence in the management of funds and financial audits?</li> <li>- Did local partners provide the inputs (human or physical) that would be required to enable the project to be effective?</li> </ul>

	<ul style="list-style-type: none"> <li>- To what degree were resources (inputs) available on time from other stakeholders?</li> <li>- Did the delays affect project outcomes and/or sustainability, and, if so, in what ways and through what causal linkages?</li> <li>- To what extent were recommendations from previous survey, implemented?</li> </ul>
Impact	<p>To what extent does the project contribute to increasing the resilience of communities vulnerable to climate change?</p> <ul style="list-style-type: none"> <li>- To what extent are the interventions aligned and contributing to government climate adaptation strategies and plans?</li> <li>- To what degree have the project outputs and outcomes contributed, or are likely to contribute, to progress towards more resilient communities?</li> <li>- Has the project increased the target communities' ability to mitigate effects of climate change induced rainfall variability and its impacts on livelihood and food security? If so, how?</li> <li>- How did the project build diversified and resilient livelihoods for marginalized farming communities in the project area through effective management of land and water resources?</li> <li>- What was the impact of Covid-19 to the programme?</li> </ul>
Coherence	<ul style="list-style-type: none"> <li>- How the CAFS project and its specific components complemented the already existing efforts and programs of the GoN and/or other organizations working in the region?</li> <li>- What have been the synergies between the intervention and other WFP interventions?</li> <li>- To what extent was the intervention design and delivery in line with human rights principles and standards, including gender equality and women empowerment and wider equity issues</li> </ul>
Sustainability	<p>What is the likelihood that the results of the project will be sustainable after termination of external assistance?</p> <ul style="list-style-type: none"> <li>- Are there systems and/or mechanisms that have been built to support the continuation of the interventions beyond the life of the project? Which national stakeholders are responsible?</li> <li>- <b>Financial and economic risks and assumptions:</b> Are there any financial or economic risks that may jeopardize sustainability of project outcomes? What is the likelihood of financial and economic resources being available once the AF grant ends? Socio-political risks and assumptions: Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?</li> <li>- <b>Institutional framework and governance risks and assumptions:</b> Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits? Are requisite systems for accountability and transparency, and required technical know-how, in place?</li> <li>- <b>Environmental risks and assumptions:</b> Are there any environmental risks that may jeopardize sustainability of project/programme outcomes?</li> <li>- Is there evidence that the project supported the implementation or the development (or its changes) of the partners' policy/actions?</li> </ul>
M&E Systems	<p>How was the quality of the project M&amp;E systems according to 1) M&amp;E plans, 2) indicators, 3) baselines, and 4) alignment with national M&amp;E frameworks?</p>

	<ul style="list-style-type: none"> <li>- Was there a clear M&amp;E plan laying out what needs to be monitored based on pre-defined programme logic?</li> <li>- Were the indicators well defined and relevant to measure the achievement of the objectives? Were relevant indicators sex-disaggregated?</li> <li>- Did the project M&amp;E system make the best use of existing (local, provincial, federal) monitoring and evaluation systems, including existing indicators? - Could these systems be used as they are, do they need to be revised, or are new and additional systems required?</li> <li>- Has data collection been designed through a participatory approach, using cost effective and accessible information?</li> <li>- Did the project include plans for feedback and to disseminate results from monitoring and reporting implementation as to allow for lessons learned and good practices identified to be shared with the wider community of adaptation planners and practitioners at all levels and other existing M&amp;E systems?</li> <li>- Were annual project reports complete and accurate, with well-justified ratings?</li> <li>- - Was the M&amp;E activities well-funded for the project period?</li> </ul>



# Annex 6: Timeline



## Annex 7: Acronyms

<b>CO</b>	Country Office
<b>CAFS</b>	Climate Adaption Fund
<b>AF</b>	Adaptation Fund
<b>EM</b>	Evaluation Manager
<b>MoFE</b>	Ministry of Forests and Environment
<b>NAPA</b>	National Adaptation Programme of Action
<b>NPSC</b>	National Project Steering Committee
<b>UN</b>	United Nation
<b>WFP</b>	World Food Programme
<b>PSU</b>	Project Support Unit
<b>GDP</b>	Gross Domestic Product
<b>HPI</b>	Human Poverty Index
<b>CSP</b>	Country Strategic Plan
<b>GEEW</b>	Gender Equality and Empowerment of Women
<b>RCDC</b>	Rural Community Development Center
<b>RBB</b>	Regional Bureau Bangkok
<b>HQ</b>	Headquarter
<b>OEV</b>	Office of Evaluation
<b>UNCT</b>	United Nations Country Team
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>DAC</b>	Development Assistance Committee
<b>GEWE</b>	Gender equality and Women'S Empowerment
<b>NGO</b>	Non-Governmental Organisation
<b>UNEG</b>	United Nation Ethical Guideline
<b>PHOA</b>	Post hoc Quality Assessment
<b>ToR</b>	Terms of Reference
<b>UNDSS</b>	United Nations Department of Safety & Security

## Annex 8: Alignment with Adaptation Fund's results framework

Project Objective(s) <sup>21</sup>	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
1. Strengthened local capacity to identify climate risks and design adaptive strategies	Percentage target population aware of predicted climate change impacts; and of appropriate responses	Outcome 3 Strengthened awareness and ownership of adaptation and climate risk reduction at local level	3.1 Percentage of target population aware of predicted adverse impacts of climate change and of appropriate responses	1,349,441
	Percentage of women within target population aware of predicted impacts	Percentage of target households with stable and climate resilient sources of income		
2. Diversified livelihoods and strengthened food security for climate vulnerable poor in target	Percentage of target households with stable and climate resilient sources of income	Outcome 6. Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	6.1 percentage of targeted HH and communities having increased access to livelihood assets	7,301,587
	Natural assets maintained and improved			
3. Increased resilience of natural systems that support livelihoods to climate change induced stresses	No of women engaged in new income generating ventures	Outcome 5: Increased ecosystem resilience in response to climate change and variability induced stress	5.1 No and type of natural resource assets created, maintained or improved to withstand conditions of climate variability	
	No of households with improved access to water for agriculture and drinking			

<sup>21</sup> The AF utilized OECD/DAC terminology for its results framework. Project proponents may use different terminology but the overall principle should still apply

	No of households engaging in Multi-Use Systems (MUS) 80 technology			
	No of households have access to forest products in soil quality			
	Status of forest resources			
<b>Project Outcome(s)</b>	<b>Project Outcome Indicator(s)</b>	<b>Fund Output</b>	<b>Fund Output Indicator</b>	<b>Grant Amount (USD)</b>
1.1. Climate vulnerable and food insecure poor actively participate developing local climate risk reduction strategies and actions	No and type of climate adaptation strategies identified and implemented at local level	Output 3: targeted population groups participating in adaptation and risk reduction awareness activities	3.1.1 No and type of risk reduction actions or strategies introduced at local level	813,493
1.2 Strengthened ownership and management of climate risk reduction activities and replication of lessons in key livelihood sectors at district/national levels	Targeted institutions and community groups have increased capacity to reduce climate change risks in development practice Type of Institutions: • Local (VDC and below) • District (DDC and agencies) • Regional and National	Output 2.2 Targeted population groups covered by adequate risk reduction measures	2.1.2 Capacity of staff to respond to, and mitigate impacts of climate related events from targeted Institutions increased.	535,948
2.1 Diversified and strengthened livelihoods, livelihood assets and improved access to food for climate vulnerable households	No of households with increased income	Output 6. Targeted individual and community livelihood strategies strengthened in relation to climate change impacts	6.1.1 No and type of adaptation assets created in support of individual or community livelihood strategies	7,301,587
	Percentage decrease in negative coping strategies		6.1.2 Type of income sources for households generated under climate change scenario	
	No of women-led enterprises created			

Annex 9: Guidance for evaluation budget estimation<sup>22</sup>

***\*\*Budget template attached separately***

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<sup>22</sup> Please refer to the no-of quantity and no-of days

**Nepal Country Office**

**<https://www.wfp.org/countries/nepal>**

**World Food Programme**

Via Cesare Giulio Viola 68/70

00148 Rome, Italy

T +39 06 65131 **wfp.org**