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UNDP – MCO SAMOA

**ENVIRONMENT AND SUSTAINABLE
DEVELOPMENT
&
CRISIS PREVENTION AND EARLY
RECOVERY**

OUTCOME EVALUATION

FINAL REPORT

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November 22, 2011

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ACRONYMS

ARR	Assistant Resident Representative
CBA	Community-Based Adaptation
CCSDP	Community-Centred Sustainable Development Project
CPAP	Country Programme Action Plans
DAFF	Department of Agriculture, Forestry and Fisheries
DMO	Disaster Management Office
DRR	Deputy Resident Representative
DRR/DRM	Disaster Risk Reduction / Disaster Risk Management
EO	Evaluation Office
ERP	Early Recovery Project
E&E	Energy and Environment
GEF	Global Environment Fund
HQ	Headquarter
ICCRAHS	Integrating climate change adaptation into agriculture and health in Samoa
ICCRIFS	Integration of Climate Change Risk and Resilience into Forestry Management in Samoa
LDC	Least Developed Country
MCPD	Multi-Country Programme Document
MDG	Millennium Development Goals
NDP	National Development Plan
PACC	Pacific Adaptation to Climate Change
PACC+	PACC Plus (additional countries included in a new project phase)
PIC	Pacific Island Country
PIGGAREP	Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project
RR	Resident Representative
ROAR	Results Oriented Annual Report
SGP	Small Grants Programme
SLM	Samoa's capacity building and mainstreaming of sustainable land management
SPREP	Secretariat of the Pacific Regional Environment Programme
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNV	UN Volunteers
V&A	Vulnerability and Adaptation
VSDP	Village Sustainable Development Plan

Development challenges in the Pacific are considerable.¹ It is a geographically vast, culturally and ecologically diverse and, in human development terms, highly variable region. Societies in the Pacific have been experiencing dramatic social, economic and environmental transformations over the past decades. Governance systems have, in general, struggled to meet the human development needs of their populations, and often co-exist uneasily alongside traditional forms of governance. Subsistence production dominates the economic life of most of the region's people, but urbanization, migration, high population growth, declining rural productivity, globalization, and small / slow-growing formal economies, amongst other factors, are transforming economies around the region; poverty is a problem.

Population growth and economic changes are putting strain on the natural environment on which most people depend. The rich biodiversity of the region is threatened through human contact, resource exploitation and pollution, and the people and ecology of the Pacific are particularly vulnerable to natural disasters and climate change.

The UNDP Multi country Office in Samoa supports four Pacific Island Countries (PICs) under two programmes:

- Multi-country programmes, operated by the UNDP Multi-Country Office (MCO) located in Samoa, covering the Cook Islands, Niue, Samoa and Tokelau.
- Asia-Pacific Regional programme which includes projects and activities supporting Pacific island countries, individually or collectively, operated by the Asia-Pacific Regional Centre largely through its Pacific Centre (PC).

This evaluation reviews the country programme outcomes and outputs as stated in the Multi-Country Programme Document (CPD) and the Country Programme Action Plans (CPAPs) for all four countries, in the areas of:

- i) Crisis Prevention & Recovery, and
- ii) Environment & Sustainable Development.

The purpose of the exercise is to carry out an end of programme cycle evaluation to assess the achievements of the Country Programme's development interventions, the factors that facilitated/hindered achievements, and to compile lessons learned to inform the development of the next country programme cycle.

¹ The description of the challenges here is derived from United Nations Development Framework 2008-2013

significant progress has been made on all CP Outputs, as successfully achieved. However, the delivery focused on core services and products and paid less attention to cross cutting issues and ownership of achieved results by the government. This lack of attention reduces sustainability.

The relevance of addressing climate change via adaptation strategies at central and local government levels can clearly be understood by taking a look at the impact of recent natural disasters in the region and the need to give a multiple response to these regarding emergency assistance, recovery and medium-term development plans taking into account climate change. UNDP's support to environment and climate change is fully in line with country priorities and hence highly relevant. Samoa's Ministry of Environment has tripled its number of staff since 2005 and has become one of the most important government institutions. The creation of a specific Climate Change unit under the Prime Minister's Office in the Cook Islands is in progress, and the first National Strategy Plan of Tokelau focuses on climate change adaptation at a community level.

A reasonable level of effectiveness can be attested to implemented activities, in the sense that progress towards the overall objectives of Outcome 3 - Crisis Prevention & Recovery, and Outcome 4 - Environment & Sustainable Development,² has been achieved. However, taking into consideration the specific outputs defined in the Country Programme (CP), it can be noted that several of these have not been addressed at all, by any activity or project. The non-attendance of some of the specific outputs does not compromise effectiveness levels of activities carried out, but it reduces the scope of sub-sectors covered by the overall envisaged outcome and this way limits the achieved progress towards these outcomes, compared to what would have been possible. One of the reasons for a lower level of activities, compared to the plan, can be found in an extremely high staff turnover and understaffing in the Environment and Climate Change unit of the UNDP Multi-country Office (MCO), particularly during the years 2009 and 2010.

The time efficiency of the portfolio is low at all levels, however this fact does not seem to compromise the projects' achievements, but rather delays the delivery. Causes for the delay are of a different nature. Delays cannot be quantified clearly since there is no monitoring or benchmarking for timely service and product

²Country Programme Outcome (3) – Crisis Prevention and Recovery: Programme Component (C/3): Crisis Prevention and Recovery national capacities and institutional mechanisms strengthened for effective disaster response; plans in place capturing community and CSO participation and Country Programme Outcome (4) - Environment and sustainable development: Country programme outcome (D/4): The environment and economic governance nexus demonstrated through community-based natural resource management and use that supports the implementation of gender-sensitive national policies as well as the mainstreaming of environment into national plans.

Agency gains have been achieved due to the similar project (ERP), the Community-Centred Sustainable Development Project (CCSDP), the Small Grants Programme (SGP) and the Community-Based Adaptation (CBA) project, which have overlapping and complementary components in their implementation.

As a facilitator of processes of change, UNDP MCO Samoa is working more in the areas of enabling change and supporting processes of change already initiated, in order to make them progress. Enabling activities for changes in people's daily lives do not offer innovative approaches. However, even this basic assistance represents an important change for communities and people on the ground. Government and donors are especially interested in the platform for future activities, provided by the Village Sustainable Development Plans (VSDPs). Their impulse has gone already beyond community planning, as shown by the Tokelau first National Strategy Plan and the constitution of a Climate Change unit under the Office of the Prime Minister in the Cook Islands.

Interventions on the ground have still been lacking a comprehensive approach on how to be linked with other projects and government activities. The Pacific Adaptation to Climate Change (PACC) framework offers an interesting solution to this problem. Even if its implementation has still not moved forward considerably, early results show that it could provide experience regarding how to integrate in practice development policies from different areas and at different levels of government. The work with communities that UNDP has carried out in recent years, via ERP, CCSDP, SGP and CBA, offers important platforms and experiences for the PACC to build upon.

Compared to the rest of the portfolio, the regional projects - PACC and PIGGAREP seem to be based on more comprehensive project frameworks, counting on a more solid technical support for implementation, since regional programmes can draw upon a wider staff of technical experts. The possibility of knowledge generation and sharing of experience at a regional level facilitates thinking out of the box and enriches the variety of adaptation solutions. The availability of more financial resources in regional programmes opens space for a wider scope of activities.⁴

The Secretariat of the Pacific Regional Environment Programme (SPREP), the UN Volunteers (UNV), the Global Environment Fund (GEF) and the regional UNDP offices in Fiji and Thailand are the main partners for UNDP MCO Samoa. The partnership with SPREP enables the implementation of the regional projects through UNDP's commitment to build regional capacities. UNDP is committed to providing

³ The MCO Environment and Climate Change programme unit has only recently started the implementation of a monitoring plan, since May 2011.

⁴ However, it is important to take into consideration that the methodologies adopted for implementing PACC and PIGGAREP are dictated by GEF and that UNDP is expected to comply with them. Other non-GEF projects may not necessarily possess the same or similar tools.

At the same time building the capacities of the region adequately respond to the development needs of the region. The partnership with UNV is fruitful but cannot solve all existing staff problems in the environment and climate change unit alone. The way in which UNDP MCO Samoa would best work together with the regional UNDP offices should be re-assessed and discussed.

The sustainability of project results cannot be clearly assessed to date because the country programme outcome indicators have not been reported on since 2008. Projects at a community level require more follow-up and a wider scope of implementation of the community development plans in order to achieve their sustainability. Regional projects currently do not present major sustainability concerns. Local projects of the MCO need an exit or transition strategy in order to achieve sustainability. The financial sustainability of the UNDP MCO office is at risk, given the strong dependence on GEF funds, and GEF's opening towards direct transfer of funds to beneficiary institutions must be addressed.

The work carried out within the environment and climate change portfolio in recent years has been relevant and has provided interesting results. The recent natural disasters - a Tsunami in Samoa at the end of 2009 and a cyclone in the Cook Islands in early 2010 - have been addressed with an expansion of the work on the ground, additionally with a slightly different approach compared to previous years. This revised planning approach proved to be very important and useful for the achievement of development results at a community level, but should be sustained in the future with a wider implementation of community projects.

Effectiveness and impact of the portfolio are generally acceptable, but already compromised by efficiency weaknesses in the environment unit. First steps, such as an imminent staff increase in the unit have been already addressed by the UNDP management. There is a lot of competition between donors in the Pacific regarding the environment sector and UNDP has not been able to clearly define and strengthen its position in this sense. There are positive results regarding the effectiveness of the MCO programme implementation, but also its weaknesses. On the one hand, for example, the regional programmes or the community development plans perform well and represent additionally a prosperous platform for future business and UNDP offers competitive expertise in programme management. At the same time, effectiveness and impact of the programme implementation have been weakened as a result of a loss of technical expertise in the MCO and in consequence of a decreased reputation of being a high level technical expert for climate change issues. This change has occurred in a context where a continuous access to GEF funds is less probable and the need for additional financial sources grows. For the future, UNDP MCO Samoa should consider the possibility of re-focusing part of its activity in areas with strategic advantages, such as regional programmes, the elaboration of community development plans and its expertise in programme management, addressing them still within the area of environment and climate

1. Introduction

In its efforts to progress towards advancing human development, the UNDP requires its Country Offices to undertake a series of evaluations throughout its programme cycle. These evaluations are intended to provide objective information to assist managers in making informed decisions of their programmes, as well as to plan strategically.

Country offices are responsible for undertaking outcome evaluations. These evaluations are carried out to assess UNDP contributions towards the progress made on outcome achievements. Outcome evaluations are strategic, addressing; broad-based linkages with development; partnerships across agencies; analysis of the external local, regional and global environment in the analysis of success; and the comparative value of UNDP and its significance in development. These outcomes are identified in the United Nations Development Assistance Framework (UNDAF) and the Multi-Country Programme Document (MCPD) to which UNDP initiatives contribute. Outcome Evaluations are carried out within the overall provisions contained in the UNDP Evaluation Policy⁵, following the methodology developed by the Evaluation Office (EO) for Outcome Evaluations.

In line with the evaluation plan of UNDP Samoa – Multi-Country Office (MCO), this outcome evaluation has been carried out, to assess the impact of UNDP's development assistance in the practice areas of:

- i) Crisis Prevention & Recovery, and
- ii) Environment & Sustainable Development.

The purpose of an Outcome Evaluation is to:

- Support accountability of UNDP programmes in its country programmes
- Provide evidence of the UNDP contribution to outcomes
- Guide performance improvement within the current global, regional and country programmes by identifying current areas of strengths, weaknesses and gaps
- Inform higher level evaluations such as the Assessment for Development Results (ADR)
- Contribute to learning across UNDP about outcome evaluation

This evaluation assesses UNDP's contributions to the above mentioned outcomes during the current programme cycle(2008-2012),and to some extent during the

⁵www.undp.org/eo/documents/Evaluation-Policy.pdf

...-2009),⁶ with greater attention given to the recent
and countries, namely: Cook Islands, Niue, Samoa
and Tokelau. The data collection mission for this evaluation was carried out in June
2011.

2. UNDP Programme Background

The development challenges in the Pacific are considerable.⁷ It is a geographically vast, culturally and ecologically diverse and, in human development terms, highly variable region. Middle-income countries function alongside five Least Developed Countries (LDCs)⁸ in the region, and the Millennium Development Goal indicators in rural areas or on the outer islands of many countries are well below national average and equivalent to any LDC.

Societies in the Pacific have been experiencing dramatic social, economic and environmental transformations over the past decades. Governance systems have, in general, struggled to meet the human development needs of their populations, and often co-exist uneasily alongside traditional forms of governance. A myriad of factors have led to political instability and civil conflict in several countries in recent years. Human rights are not widely understood, gender inequality is pervasive, and half of the population of the region is under 25 years and faces limited social, economic and political opportunities.

Subsistence production dominates the economic life of most of the region's people, but urbanization, migration, high population growth, declining rural productivity, globalization, and small / slow-growing formal economies, amongst other factors, are transforming economies around the region. Poverty is a problem, with an average of one in four households with an income below the national basic needs poverty line in the region.

Population growth and economic changes are putting strain on the natural environment on which most people depend. The rich biodiversity of the region is threatened through contact with humans, resource exploitation and pollution, and the Pacific people and ecology are particularly vulnerable to natural disasters and climate change. Each of these problems has human rights and gender dimensions.

Pacific Island countries are also active in promoting development through regional cooperation. At the Pacific Islands Forum in 2005, of which the countries are members or observers, the Governments endorsed the 10-year Pacific Plan with a

⁶ References to activities from the previous programme cycle are made in case an on-going activity was initiated before 2008 or in case there are important links of current activities to the previous cycle, as for example in the renewable energy sector.

⁷ The description of the challenges here is derived from United Nations Development Framework 2008-2013.

⁸ Kiribati, Samoa, Solomon Islands, Tuvalu and Vanuatu

ing economic growth, sustainable development, good
ic countries through regionalism.

The UNDP MCO Samoa supports the four Pacific Island Countries (PICs) under two programmes approved by the Executive Board of UNDP, namely:

- Multi-country programme, operated by the multi-country office located in Samoa, covering the Cook Islands, Niue, Samoa and Tokelau.
- Asia-Pacific Regional programme which includes projects and activities supporting Pacific Island countries individually or collectively, operated by the Asia-Pacific Regional Centre (Bangkok) in large part through its Pacific Centre (Fiji).

To operate these programmes, UNDP enters into an agreement to implement the respective Country Programme Action Plans (CPAP) with the Government of each country. Through these programmes, UNDP provides policy advice, capacity development, advocacy and other operational activities with a view to facilitating the achievement of the Millennium Development Goals (MDG), poverty reduction, democratic governance, sustainable use of environment and energy, prevention of and recovery from conflicts and disaster, and other UNDP goals, such as gender equality. For the current programme cycle of 2008-2012, the United Nations system has established a common strategic framework, the United Nations Development Assistance Framework (UNDAF), to support not only the four PICs mentioned above, but also another 10 PICs served by the UN Country Team in Fiji⁹. UNDP's multi-country programme operated by MCO in Samoa was developed under this framework.

3. Scope of the evaluation

This evaluation assesses the following country programme outcomes and outputs as stated in the Multi-Country Programme Document (CPD) covering both the previous and the current programme cycles and the Country Programme Action Plans (CPAPs) for all four countries.

Outcome 3: Crisis Prevention and Recovery

Based on its global mandate to support gender-responsive disaster risk reduction, the UNDP, in close collaboration with the United Nations Disaster Management Team and the UNDP Bureau of Crisis Prevention and Recovery, would help to attain the following results through on-going UNDP programmes and the United Nations joint programmes:

⁹FAO, ILO, UNEP, UNDP (including the Pacific Centre in Fiji), UNESCO, UNFPA, UNICEF, WHO and WMO

- er risk management plans at community levels
national disaster plans and on-going United Nations
programmes;
- ii) National disaster response systems strengthened through national- and village-based disaster response drills and incorporating priorities identified in community-driven sustainable development plans;
 - iii) Systems in place for capacity development, national drills and strengthened response plans for all four countries; and linkages/synergies of any post-disaster early recovery with relevant on-going, new and longer-term Disaster Risk Reduction / Disaster Risk Management (DRR/DRM) projects or activities of UN and of the governments for all four countries;
 - iv) Gender analysis undertaken on the differential impacts of natural disasters as a contribution to community-based and national disaster management and/or development plans;
 - v) Lessons learned and best practices reviewed, documented and disseminated; and
 - vi) South-South cooperation enhanced.

Outcome 4: Environment and Sustainable Development

Through its national, regional and global partnerships for sustainable development, UNDP would help to achieve MDG 7 - environmental sustainability - through the following results:

- i) “Environment hub” of international, regional and Samoa-based experts supported to provide coordinated and gender-sensitive policy and technical advice collectively to address the serious environmental challenges facing the Pacific, particularly natural disasters and climate change and to achieve joint impact and results;
- ii) Community-based environmental management, sustainable livelihoods and eco-cultural tourism;
- iii) MDG-based village and local level plans developed by communities to envision their future and deal with their environmental, livelihoods, energy and social challenges in a gender-sensitive manner while maintaining their culture and traditional governance systems;
- iv) Community resilience and capacities increased to deal with environmental challenges and natural disasters;
- v) Energy efficiency improved and renewable energy use promoted;
- vi) Gender analysis carried out on the differential impacts of environmental degradation and natural disasters on men and women and provided as an input to formulating national policies, plans and strategies;
- vii) Best practices and lessons learned documented and disseminated; and
- viii) South-South cooperation enhanced.

In addition to assessing the overall result and development impact of all projects under the above outcomes, this evaluation takes into consideration the impact of these programs on crosscutting issues identified in the CPAP - human rights,

and innovation or added value to national

This evaluation specifically covered the following projects:

- Samoa
 - Early Recovery (ER)
 - Community-Centred Sustainable Development Project (CCSDP)
 - Integrating climate change adaptation into agriculture and health in Samoa (ICCRAHS)
 - Community-Based Adaptation (CBA)
 - Small Grants Programme (SGP)
 - Samoa's capacity building and mainstreaming of sustainable land management (SLM)
 - Pacific Adaptation to Climate Change (PACC) - Regional
 - Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project (PIGGAREP) - Regional
- Cook Islands
 - Sustainable Land Management (SLM)
 - Persistent Organic Pollutants (POPs)
 - Second National Communications (2NC)
 - Early Recovery (ER)
 - Community-Centred Sustainable Development Project (CCSDP)
- Niue
 - Sustainable Land Management (SLM)
 - Community-Centred Sustainable Development Project (CCSDP)
- Tokelau
 - Community-Centred Sustainable Development Project (CCSDP)

4. Methodology

The methodology implemented for this evaluation included a wide range of data-gathering methods.

- **Document Review**, including relevant UNDP, partner program documents, government strategies, statistical reports as appropriate, as well as general contextual analyses
- **Individual semi-structured interviews** with key stakeholders (staff, government, partners, beneficiaries)
- **Group interviews or focus groups** where there is an advantage in encouraging reflection and response, or where time is limited (also semi-structured).
- **Site visits** were proposed to better understand the context and achievements of the programme, as well as the dynamic interaction of stakeholders in programme activities.

be considered, if appropriate, to illustrate results
the results.

The principles of triangulation (use of multiple sources, including key informants) and stakeholder participation were implemented for this evaluation.

5. Limitations

Logistics, travel, meeting schedule and documentation for this evaluation were widely supported and provided at a sufficient and satisfactory level to the evaluator. A total of 45 meetings and/or interviews have been carried out under this evaluation (see annex), in two (Samoa and Cook Islands) out of the four countries. In spite of no field visits being carried out in Tokelau and Niue,¹¹ both countries have been covered. Activities in Niue have been covered by means of two telephone interviews, and the activities in Tokelau have been covered through meetings in the representation office of the Tokelau government based in Apia. Although these meetings and telephone interviews provided answers to the evaluation questions, they represent a limitation in the sense that the evaluator has not been able to get a visual impression of development challenges and the strengths and weaknesses of project implementation in these countries.

6. Evaluation Concepts and Questions

This chapter covers the applied evaluation concepts and the evaluation matrix (see annex) shows how they are related to the specific evaluation questions established in the Terms of Reference.

Overarching questions and concepts

The following evaluation concepts¹² and questions have been applied:

¹⁰ Boxes within the text of this report

¹¹ Field visits to Tokelau and Niue would represent an investment of at least one week for a round trip to each country, given the low frequency of sea or air connection and the extended time for traveling. Meetings in each country, given the limited scope of UNDP activities in both countries, would not take more than 48 hours. Hence, the financial and opportunity cost to visit these countries is unrealistically high, and for this reason they have not been visited.

¹² Regarding the definition of concepts, this evaluation follows the OEC/DAC norms: **Relevance** - The extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor. **Effectiveness** - A measure of the extent to which an aid activity attains its objectives. **Efficiency** - Efficiency measures the outputs - qualitative and quantitative - in relation to the inputs. It is an economic term, which signifies that the aid uses the least costly resources possible in order to achieve the desired results. **Impact/Degree of Change** - The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended. This involves the main impacts and effects resulting from the activity on the local social, economic, environmental and other development indicators. **Sustainability** - Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been

- comes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)
- **Effectiveness:** Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy between these? Is the outcome achieved or has progress been made to achieve this? Did the medium-term changes in the development situation happen? Has UNDP made significant contributions in terms of strategic outputs?
 - **Efficiency:** To what extent do the outcomes derive from an efficient use of resources? To what extent has UNDP contributed to the outcomes versus that of its partners?
 - **Degree of Change:** What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?
 - **Sustainability:** Will benefits/activities continue after the programme cycle?
 - **UNDP's strategies:** The strategies of UNDP are analysed both from the perspective of the organization's mandate¹³ and the development needs and priorities in the country. This would entail systematic analyses of UNDP's place and niche within the development and policy space in the country, as well as general and partnership strategies used by UNDP to maximize its contribution through the adoption of relevant strategies and approaches to the achievement of each stated outcome.¹⁴

7. Development Context

For *Samoa*, the slump in economic activities in 2009 (GDP growth -5.5%) translated in 2010 to a modest GDP growth of 1%.¹⁵ The budget deficit for the fiscal year 2009/10 was 11% and is expected to be 8% for the fiscal year 2010/11. Economic growth is expected to pick up to about 2% in 2011, generated by Government spending, reconstruction activity, and higher inflows from remittances and tourism as economies strengthen in source countries. Increase in Government expenditure and the inflow of relief funds for the tsunami recovery efforts provided a stimulant for economic growth for the country in 2009/2010. In the *Cook Islands*, the economy increased slightly from a GDP growth of 0.8% in 2009 to 0.9% in 2010.

Samoa and *Niue* are on track to achieve most of the MDGs, highlighted in their second MDG progress reports produced and published in time for the 2010 MDG Summit in

withdrawn. Projects need to be environmentally as well as financially sustainable. Sources: OECD 1986, 1991, and 2000.

¹³ For UNDP's Strategic Plan, see www.undp.org/execbrd/pdf/dp07-43Rev1.pdf

¹⁴ The evaluation matrix in the annex shows how general concepts have been linked to specific evaluation questions and what topics/issues to look for.

¹⁵ Source: World Bank

of economic and rebuilding challenges faced in the the United Nations General Assembly agreed in September 2010 that Samoa's graduation from LDC status will be deferred to 2014. This LDC graduation will have significant implications on Samoa's development expenditure, revenue earning measures, domestic financial instruments, interest rates, exchange rates and economic growth and inflation. To support Samoa's progression to middle income status, the UNDP is assisting the Government and the private sector to develop pro-poor policy options in eight productive and economic sectors. This is so that Samoa can build a strong economy, diversified and robust enough to generate the resources to finance and support its own development initiatives and facilitate inclusive and equitable growth.

On the political front, Mr Henry Puna is the new Prime Minister of the *Cook Islands*; his Cook Islands Party taking over from the Democratic Party after winning 15 out of 24 parliamentary seats in the country's elections in November 2010. *Samoa* also had elections in March 2011 and the incumbent HRPP was re-elected for a sixth consecutive term. In *Tokelau*, Mr Pio Tuia, the current Faipule of Nukunonu, is the Ulu (chairman of the Council for the current Government of Tokelau) for 2011.

Population loss remains a concern for the *Cook Islands* and *Niue*, and is an economic risk with most of the skilled and qualified people migrating to New Zealand and Australia.¹⁶ Employment, educational opportunities and family ties draws Tokelauans, Niueans and Cook Islanders to New Zealand. Maintaining a vital community on island has become a key objective for the Governments. Niue is pursuing its interest in hosting large regional meetings as a development opportunity, and they hosted the Financial Economic Ministers Meeting (FEMM) in October 2010. A shortage of jobs in all four countries has been seen with a perceptible decline in remittances as job markets overseas contracted.

8. Findings

a. Portfolio Characteristics

The projects under evaluation, corresponding to Country Programme Outcomes 3 and 4, focus on seven main areas of activities; crisis prevention and recovery, local

¹⁶Tokelau is a non-self-governing territory and has been administered by New Zealand since 1926. All Tokelau citizens hold a New Zealand passport. Repeated referendums since 2006, to change Tokelau's status into a self-governing territory, failed to achieve the required majority of 2/3. Hence the country's political status remains de facto at the level of a "semi-colonial" agreement and offers less space for self-determination than the similar case of Niue. Niue has been self-governing in free association with New Zealand since September 1974, when the people endorsed the Constitution in a plebiscite. Niue is fully responsible for its internal affairs but lacks full sovereignty. All Niueans are New Zealand citizens and most diplomatic relations are carried out by New Zealand on Niue's behalf. Niue uses the New Zealand Dollar as currency.



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...tation to climate change, agriculture adaptation to ... and other thematic areas.¹⁷

¹⁷ This is not an official UNDP classification, but rather a compilation put together by the evaluator in order to get an overview of the thematic variety and its distribution between countries of the UNDP portfolio under evaluation.

Table 1: Portion of topic distribution per country

Projects ¹⁸	Implementation arrangements	Crisis Prevention and Recovery	Outcome				
			Sustainable Environment Management				
			Local Development and Land use Planning	Local Adaptation to Climate Change	Agriculture (Health) Adaptation to Climate Change	Renewable Energy	Other
ERP	UNDP MCO Samoa - National Projects	CKI, SAM					
CCSDP			CKI, NIU, SAM, TOK				
CBA				SAM			
SGP				SAM			
ICCRAHS					SAM		
SLM			CKI, NIU, SAM				
POP							CKI
SNC							CKI
PACC	UNDP MCO Samoa - Regional Projects			CKI, NIU, SAM			
PIGGAREP						CKI, NIU, SAM	

Source: compiled by the evaluator, based on UNDP data.¹⁹

The topic of Outcome 3 (Crisis Prevention and Recovery) is complementary to Outcome 4 (Sustainable Environment Management). While Outcome 3 (ERP) addresses the emergency response to disasters, Outcome 4 focuses mainly on adaptation strategies to climate change. Table 1 shows that adaptation activities to climate change²⁰ build the core element of activities of the two outcome areas, for three of the four countries assisted by UNDP MCO Samoa. These core activities are complemented by Local Development Planning activities. Additionally, in the case

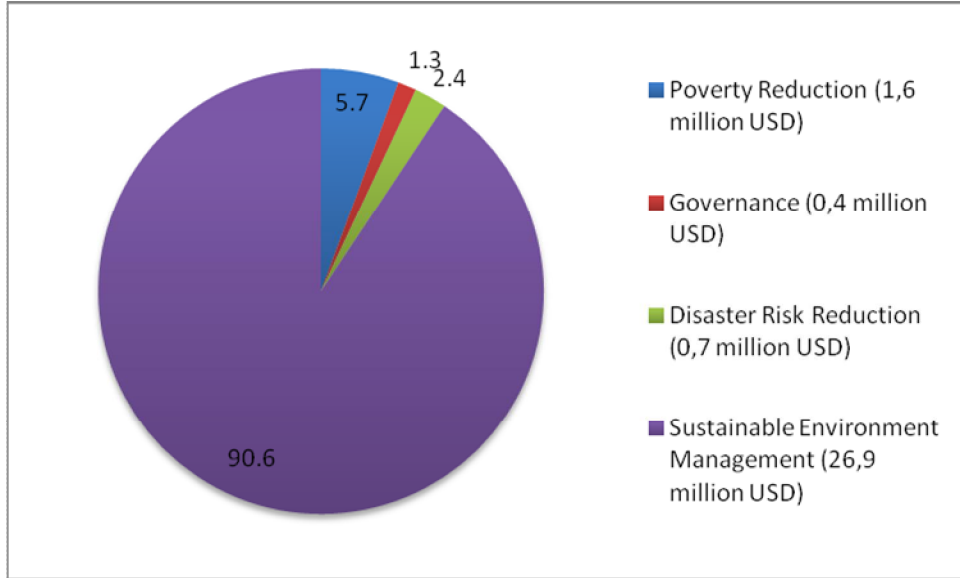
¹⁸ERP - Early Recovery Project; CCSDP - Community-Centred Sustainable Development Project; ICCRAH - Integrating climate change adaptation into agriculture and health; CBA - Community-Based Adaptation; SGP - Small Grants Programme; SLM - Samoa’s capacity building and mainstreaming of sustainable land management; PACC - Pacific Adaptation to Climate Change; PIGGAREP - Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project; POP – Persistent Organic Pollutants; SNC – Second National Communications to the United Nations Framework on Climate Change.

¹⁹ PACC and PIGGAREP are regional Pacific Islands programmes, which cover 13 and 14 countries respectively.

²⁰SLM does not deal with climate change in a direct way, but rather focuses on land use planning and use of natural resources. Even if this is clearly a climate change adaptation strategy, the log frame of SLM does not take climate change issues into account for the implementation of the project.

s such as Persistent Organic Pollutants (POP) and ²¹ (SNC) have been addressed.

Figure 1: Resource distribution for on-going Projects UNDP MCO Samoa – May 2011



Source: UNDP MCO Samoa

Figure 1 shows that Outcomes 3 and 4 (Disaster Risk Reduction and Sustainable Environment Management) account for 93% of the total current UNDP MCO Samoa project portfolio. Outcome 4 alone represents 91% of the portfolio.

²¹Second National Communications to the United Nations Framework on Climate Change

Table 2: UNDP MCO Samoa Outcomes 3 and 4 –projects per award and source of funds – May 2011

OUTCOME 3: Disaster Risk Reduction			
Project Description	Country	Source of Funds	Award (USD)
Early Recovery in Samoa (2009 – 2011)	Samoa	TRAC 3	600,000
Early Recovery in Cook Islands (2010 – 2011)	Cook Islands	TRAC 3	100,000
Sub-total			700,000
OUTCOME 4: Sustainable Environment Management			
Samoa Sustainable Land Management (2005-2011)	Samoa	GEF	500,000
Protocol Terminal Phase Out (2008-2011)	Samoa	Other non-core	75,000
Integrated Climate Change Risks to Agriculture and Health in Samoa	Samoa	GEF	2,100,000
Community-Centred Sustainable Development	Samoa	TRAC	500,000
Integration of Climate Change Risks into Forestry	Samoa	GEF	2,400,000
SGP PEF (2008-2011)	Samoa	AUSAID	134,000
CKI Sustainable Land Management	Cook Islands	GEF	500,000
CKI Community Centred Sustainable Development	Cook Islands	TRAC	189,000
CKI Enabling Activity for POPs (2009 – 2012)	Cook Islands	GEF	290,750
CKI Second National Communication	Cook Islands	GEF	420,000
NIU Sustainable Land Management(2005-20011)	Niue	GEF	499,545
NIU Community Centred Sustainable Development	Niue	TRAC	200,000
TOK Community Centred Sustainable Development	Tokelau	TRAC	748,000
Pacific Adaptation to Climate Change (PACC)	CKI, NIU, SAM	GEF	13,125,000
Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project (PIGGAREP)	CKI, NIU, SAM	GEF	5,230,000
Sub-total Outcome 3 and 4			26,911,295
Total (complete MC Programme)			29,689,036

Source: UNDP MCO Samoa

Table 2 shows two important findings regarding the UNDP MCO Samoa Outcomes 3 and 4 project portfolio. First, adaptation to climate change is the most important area considering the number of activities and outreach to the population and considering available financial resources. Second, the portfolio relies heavily on non-core funding. In Outcome 4, core funding accounts for only 6% of available

...the funding accounts for 14% of available resources. ...funding, a heavy dependence on GEF funds can be observed; GEF funds account for 93% of all currently available non-core resources.

Table 3: Project Pipeline UNDP MCO Samoa 2012 and following years

Project Description	Source of Funds	Award (US\$)
Samoa MDGs Acceleration	TRAC	688,975
Samoa Strengthening Adaptive Management of Agro-Eco	GEF	4,293,388
Enhancing Resilience of the Samoa Community on Tourism Sector	LDCF	1,500,000
PACC Plus	Australian Gov't	7,300,000
Samoa Coastal Adaptation to Climate Change	Adaptation Fund	8,500,000
Samoa Gender & Politics	Trust	500,000
Samoa Gender: Eliminating Violence Against Women/Girls	Trust	1,000,000
CKI: Enhancing Resilience of Communities through Integrated Climate Change	Adaptation Fund	5,000,000
Niue: Reducing Climate Risks to food Security through Integrated Community-Based Adaptation measures	Adaptation Fund	Not yet defined
	Total Pipeline	28,782,363

Source: UNDP MCO Samoa

Table 3 shows the status of the project pipeline defined until June 2011, for the years 2012 and beyond, of projects/awards UNDP has applied for, or which are under negotiation. None of these projects have been confirmed so far (June 2011), except from the PACC Plus.²² In case the proposed projects were confirmed in the expected composition we can expect three main structural characteristics for the future portfolio: i) a continuous very low allocation of core funding; ii) a lower dependence on GEF funds, and consequently iii) a higher diversification of non-core financial sources.

b. Status of Outcomes

i. Portfolio Description

Principal project activities:

- CCSDP: Development planning at a community level in the areas of local economic development, sustainable environment management and social and cultural development.
- ERP: Post-tsunami and cyclone activities for the coordination of early

²² The PACC Plus consists of additional resources put into the existing PACC framework by the Australian Government.

ation of livelihoods, disaster risk reduction and
ernance systems.

- SGP: Provides financial support for community development initiatives (by PIC government agencies, local government, NGOs and CBOs) promoting environmental protection, poverty elimination, and sustainable livelihoods and to strengthen the capacity of those organizations undertaking these initiatives.
- CBA: Provides financial support to implement community-based projects that seek to enhance the resiliency of communities, and/or the ecosystems on which they rely, to climate change impacts. It will essentially create small-scale 'project/policy laboratories' and generate knowledge about how to achieve adaptation at the local level.
- SLM: The central element of the capacity building process for mainstreaming sustainable land management has been the development of pilot projects, the collection of technical information, consultations and on-the-ground activity.
- ICCRAHS: The project focuses on the enhancement of organizational and technical capabilities in the Samoa Meteorology Division to monitor climate trends and provide regular, timely and accurate climate risk and early warning information to agricultural extension and public health services.
- PACC: The project aims to significantly improve the effectiveness of the response to climate change in the Pacific. The project will improve technical capacities to support appropriate adaptation centric policies, and demonstrate cost-effective adaptation techniques in key sectors.
- PIGGAREP: Promotes the productive use of renewable energy technologies to reduce greenhouse gas emissions by removing the major barriers to the widespread and cost-effective use of commercially viable renewable energy technologies. The project takes action on the removal of institutional barriers and implements pilot projects.
- POP: Supports the Cook Islands in meeting their obligations under the Stockholm Convention, including initial preparation of a POPs Implementation Plan, and broader issues of chemical safety and management.
- SNC: Enables the Cook Islands to prepare its second national communication under the United Nations Framework Convention on Climate Change (UNFCCC).

ii. Outcome achievements

The UNDAF (2008-2012) and the MCPD (Multi-Country Programme Document) (2008-2012) defined outcomes and outputs as follows²³:

²³ Only outcomes and outputs relevant for this evaluation are referred here; see annex for a detailed description of related outputs, its indicators and baselines.

ance and Human Rights

ctive, integrated and gender-responsive disaster risk reduction and management of responses to humanitarian crisis and natural disasters.

Country Programme Outcome (3) – Crisis Prevention and Recovery

Programme Component (C/3): Crisis Prevention and Recovery national capacities and institutional mechanisms strengthened for effective disaster response; plans in place capturing community and CSO participation.

Country programme outputs

1. Gender-responsive disaster risk management plans at the community levels integrated into National Disaster Plans and United Nations programmes;
2. National Disaster response systems strengthened through national and village-based disaster response drills, and National Disaster Plan reviews;
3. Systems in place for capacity development, national drills and strengthened response plans for the Cook Islands, Niue, Samoa and Tokelau;
4. Best practices and lessons learned documented and disseminated through Information and Communication Technology for Development;
5. South-South cooperation enhanced.

At the end of 2010, UNDP Samoa reports in its ROAR 2010 regarding Country Programme Outcome 3: “The Early Recovery Project (ERP) is on-track in strengthening the national capacity in responding to disasters at the policy and community level. ERP delivered up to 73% of its budget by the 4th quarter of 2010 and is engaged in 23 tsunami-affected villages”, and defined the focus of the remaining project period as “sustainable livelihood creation (...) especially with women”.

For Outcome 3, the ROAR 2008 does not report the outcome indicator status at the end of 2008, and for 2009, progress is described referring to the delivery of planned activities. The 2010 ROAR states “Outcome Indicator Status at end of 2010 not set”. Hence, ROARs describe the progress of delivery and financial execution and not the progress towards the expected outcomes.

UNDAF Outcome 4: Sustainable Environment Management

National priorities: Sustainable use and management of natural resources and the environment.

Country Programme Outcome (4) - Environment and sustainable development

Country programme outcome (D/4): The environment and economic governance nexus demonstrated through community-based natural resource management and use that supports the implementation of gender-sensitive national policies as well

ment into national plans.

Country programme outputs:

1. An engendered “environment hub” of international, regional and Samoa-based experts supported to provide coordinated and gender-sensitive policy and technical advice on serious environmental challenges facing the Pacific;
2. Community-based environmental management activities scaled-up in the Cook Islands, Niue, Samoa and Tokelau;
3. Engendered MDG-based village and local level plans developed by communities;
4. Gender-sensitized environmental sector plans mainstreamed into NDPs/NSDPs in the Cook Islands, Niue, Samoa and Tokelau;
5. Gender analysis carried out on the differential impacts of environmental degradation and natural disasters on men and women;
6. Energy efficiency improved and renewable energy use promoted;
7. Best practices and lessons learned documented and disseminated;
8. South-South cooperation enhanced.

At the end of 2010, UNDP Samoa reports in its ROAR 2010 regarding Country Programme Outcome 4: “UNDP’s contribution to the overall outcome is mainly on track. The VSDPs are being implemented in Samoa, Cook Islands and Niue and significantly, the Appreciative Inquiry Methodology used by the CCSDP has been adopted by the Samoa and Cook Island governments as a tool in their approaches to village consultations. This is seen as a positive step as at least two governments are now internalizing UNDP tools. The SGP (AUSAID), PEF and PACC are strengthening the resilience of communities to climate change through on-going soft and hard adaptation measures in Samoa and the Cook Islands and other PICs. The regional PIGGAREP is making headway by inter alia ensuring that systemic, technical and individual capacity to develop any renewable energy technologies potentially applicable to countries (off and on grid connections) have been increased and barriers for communities, rural centres and public to access the technology and initiatives are removed, with lessons and best practices documented and shared across countries in the region. The Samoa SLM project has put in measures to ensure that local farmers and communities have on-going access to training centres and resources.”

For Outcome 4, the ROAR 2008 does not report the outcome indicator status at the end of 2008, while for 2009; progress is described in the form of implemented activities, and the 2010 ROAR states “Outcome Indicator Status at end of 2010 not set”.

8.3 Relevance

The relevance of addressing climate change via adaptation strategies at the central and local government levels can clearly be understood by taking a look

disasters in the region and the need to give a regarding emergency assistance, recovery and medium term development plans taking into account climate change. UNDP's support to environment and climate change is fully in line with country priorities and hence highly relevant. Samoa's Ministry of Environment has tripled its staff since 2005 and has become one of the most important government institutions. The creation of a specific Climate Change unit under the Prime Minister's Office in the Cook Islands is in progress. The first National Strategy Plan of Tokelau focuses on climate change adaptation at a community level.

The Secretariat of the Pacific Regional Environment Programme (SPREP), based in Samoa, a highly appreciated and recognized expert organization, as show results from interviews implemented for this evaluation, regarding climate change issues, states on its website regarding the danger climate change represents for the Pacific that "many Pacific islands are extremely vulnerable to climate change, climate variability, and sea level rise and will be among the first to suffer the impacts of climate change and among the first to be forced to adapt or abandon or relocate from their environment. The islands are low lying or have coastal features and characteristics that make them particularly vulnerable to climate change, variability and sea level change. In addition to significant coastal impacts, climate change affects biodiversity, soils and the water supplies of small islands. Most small island states will find it extremely difficult to adapt to these changing conditions.²⁴ The impacts will be felt for many generations because of the small island states' low adaptive capacity, high sensitivity to external shocks and high vulnerability to natural disasters."²⁵

Reality has strongly underlined the importance of the danger of external shocks and natural disasters. Within only five months, between September 2009 and February 2010, two of the four PICs assisted by the UNDP MCO Samoa, suffered from severe natural disasters.²⁶ In addition to the devastating impact of the disasters, many of the aforementioned effects, such as sea level rise and coastal impacts, for example on infrastructure, soil productivity or biodiversity, are already being felt on the islands visited during this evaluation. One of the stakeholders interviewed for this evaluation found the following words to characterise the importance of climate change, and hence for adaptation and sustainable environment management. "Since the natural disasters of 2009 and 2010, peoples' concern about the negative effects of climate change converted to open fear of the entire population regarding their future."

²⁴ For small island states, adaptation to climate change is expected to be more difficult given larger magnitudes of the impact, relatively higher rates of climate change (given the reduced size of the islands) and limited financial and human resources for implementing adaptation measures.

²⁵ <http://www.sprep.org/topic/climate.htm>

²⁶ Samoa was hit by a devastating tsunami on September 29, 2009 (143 deaths, 5 missing persons and > 42% of the population of 19 villages directly affected). In the southern Cook Islands, tropical cyclone Pat passed through on February 10, 2010. The whole of Aitutaki Island was seriously affected (all 8 villages), with 78% of homes being damaged.

are characterised by SPREP in the following way:
Failure to adapt to climate change now could lead to high social and economic costs in the future. For the low lying atolls, the economic disruption could be catastrophic, to the extent of requiring population relocation to other islands or increasing the number of people emigrating from the islands. Some areas of coral reefs may be so enfeebled by overfishing that they may not be able to recover from bleaching events in the future. Public pressure is mounting for action on adaptation. There is growing community and government concern about the need to reduce the islands' vulnerability and manage the risks posed by extreme events and long-term change."²⁷

Regarding its content, the CCSDP and the VSDPs are relevant because they facilitate a bottom-up and integral local development planning process, and this way close a gap between local needs and national policies. The different elements of the environment and climate change portfolio have the potential to be integrated. Hard and soft solutions addressed by CBA and SGP could be defined through a wider community-based development planning process as established by CCSDP. PACC, PIGARAPP, ICCRAHS and SLM approach the climate change adaptation and disaster risk management from a top-down position and provide knowledge, experience and information for technical solutions. These elements could be used for improving the performance of community-based activities and build a bridge between the top-down and the bottom-up approaches. However, this integration has still not taken place.

8.4 Effectiveness and Efficiency

8.4.1 Effectiveness

A satisfactory level of effectiveness can be attested to implemented activities, in the sense that progress towards the overall objectives of Outcome 3 - Crisis Prevention & Recovery and Outcome 4 - Environment & Sustainable Development has been achieved. However, taking a look at specific outputs defined in the Country Programme (CP), it can be noted that several of these have not been addressed at all, by any activity or project. The non-attendance of some of the specific outputs does not compromise effectiveness levels of activities carried out, but it reduces the scope of sub-sectors covered by the overall envisaged outcome and this way limits the achieved progress towards these outcomes, compared to what would have been possible. One of the reasons for a lower level of activities, compared to the plan, can be found in an extremely high staff turnover and understaffing, in the Environment and

²⁷<http://www.sprep.org/topic/climate.htm>

For both outcomes, this evaluation has shown that the core activities of delivering products such as the VSDPs or the infrastructure under SGP and CBA have been accomplished, but the review and mainstreaming activities such as the gender analysis and the recollection and dissemination of lessons learned and best practices have not been accomplished. Hence, UNDP MCO Samoa concentrated on the core delivery but not on the generation of additional knowledge, which most probably would have helped to improve the quality and the effectiveness of the products and services delivered.

UNDP MCO Samoa Staff Constraints

Before referring to the programme effectiveness by MCPD outcome, a general concern of the effectiveness of overall UNDP project implementation has to be mentioned. Staff and management turnover have been high in the UNDP MCO Samoa, especially in 2009 and 2010. There have been changes at the management level²⁸ as well as at the programme staff level. The environmental programme unit, which is finally responsible for the implementation of 93% of the portfolio and an average annual delivery of roughly 5 million USD, during the field mission for this evaluation consisted of 5 persons²⁹ (2 national staff, 1 national UNV, 1 international UNV, 1 programme associate). Two of these five persons had a working experience of less than 4 months in the office. Within less than 24 months, the overall staff turnover in the environmental unit was of 9 persons. Between end of 2010 and early 2011 the staff turnover at UNDP Samoa slowed down as well the implementation of PACC and PIGGAREP.

According to the criteria of this evaluation, the staff turnover is too high, the unit is currently understaffed and the level of expertise and aggregated experience of the current staff appears low, if it is to fulfil all required tasks and address accordingly the responsibility for 93% of the MCO portfolio. Officers currently in charge of the work in the Environment and Climate Change unit are experienced in and qualified for the management of climate change and environment related projects, but a successful implementation of all current projects requires more human resources in the unit. According to the understanding of this evaluation, at least one additional international senior staff and one additional national or international junior staff would be required to have a fully staffed unit.

The ROARs of 2009 and 2010, cited above recognize that the lack of staff represents a problem for the programme's effectiveness, but considers the level of loss of effectiveness as acceptable, arguing that the financial delivery is still at its usual rate

²⁸Resident Representative (RR), Deputy RR (DRR) and Assistant RR (ARR)

²⁹ This is taking into account staff from the SGP.

It was found, however, that the staff turnover had a negative impact for different programme areas, which go beyond efficiency and hence impact negatively on effectiveness, as will be discussed further below.

UNDP MCOs management mentioned to this evaluation being aware of the lack of human resources and state that part of the problem has already been addressed, since at least one additional UNV and one international staff should start to support the unit before end of 2011. The UNDP MCO management argues that important shortcomings lay in low and non-competitive salary levels in UNDP³⁰, compared to payments offered by the government and other donors³¹ and the general lack of properly trained human resources on the islands. This evaluation considers that the arguments posted by the management are reasonable and recognizes that they have, to some extent, already been addressed, since the processes for additional appointments are in process.

Objectives Outcome 3 – Disaster Risk Reduction

Disaster Risk Reduction objectives are defined at UNDAF, Country Programme (CP) and Country Programme Action Plan (CPAP) levels as follows; they have formally been addressed exclusively through activities of the ERP.

UNDAF Outcome(s): 3.1. Disaster risk reduction and management of responses to humanitarian crisis and natural disasters are effective and integrated into all forms of development.

Expected CP Outcome(s): National disaster response systems implemented and strengthened through national and village-based disaster response drills.

Expected CPAP Output: 3.1.1. National capacities and institutional mechanisms strengthened for effective disaster response; plans in place capturing community and CSO participation.

The CPAP output is the only one of these three results that can be achieved directly through the implementation activities under the ERP. Achievements of the CPAP output are then expected to have a positive impact on the desired CP and UNAF outcomes. In order to understand to what extent the CPAP output has been achieved, we must take a look at the operational set-up of the ERP, since in practice its implementation was combined with the CCSDP fieldwork.

The CCSDP has been under implementation since early 2009 and emerged from the recognition that, i) a genuine participatory approach to development is essential for sustainability, and ii) an efficient adaptation to climate change has to take place on

³⁰ Possibly as a result of a not well-implemented salary survey by UNDP, in recent years.

³¹ Amongst them, SPREP, as the most important competitors for employing environmental experts.

livelihoods. The overall goal of CCSDP is “to make both economically and socially, by improving and supporting livelihood options through the responsible use and management of the environment”. This is implemented via a Local Economic Development (LED) component, a Sustainable Environmental Management component and a Social and Cultural Development component.

The CCSDP had already been in place in four pilot villages when a Tsunami hit Samoa in September 2009. In response to this event, the ERP was put together using TRAC 3 funds received from the Global Facility for Disaster Reduction and Recovery.³² In its early stage of implementation, the ERP focused on humanitarian and emergency help and changed its activities towards an assets replacement approach in a second stage. Given the availability of financial resources of the ERP and already existing positive results of the CCSDP planning exercise, the CCSDP planning approach was adopted by the ERP for its third stage of implementation for intervention in 19 villages. The parallel implementation of CCSDP and ERP provided a total of 23 villages with Village Sustainable Development Plans (VSDPs).

Through the combination of concepts and experiences from both projects, CCSDP and ERP can clearly be seen as an effectiveness gain, since development and disaster response plans for 23 villages, as opposed to only the four initially planned villages, have been developed. Experiences gained so far with the VSDPs and their first stage of implementation are positive and have raised interest and support in Samoa from the Ministry of Environment, from the Disaster Management Office (DMO) and from the Ministry of Women Community and Social Development, as interviews carried out by this evaluation have been able to confirm. A specific evaluation report on the ERP and CCSDP implementation until early 2011 assessed the effectiveness of ERP as “being highest”. However the reports do not provide a clear definition of what “being highest” means.³³

Even if the general CPAP output has been achieved, it is important to note that specific results had been defined for Outcome 3, which were left unattended, since the ERP did not implement activities to address them all. Recall that the specific outputs for Outcome 3 were defined as i) gender responsive disaster risk management; ii) strengthening of the national disaster response system; iii) national drills and capacity development systems in place in all four countries; iv) gender analysis regarding the differential impact of disasters; v) lessons learned reviewed and disseminated, and vi) south-south cooperation enhanced.³⁴ This evaluation found that the first two outputs have been fully addressed, output three has only been addressed in two countries, a gender analysis has not been

³² Track 3 funds of the Standby Recovery Financing Facility (SRFF) are made available to bridge the gap between humanitarian assistance in the aftermath of a disaster and longer-term reconstruction.

³³ At least in the same report, it can be seen that Efficiency achieved a lower score (2 on a scale from 1 to 3), and the remaining common evaluation criteria (relevance, replicability and sustainability also achieved the highest/best score).

³⁴ For more details see Chapter 3 of this report (Scope of the Evaluation)

learned are documented so far at the basis of whether published nor disseminated, and no enhanced south-south has occurred so far.

UNDP MCO staff argued that at least some results regarding the unattended outputs under the ERP in terms of gender analysis, assessment of lessons learned and south-south cooperation have occurred through the CCSDP project, as well as through SGP and CBA. When considering the kind of results all four of these projects provide jointly, this evaluation agrees with the UNDP that some elements for gender analysis exist in all projects and, of course, there are lessons learned. However, neither gender analysis nor lessons learned have been addressed systematically under any of these projects. The same is true for south-south cooperation.

Objectives Outcome 4 – Sustainable Environment Management

As shown in Table 1, Outcome 4 combines elements of adaptation strategies to climate change with local development planning and activities addressing the use of renewable energies. This happens through six different projects; two of which are regional projects. Reading CP Outcome 4 formulation carefully, it can be seen that the outcome includes four different elements: “The (1) *environment and economic governance nexus* demonstrated through (2) *community-based natural resource management* and use that supports the (3) *implementation of gender-sensitive national policies* as well as the (4) *mainstreaming of environment* into national plans.”

The environment and economic nexus is clearly addressed by all projects, as for example in SLM, which tries to define sustainable alternatives for land use planning as well as ICCRAHS, that aims to identify adaptation strategies for the agriculture and health sectors. Also, the community-based management idea is widely addressed, mainly through SGP, CBA and CCSDP. Regarding point 3, the CCSDP has an important gender sensitive output, via women’s participation in community development, but this result alone does not convert the outcome into gender sensitive national policies. This is precisely because they are currently only happening at a local level, but have still not converted into national policies. Finally, the mainstreaming of environment into national plans has been addressed through several projects, for example the regional ones (PACC and PIGGAREP) or in the case of Tokelau, the CCSDP. For mainstreaming the environment in national plans there was a wide range of activities, which addressed the overall objective of Outcome 4, and there is a clear progress towards the objective. For example, during the first half of 2011, the government of Samoa instructed all its line ministries to review their sector development plans and increase climate change and environmental mainstreaming in these plans. This evaluation had the impression that line ministries do not have a clear understanding of how to implement this task and lack the basic tools for the implementation of environmental mainstreaming

In this sense, a satisfactory effectiveness regarding Outcome 4 can be attested, since the implemented projects and activities have been able to deliver positive results, which help to achieve the overall objective.

However, in a similar way as occurred with Outcome 3, the CP had defined a set of specific outputs (whose achievement should help to carry out the overall goal of Outcome 4) and yet activities have not been implemented for all of them. Remember that the specific CP outputs for Outcome 4 were defined as³⁶ (1) the constitution of a Samoa-based environment expert hub, (2) community-based environment activities, (3) local development planning, (4) gender analysis on differential impacts of disasters; (5) improved energy efficiency, (6) lessons learned reviewed and disseminated and (7) south-south cooperation enhanced.

The constitution of a Samoa-based expert hub did not occur, and as in Outcome 3, no gender analysis has been implemented and no lessons learned were published nor disseminated. However, there have been a lot of community-based and local development planning activities and there are some lessons learned regarding renewable energy which are disseminated at least among participating countries in the regional projects (at meeting presentations level). This kind of exchange of experience between different PICs is of course conducive to south-south cooperation.

For both outcomes, this evaluation has shown that the core activities of delivering products, such as the VSDPs or the infrastructure under SGP and CBA, have been accomplished, but the review and mainstreaming activities such as the gender analysis and the recollection and dissemination of lessons learned and best practices have not been accomplished. Hence, the UNDP MCO Samoa concentrated on the core delivery but not on the generation of additional knowledge, which most probably would have helped to improve the quality and the effectiveness of the delivered products and services. This non-attendance finds its roots in the understaffing and staff turnover of the projects. We cannot attribute them to a lack of financial resources since project budgets consider funds for these activities.

This evaluation detected effectiveness concerns of activities at project micro level, related to limited implementation capacities of smaller PICs. This evaluation considers that part of these problems arise from inadequate project designs which are too complex for smaller PICs. For example, the SLM project defines 15 different activities for its implementation, a disproportionate amount of activities for full

³⁵ Useful information on environmental mainstreaming can be found on:

<http://www.environmental-mainstreaming.org/>

The following tool can be particularly useful:

<http://www.environmental-mainstreaming.org/documents/Synthesis%20report%20-%20published%20pdf.pdf>

³⁶ For more details see Chapter 3 of this report (Scope of the Evaluation)

islands which do not have sufficient human resources to complete the planned tasks within the expected timeframe.

Current project effectiveness can also depend on previous experiences of the MCO in the specific thematic project areas. For example, the area of renewable energy is one field of previous experience for UNDP in the Pacific. In an evaluation report from 2007³⁷, concerns were already raised regarding the “extreme dependence on GEF for financing environment and energy (E&E) initiatives”³⁸ and the fact that “GEF-funding has been short-term, project-based, and overwhelmingly focused on enabling activities” and that “UNDP has not developed a clear corporate position, competence or niche for E&E” are mentioned. However, we also find positive statements such as that the “UNDP does have a credible role to play in the future provision of environment and energy initiatives to the Pacific Island Countries” and that “UNDP efforts have contributed considerably to increased capacity within the region for environmental and energy management”. Using these previous experiences helps UNDP to be more effective today.

The PIGGAREP project, one of the higher ranking current projects, when it comes to effectiveness, considers in its design many of these facts and manages simultaneously to *i*) still use GEF funds but avoiding weaknesses of *ii*) short term project approaches, it builds on *iii*) UNDP’s credibility and *iv*) capacities previously established by UNDP in partner country institutions, trying this way to *v*) finally find its corporate position and niche in the E&E sector. It is not the task of this evaluation to identify or define if there is such a position and niche, and if so, which it was, but the evaluator had a strong impression that UNDP’s de facto positioning was on a programme management framework niche rather than on a thematic niche.

8.4.2 Efficiency

The portfolio’s time efficiency is low, but this fact does not seem to compromise the project’s core achievements; it delays the delivery. Causes for the delay are of different nature. Time delays cannot be quantified clearly since there is no monitoring or benchmarking for timely service and product delivery. Cost efficiency gains have been achieved due to the close nature of ERP, CCSDP, SGP and CBA, which have overlapping and complementary components in their implementation.

In a general overview, several projects seem to have been cost-efficient. Efficiency gains can clearly be found in response to the “joint” implementation of ERP and CCSDP. After three out of five years of implementation, the CCSDP had spent less than 40% of its total budget for all islands; rates for Samoa are highest. The ERP,

³⁷UNDP 2007; Evaluation of UNDP’s role in Managing Energy and Environment for Sustainable Development; Evaluation Multi-Country Case Study Report Fiji and Samoa, November 2007

³⁸ For the 2002 – 2007 period

implementation, had spent 63% of its budget. Of execution, compared to elapsed time, could be understood as a simple delay in implementing activities. This is certainly the case in projects like SLM and ICCRAHS. SLM has already extended its implementation period and under ICCRAHS, with the implementation of the health component starting only in the second project year, and not in the first as originally planned. In the case of ERP and CCSDP, however, synergies in implementation have been achieved, for example due to the fact that ERP took over methodological approaches for the planning exercises. Synergies with two other projects regarding community-based adaptation have been achieved with the SGP and CBA project, given that community needs and the scope of the most frequent technical solutions for climate change adaptation (for example, the construction of sea walls or the planting of mangrove trees) had been understood already, since the implementation of SGP and CBA had started before CCSDP and ERP.

For all projects, the achievement of results and outputs is behind schedule. In this sense, UNDP MCO Samoa faces a time efficiency lag. It is not possible to assess how big the delays are, since there is no proper monitoring or benchmarking for timely delivery. For projects under national implementation of MCO Samoa, delays can clearly be linked to staff turnover and understaffing in UNDP, but also to constraints in the partner (government) institutions for implementation. Remember, however, that UNDP quotes its share of delivery at 73%, which is still within a benchmark also achieved, e.g. by UNDP offices in some African countries.

Box 1: Micro Efficiency constraints – the example of Niue

Efficiency constraints resulting from the staff turnover and understaffing in the UNDP MCO Samoa environment unit have led, in some cases, to unacceptable project implementation conditions. In the case of Niue, for example in the SLM project, a pilot demonstration farm had been established with two permanent staff taking care of the crops. Due to a not fully clarified situation in the financial administration, new reimbursements had been held back by the MCO for several weeks and the staff turnover in the MCO made it impossible to quickly clarify the financial bottleneck. However, crops and plantations on the demonstration farm require permanent assistance and the farm staff has to be paid.

Regarding the regional projects (PACC and PIGGAREP), implementation delays are considerable.³⁹ However, they cannot necessarily be understood as a lack of efficiency. Most of the delays respond to the fact that the project only moves forward once all of the more than 10 participating countries have achieved a

³⁹ PIGGAREP unlike PACC National Coordinators are not paid by the Project but PIGGAREP is added as an additional workload to the NC and is not considered a priority role. PACC NC on the other hand is focused on PACC activities alone as their priority role, since they are paid by the Project. That causes delay also in implementing PIGGAREP activities as observed.

previous stage. Since implementation capacities are slower in weaker countries, implementation speed is slower in weaker countries and produces delays for better performing countries. Time efficiency gaps, however, do not compromise the quality and effectiveness of achievements. The effectiveness of regional programmes is also recognized by non-UN donors, as can be seen in the case of AUSAID. Only recently, AUSAID contributed additional resources to an extended PACC+ project. PACC+ uses the PACC framework and approach and extends its activities to PICs, which are not eligible for GEF funds, and hence not covered by the PACC project.

One very positive exception regarding efficiency was the outstanding time and cost-efficient implementation of the Persistent Organic Pollutants (POP) project in the Cook Islands. The project started late and, in its first stage, activities were behind schedule. However, it was finally finished with outstanding quality regarding its achievement, before the official deadline and with a surplus of financial resources. One of the main tasks of the project was the identification of POPs and, if possible, their destruction or final deposit. The POP project in the Cook Islands managed to identify more POPs than expected, as well as accomplish this faster and cheaper than expected. Remaining financial resources could thus be used for the shipping abroad and destruction of additional POPs. According to the understanding of this evaluation, the outstanding result was achieved due to the high quality of work, personal commitment and exclusive dedication of time by the principal consultant for the POP project.

Compared to other projects, the POP project concentrated on one activity and not on several, such as for example SLM. The project's financial and time framework was adequate for the implementation of the requested tasks. Generalizing these findings, we can advocate here for simple and realistic logical frameworks, which lead more easily to efficient and effective project implementation than complex frameworks with limited or non-realistic resources and time for implementation.

Limited implementation capacities in smaller PICs do not only lead to effectiveness concerns but also to efficiency restrictions, as can be seen in the example from Niue in Box 1. A general concern of smaller PICs (and to some degree also in Samoa) is a lack of clear knowledge in partner institutions regarding financial and reporting procedures of UNDP. These limitations can easily be addressed via regular partners training in these procedures. In a first step in this direction, UNDP MCO Samoa already implemented a first round of administrative training for implementing partners in August 2011 for the two starting projects: PACC+ and Integration of Climate Change Risk and Resilience into Forestry Management in Samoa (ICCRIFS) projects.

This evaluation suggests using this kind of training opportunities for participants of all four countries. Alternatively, a small distance-learning course⁴⁰ could be used,

⁴⁰ For example, in a similar form such as the UNDP field security learning courses.

continuous training.

periodically in all countries, since implementing of staff turnover and hence have a demand for

A second limitation related to project management, which frequently compromises time efficiency in project implementation are the reporting requirements for development projects. Since implementing partners are heavily overloaded with work, it is difficult for them to comply with different reporting requirements for different donors. The example from Tokelau can help to understand the scope of the problem for a country with just over one thousand inhabitants. Currently, the same development issue requires three different reporting procedures under three different frameworks: to the prime minister, to UNDP and to bilateral donors. Tokelau government staff mentioned to this evaluation that they do not lack the knowledge or understanding on how to report, but it is rather a problem that they do not have the time and resources to report comprehensively to three different stakeholders under three different frameworks on the same issue.

Another source of limitation for efficient project implementation has been found in the fact that beneficiary countries (mainly the smaller ones) are frequently not able to implement a given project, in the complete extent of its activities. Consequently, the project framework or a specific activity set has to be adjusted, after the project approval and before its implementation starts. This should not be the case, since beneficiary countries de facto are involved in the planning process. The lesson learned here is that project design processes currently under implementation frequently do not provide the desired results.

8.5 Impact/Degree of Change

As a facilitator for processes of change, UNDP MCO Samoa is working more in the areas of enabling change and supporting processes of change already initiated, in order to make them progress. Enabling activities for changes in people's daily lives do not offer innovative approaches. However, even this basic assistance represents an important change for communities and people on the ground. Government and donors are especially interested in the platform for future activities, provided by the VSDPs. Their impulse has gone already beyond community planning, as shown by the Tokelau first National Strategy Plan and the constitution of a Climate Change unit under the Office of the Prime Minister in the Cook Islands.

Interventions on the ground have still been lacking a comprehensive approach on how to be linked with other projects and government activities. The Pacific Adaptation to Climate Change (PACC) framework offers an interesting solution to this problem. Even if its implementation has been slower than anticipated, early results show that it could provide experience regarding how to integrate in practice development policies from different

government. The work with communities that at years, via ERP, CCSDP, SGP and CBA, offers important platforms and experiences for PACC to build upon.

Compared to the rest of the portfolio, the regional projects PACC and PIGGAREP seem to be based on more comprehensive project frameworks, relying on a more solid technical support for implementation, since regional programmes can draw upon a wider staff of technical experts. The possibility of knowledge generation and sharing of experience at a regional level facilitates thinking out of the box and enriches the variety of adaptation solutions. The availability of more and additional financial resources⁴¹ in regional programmes opens space for a wider scope of activities.

8.5.1 Result Strategies and Stages of Processes of Change⁴²

Compared to many other donors in the South Pacific, UNDP faces the particular condition of having very limited financial resources. This limitation increases pressure on the UNDP for “being resourceful rather than having a lot of resources”. In order to be resourceful, to the understanding of this evaluation, UNDP has been quite creative in the implementation of a set of strategies, which help to move the implementation vehicles (advocacy, use of knowledge, etc.) forward within the required scope, even with limited resources. We consider that it is worthwhile to take a look at these strategies. Concepts for these progress strategies, which help to enhance the effectiveness of the delivered products and services, are developed in Box 2.

Box 2: Concepts for effectiveness strategies

In order to respond comprehensively to the question of a results achievement strategy, we propose the use of the following (non-official UN of UNDP) evaluation criteria:⁴³

- Strategy for **Preparing Change**: this strategy includes activities for advocating the necessary attention that should be given to important issues or new concepts or technical approaches for policy interventions.
- Strategy for **Enabling Change**: this strategy includes activities for preparing the necessary bases of a change, such as the adjustment of legal or institutional frameworks.

⁴¹ Given that both projects are reliant on GEF funding – there is a need to ensure the long-term sustainability of both projects. The PACC + is a good example.

⁴² This section is still under construction. It tries to develop a structure, which can help to understand where the programme has strengths and weaknesses, and whether it is more focused on upstream policy advice or on hands-on approaches to facilitate changes for people's lives on the ground.

⁴³ These definitions are formulated by the author of this evaluation and cannot be found in literature.

Change (putting fuel into a process): this strategy allow an already initiated process of change to move forward. It is important to maintain a distinction between the idea of “fuelling” change, which refers more to inputs that keep this process going and/or help it to improve its quality, from the more widely used/known concepts such as driving change (the driver of policy change, for example, is expected to be the government) and speeding up or scaling-up change, which refer to the scope and the speed of change.

To a certain degree, the defined categories can help to understand up to which stage a change process has progressed. Considering whether these stages refer to, for example, a process of updating legal or institutional frameworks, or of updating concepts and technologies for policy implementation (public services), or of real changes already occurring on the ground and affecting people’s lives, we can get a clearer idea regarding how immediate CP strategies (advocacy, use of knowledge, partnerships, etc.) are able to bring about a quick and sustainable change on the ground (impact).

Taking into consideration the concepts proposed in Box 2, the impact and effectiveness of UNDP/MCO CP implementation can be re-assessed.

Going back to the portfolio classification from Table 1, there are two components; i) the emergency response and planning activity at community level and ii) the adaptation and environmental management. The following table shows the same range of activities but, in contrast to Table 1, it shows the implemented results/change strategies rather than the beneficiary countries.

Table 4: Portfolio topic distribution per results strategy⁴⁴

Projects ⁴⁵	Implementation arrangements	Crisis Prevention and Recovery	Outcome				
			Sustainable Environment Management				
			Local Development and Land use Planning	Local Adaptation to Climate Change	Agriculture (Health) Adaptation to Climate Change	Renewable Energy	Other
ERP	UNDP MCO Samoa - National Projects	ENAB					
CCSDP			ENAB				
CBA				FUEL			
SGP				FUEL			
ICCRAHS						ENAB	
SLM				FUEL			
POP							ENAB
SNC							PREP
PACC	UNDP MCO Samoa - Regional Projects			PREP/ENAB			
PIGGAREP						ENAB/FUEL	

Source: compiled by the evaluator based on UNDP data.

Table 4 shows how the current project portfolio displays a balanced focus on the processes and stages of enabling and fuelling changes and, to a lesser extent, the preparation of changes. Regarding the ability to facilitate direct and immediate impact, the project distribution of the UNDP MCO Samoa addresses the provision of sufficient conditions for a change in roughly 40% of its project, meanwhile the remaining 60% addresses issues of necessary but still insufficient conditions for change.⁴⁶ Since less than half of the programme activities focus on process stages, which are sufficient for change and hence can bring about impact, the expected overall impact will still be limited.

⁴⁴ PREP = Preparing Change; ENAB = Enabling Change; FUEL – Fuelling Change.

⁴⁵ ERP - Early Recovery Project; CCSDP - Community-Centred Sustainable Development Project; ICCRAH - Integrating climate change adaptation into agriculture and health; CBA - Community-Based Adaptation; SGP - Small Grants Programme; SLM - Samoa’s capacity building and mainstreaming of sustainable land management; PACC - Pacific Adaptation to Climate Change; PIGGAREP - Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project; POP – Persistent Organic Pollutants; SNC – Second National Communications to the United Nations Framework on Climate Change.

⁴⁶ Table 4 classifies four out of ten projects (40%) in the category of “fuelling” change or “enabling/fuelling change” understood here as a sufficient condition for change. The remaining six projects (60%) remain at the stage of “preparing” and “enabling” change.

The ERP project was put together in response to the Samoan Tsunami in late 2009 and the Cook Island's cyclone in early 2010 with the initial objectives of humanitarian aid, such as shelter, drinking water and cash for work (post-disaster clearing) activities. According to the ERP evaluation report and impressions from this evaluation, these objectives have been fully accomplished. Since the nature of this kind of intervention does not have an impact, in the sense of a change or step forward in a development process, possible changes have to be searched in other areas. In both countries (Samoa and Cook Islands), the post-disaster intervention coordination experienced important support from UNDP. National institutions in charge of Disaster Management mentioned to this evaluation that the post-disaster intervention and the implementation of the ERP project left three general results behind: *i)* the implementation of the disaster intervention plans performed reasonably well; *ii)* however, there is need for a greater and better coordination of the interventions⁴⁷ and *iii)* important deficiencies in emergency structures, such as escape roads or safe houses, have been identified. In this sense, the impact of ERP can be seen more in the area of testing out existing mechanisms, the adequateness of interventions and the identification of gaps. In future, these should be analysed and addressed accordingly.

Combining the implementation of ERP and CCSDP was the right step, according to the opinion of this evaluation, given *i)* the availability of funds from ERP, *ii)* the need for a more comprehensive planning of post-disaster recovery/development at community level and *iii)* the already existing experience with the CCSDP VSDP planning exercise. In the opinion of this evaluation, it has brought about three major results: *i)* post-tsunami reality in ERP communities has biased the community development approach towards short-term intervention and disaster protection mechanisms⁴⁸; *ii)* the planning exercises (ERP and CCSDP), however, have strengthened community participation, and the participation of women, initiated a bottom-up planning process, and this way *iii)* strengthened cross-practice between different government departments. This way they built de facto an important platform, which can enable change to happen on the ground in people's daily lives. Governments in Samoa and the Cook Islands have understood this and are currently taking a careful look at the ERP/CCSDP experience. UNDP should supply a structured assessment of lessons learned in order to "fuel" government interest in the ERP/CCSDP results to help them to understand how they could be used best.

Box 3: CCSDP/VSDP Niue

⁴⁷For example, in the needs assessments implemented post-disaster, but prior to the initiation of interventions and support programmes.

⁴⁸ This is understandable, but not the precise objective of the VSDPs who look for a more medium term approach.

in Niue do not look like something extraordinary, if development experts could have put into them, but the plans are extraordinary for our people. We never had such plans for our villages - they are new, they are unique, and they make people feel proud of their village. The plans provide perspective and hope to our people. We have several cases of families who had already decided to migrate abroad and, after the definition of the VSDP, they decided to stay.” (Niue Government Official)

Apart from these results on the ground, this evaluation has also found results at a policy level. After the cyclone in 2010 and the ERP/CCSDP experience, together with other factors, the Government of the Cook Islands decided to put together a Climate Change policy unit at the highest level, directly under the Office of the Prime Minister. This unit had already initiated its process of constitution during the field visit for this evaluation. Prior to this decision, there had only been an office for the environment in the Cook Islands.

A second unexpected positive result has been found in Tokelau, where CCSDP VSDPs converted into the backbone of what is now Tokelau’s first National Development Strategy. The existence, for the first time, of such a strategy is a vital cornerstone in support of negotiations with the Government of New Zealand.⁴⁹

Box 4: SGP, CBA, CCSDP – is there a difference?

When it comes to the implementation of work on the ground, SGP, CBA and CCSDP seem to do pretty much the same. The building of sea walls or the planting of mangrove trees is always among the favourites. Formally, of course there is a difference between the projects because they have different sources of funding, different procedures of project approval, different geographic areas of intervention and some of them finance only hard solutions, while others only soft solutions. Additionally, SGP and CBA are older than CCSDP and they are not based on VSDPs. But is there a need for three (or even four, together with ERP) similar projects? Where would the benefit be?

The CCSDP approach learned from SGP and CBA experience but proved to be more comprehensive and inclusive, because of the VSDPs. For the future, UNDP MCO should find a way to unify SGP, CBA and CCSDP under only one umbrella project and under the CCSDP approach.⁵⁰

⁴⁹ Tokelau consists of three atolls. For each atoll, a separate VSDP was put together, so that these three plans cover a wide range of what is national development in Tokelau. New Zealand is the biggest donor for Tokelau.

⁵⁰ CCSDP was originally designed to prepare communities for resource mobilisation of funds through SGP/CBA to implement projects for community development; however, the expected integration of all three projects has still not occurred.

level of innovation and the lack of thinking out of the box. However, this evaluation found that, in spite of the technically limited quality of VSDPs achieved, results are highly important for people (see Box 2) and for Governments. Of course, throughout time higher quality (better focused, targeted and budgeted) plans would be desirable. Nevertheless, increased and improved guidance and input for the planning exercises from the project side will be required. At the moment, the projects have delivered exactly what could be expected, considering quality and scope of the inputs, according to the opinion of this evaluation.

In its approach, the CCSDP project states that climate change adaptation has to start at community level and should be part of a wider local development planning process. Both suppositions proved to be right. Assisted communities have been able to articulate their priorities and, in Samoa, several government institutions are already interested in building upon this experience⁵¹, in Tokelau, the VSDPs have driven the formulation of the first National Development Strategy, and in the Cook Islands, they influenced positively on the government's decision to create a Climate Change Policy unit under the Prime Minister.

Outcome 4 – Sustainable Environment Management

Regarding impact and degree of change under Outcome 4, we take a look at the two regional projects, PACC and PIGGAREP and the nationally implemented SLM and ICCRAH, and find mixed results.

PACC

The PACC Project is the first climate adaptation project to be implemented in the region. It responds directly to the call for improving the effectiveness of the response to the consequences of climate change in the Pacific, while supporting the systemic and institutional capacity to address adaptation across the Pacific Islands region. The project has been designed to address these key issues on three fronts:

- Improving the capacity of Pacific Island governments to mainstream climate change adaptation into government policies and plans;
- Addressing the urgent need for adaptation measures through the development of systematic guidelines for adaptation and demonstrating their use at a pilot scale in the coastal management, food security and water resources sectors; and
- Laying the foundation for a comprehensive approach to address adaptation over the medium-long term at the regional level.

The project is designed to address priority vulnerable sectors of Pacific Island Countries (water, agriculture, coastal management), through strengthening overall

⁵¹ The Ministry of Environment and the Ministry of Gender and Community Development

In PIGGAREP (June 2010) states, "In its two full years of project implementation to date, PIGGAREP is clearly using its GEF funds efficiently to support a suite of relevant and effectively co-coordinated tangible "soft" Renewable Energy(RE) support activities(feasibility studies, resource assessments, training, etc.)that are useful contributions to donor-provided "hard" RE equipment and hardware provision in PICs. These PIGGAREP supported activities are highly likely to lead to more successful and sustainable applicable projects with high development impacts and help mitigate the all too common donor funded "commission, hand over, and then forget" specific RE project approach in PICs that leads to "so many donor RE projects not being sustainable post-project."

The midterm evaluation report also mentions problems in the business approach of PIGGAREP, where all RE projects were supposed to be "commercial". Experiences on the ground, however, have shown that the awareness regarding successful RE projects and the confidence in RE, particularly for small-scale standalone systems, are not that great. In this PMO argument, the private sector cannot come in just yet, hence, one needs to first demonstrate (with donor funded projects) that RE/PURE can work sustainably before the private sector comes in to make the investment.

As a matter of fact, the demonstration projects to be supported by PIGGAREP had changed from being specifically designed to showcase particular strategically chosen RE applications, to using existing and new demonstrations funded by other donors, with other donor contributions claimed as PIGGAREP co-funding. This is the case, for example, of a Japanese (donor) funded RE project (hardware) in the Cook Islands, where PIGGAREP funds the "soft" part of the project.

This evaluation believes that the strengths of PIGGAREP for the countries assisted by the UNDP MCO Samoa go along similar lines to those seen in PACC: i) the need for RE use in response to climate change and high energy prices is a fact; ii) PICs frequently do not have enough own resources to assess the best V&A adaptation for their specific situation and implement projects accordingly, and iii) even having all the required knowledge and information at hand, the projects might not be feasible from a commercial point of view. Thus, the subsidy for project "software" offered by PIGGAREP is very helpful in the sense of an activity, which is enabling change. The availability of this kind of projects in the form of demonstration sites generates local experiences (already adapted to the Pacific context) and at least offers the potential for a better south-south cooperation. The variety of information and different ideas available within the regional project has already opened the mind and inspired the ideas of the Government of Samoa when it comes to drafting the strategy for energy security.

ICCRAHS

The project focuses on the enhancement of organizational and technical capabilities in the Samoa Meteorology Division to monitor climate trends and provide regular, timely and accurate climate risk and early warning information to agricultural extension and public health services. The project is also expected to strengthen the

with workers and agricultural planners to make use of adopt measures that increase the resilience of communities to climate-induced food security and disease risks.

Demonstration of adaptive crop management and climate-related disease prevention in four high-risk districts is expected to provide a knowledge base to catalyse increasingly resilient policy and investment decisions in Samoa, and enable the replication and scaling-up of project lessons within the country and in the Pacific region at large.

At a first glance, the project seems somewhat confusing, since it is not obvious how agriculture and health services can be addressed simultaneously by a project. First of all, activities of the ICCRAH project have to be understood as enabling activities that concentrate on the generation of information (from the meteorological stations) and on land (soil) vulnerability to climate change. Both information sets can then be used for agriculture (e.g. crop feasibility) and health services (e.g. vector diseases).

Regarding the impact or degree of change provided by the project so far, this evaluation has been able to observe that the project has already developed the necessary conditions for change to be brought about in the future. The main need for this change is the availability of information, and the project has focused the first stage in equipping the met-stations and in starting to generate soil and met information and mapping. At the time of this evaluation's field mission, cooperation with the Ministry of Health was still at an early stage, since the Ministry was still not willing to provide its health database to the project, in order to evaluate this information against the new information from the met-stations.

Impact of the project can only be expected in the future, when other institutions (for example DMO) and projects (such as SLM, ICCRIFS and PACC) start to use information provided by ICCRAH for their planning and intervention.

SLM

SLM results are significantly behind expectations, as shown by the midterm evaluation report from February 2011. The report suggests that only one of the four outcomes originally agreed upon was actually implemented – and others substantially changed during the course of implementation, questioning the efficiency of the project outcomes as per the original goals.

The first outcome upon completion of the National Action Plan, the evaluation reports states that the key output - Preparation of the National Action Plan (NAP) – was almost complete (albeit with UNDP support) when the project started. The second outcome, dealing with the implementation of demonstration sites and related training, appears to have been implemented with some moderate success (one out of four demonstration sites implemented successfully). The evaluation report also states that few activities have been undertaken on the mainstreaming of

ing process and SLM investment plans (outcomes 3

Main causes for this limited success are identified as a non-appropriate accountability of steering groups, since they select activities for implementation, which by definition should not be included in the SLM framework.⁵⁴ Additionally, we have a lack of support from UNDP for both operational and technical aspects of the project. Technical and administrative support for complex project frameworks is essential to avoid effectiveness constraints. Within the context of SLM, the limitation of this support clearly led to a very limited impact. Effective programme management has been lacking at the UNDP and government sides.

8.6 Partnership Strategy

SPREP and GEF are the main partners for project implementation and for resource mobilization, and the UNDP offices in Fiji and Thailand and UNV are the main partners providing support to operations of the UNDP MCO Samoa. The partnership with SPREP enables the implementation of the regional projects, which UNDP MCO Samoa could not execute alone. The partnership with UNV is fruitful but has limitations. The way in which UNDP MCO Samoa would best work together with the regional UNDP offices should be re-assessed and discussed.

The SPREP Secretariat based in Samoa is the most important partner when it comes to the implementation of regional projects. The importance of GEF for resource mobilization has already been discussed previously in this report. UNV is the most important partner in terms of operational support for UNDP MCO Samoa, as well as for the assisted countries (e.g. Cook Islands) through the financing of project staff. From within the UN, the UNDP regional offices in Suva (Fiji) and Bangkok (Thailand) are the main partners for the MCO Samoa.

During the programme period under evaluation, an increased partnership with UNV HQs was seen in the ERP project, where 250,000 USD was mobilized by UNV for project specialists. Greater collaboration with the regional centres in Suva and Bangkok was seen in the areas of governance, IF trade, gender training and MDG reporting. At the operational level, the Fiji MCO assisted the Samoa MCO in strengthening cost-recovery systems.

Considering the limited availability of human resources in the four countries covered by the UNDP MCO Samoa, as well as the limited availability of financial resources, the partnership with UNV has been fruitful for the environment and climate change unit, since it has benefited from several international and national UNV experts. At the end of the field visit for this evaluation, two out of five staff

⁵⁴For example, the construction of the learning center.

environmental projects were UNV (one international expert). However, one limitation UNDP accepts when working together with UNV experts. Financial conditions offered by UNV and specifications in the terms of reference frequently make UNV positions not very attractive for senior staff, hence most of UNV staff are junior experts, albeit frequently with at least five years of experience in the climate change area.

Regarding access to financial resources, GEF has been the principle “financial” partner for UNDP MCO in the past. This has also been possible because UNDP was the only institution in Samoa and the other three assisted countries, which had an accreditation for access to GEF funds. More recently, GEF has also opened the possibility for direct access to funding for other institutions. In Samoa, SPREP and the Ministry of Environment have already requested accreditation for direct access. GEF had still not taken a decision on these requests, and even if the decision was to be positive, this does not necessarily mean that an important amount of funding will be definitely spent directly by these institutions without channelling this through the UNDP. Management staff from SPREP, as well as from the Ministry, mentioned to this evaluation that they expect a favourable decision regarding their request for accreditation for GEF funds, but would like to see this as an alternative and complementary channel to access through UNDP. At the moment, the only clear issue is that UNDP is about to lose its exclusive position regarding access to GEF funds, but for a considerable amount of time will continue to have the advantage of having expertise and experience regarding the correct management of GEF funds.

Regarding the partnership and support between UNDP MCO Samoa and the regional UNDP offices in Suva and Bangkok, this evaluation has the impression that the support, technical advice and backstopping from the regional officer⁵⁵ to the MCO Samoa performs better in the case of the regional projects PACC and PIGGAREP, since a regional officer is based in Samoa for these two projects.

UNDP MCO Samoa’s management mentioned to this evaluation the idea to expand and deepen the cooperation with the regional centres when it comes to the need for advice and support on technical, rather than programme management related details of projects, for example regarding climate change, environment or others. Given the limitation of human resources in the UNDP MCO Samoa office, such a support would be urgently required; however, this evaluation has some doubts regarding the feasibility of such a partnership strategy. First, according to the understanding of this evaluation, regional centres are not meant to cover, in a kind of permanent support, the human resource gaps of country offices and second, the possibility of providing specific advice on technical details might be limited, since regional experts might not have sufficient knowledge on project specifications. In general, this evaluation sees the need for finding a partner with more and better technical expertise such as the UNDP MCO Samoa staff, and the regional offices are of course an interesting option, but the scope of such a solution is clearly limited.

⁵⁵ Referring to Mr. Gabor Vereczi



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Sustainability of project results cannot be clearly assessed at the moment. Community-based projects require more follow-up and implementation of community development plans for sustainability. Regional projects currently do not seem to present major sustainability concerns. Local projects need an exit and transition strategy for sustainability. The financial sustainability of the UNDP MCO office is at risk, given the strong dependence on GEF funds and GEF's opening towards direct transfer of funds to beneficiary institutions, and must be revised.

Since all projects and programmes under evaluation are still being implemented, sustainability in the sense of continuity of activities, benefits, achievements and processes of change after a cessation of donor funding and support cannot be assessed.

However, some comments regarding the potential for sustainability can be made. The design of community development plans (or National Plans as in the case of Tokelau), and for example institutional capacity building, have a clear benefit, which also has the potential to continue in the future. In the opinion of this evaluation, based on interviews carried out with beneficiaries on the ground, they expect their community development plans to have a sustainable impact in the future once it comes to their implementation. Since this is so, a required follow-up activity regarding ERP and CCSDP is the implementation of the VSDPs. A reorganization or a different way of combining activities and funds with SGP and CBA could help to move forward in the future in this sense.

Notably, the correct implementation of project review, which was planned as a permanent project activity for identifying gender sensitive interventions and recollection and assessment of best practices and lessons learned, would allow for a deeper assessment of project sustainability. In general, project sustainability increases with government ownership and with the availability of resources. In this sense an implementation of community activities throughout a government institution would have brought about higher possibilities of sustainability. Of course, in all four countries, governments are already interested in the base the community work of UNDP has provided, but with a systematic assessment of best practices and lessons learned the way forward into a next, hopefully government-driven stage of community work, would be much clearer. Clearness would have also been gained regarding the best way that the UNDP can support the governments in the future and how much resources would be required for making the community development processes sustainable.

In a different sector, this evaluation found an interesting lesson learned in terms of how the sustainability of sector activities is linked with strategic positioning in

manifestation of this position in a specific action. Over the last decade, UNDP MCO Samoa carried out a big effort working in E&E, with interesting results. However, the credibility and expertise in this sector is beginning to fade, since less importance is given now to the sector by UNDP than in the past. Past achievements are this way put at risk and might be less sustainable.

The future sustainability of regional projects, such as PACC and PIGGAREP, does not seem to present major sustainability concerns at this moment in time. PACC, as a regional framework, has already found additional donors for its expansion, and PIGGAREP offers at least a similar potential (for also being a regional programme).

At the moment, the sustainability of current achievements from the SLM project is less clear and will depend on the future commitment of government partners to continue the generation of information, its updating and comprehensive use. A clear exit or transition strategy for the project can help in this sense.

8.8 Strategic Positioning

This chapter is not an official part of the evaluation and was not requested by the TORs. ADR evaluations, rather than the current evaluation, covers such issues. However, this evaluation came across the issue of Strategic Positioning and offers some rough findings, which could be useful for the ADR and the MCO for discussion, crosschecking or follow-up.

The UNDP MCO Samoa has suffered a considerable weakening of its strategic positioning throughout the last two years, 2009 and 2010. Government partners, mainly in Samoa and the Cook Islands, have mentioned to this evaluation that in previous years, the UNDP MCO staff offered capacities for technical advice regarding environmental projects, but that this technical advice is currently no longer available within UNDP, since SPREP is now seen as the principle source for technical advice. The simultaneous increase in technical strength of SPREP and the staff turnover and understaffing in the UNDP MCO environment and climate change unit are behind the weakened position of UNDP. However, government institutions still expect UNDP to be knowledgeable and capable of giving advice, and they do not want this quality to get lost to an even higher degree.

Government institutions see a clear strength of UNDP in their advice on project management. Particularly for monitoring, evaluation and results-based management, there seems to still not be an explicitly formulated demand from the government side. UNDP has a situation here that they can take advantage off,

ak in the area of project management, monitoring

Government clearly uses UNDP as a channel for accessing GEF funds (see above).

Despite UNDPs extended and relevant work in the environment sector, government partners still consider UNDP as an institution working rather in general development issues, such as livelihoods or human development, and as a matter of fact, have mentioned to this evaluation that they would like to see UNDP in the future more active in these sectors and not only in environment, since the office is not considered an exclusive specialist on environment and climate change.

Within the UNDP MCO management there is an ongoing debate regarding project content on whether the office should either concentrate on delivering upstream policy advice - trying to achieve impact and change via the adjustment of legal and regulatory frameworks, strategic planning, institutional frameworks and the generation of necessary conditions for a change - or whether it should rather concentrate on hands-on-the-ground transformative activities, that contribute to changing people's daily lives. In the opinion of this evaluation, the UNDP has a mandate for both approaches and should keep going both ways in parallel. Hands-on-the-ground activities are the ones that truly produce visible change for the people, but they are not sustainable without upstream policy advice. Community-based pilot projects additionally provide evidence that the upstream policy advice provided for the formulation of environmental and climate change policies is meaningful, since an implementation of the revised policies is able to bring about the expected changes.

This evaluation does not go deep enough to be able to decide what exactly should or could be an adequate strategic positioning for the future. However, findings of this evaluation throw light on the following facts:

- UNDP MCO Samoa is not an excellent technical expert in environment and there is a lot of competition with other (more expert) agencies
- UNDP still has a comparative advantage in its expertise in project management
- UNDP seems to achieve better results in its environment and climate change projects when it works together with other partners from the development cooperation sector like SPREP, UNV or other UNDP offices, since all these kind of partnerships help to strengthen, complement and reinforce project capacities and results.
- UNDP has currently a strong position and good results with community work

⁵⁶ Even if a recent EU evaluation showed that SPREP capacities in project management, monitoring and evaluation have improved importantly, UNDP as global institution offer experience, structures, tools and backup in this field gained in more than four decades, against one decade of experience in SPREP.

work provide evidence that the upstream policy and environment is meaningful

- UNDP's mandate goes beyond environment and climate change and there are expectations from partners that UNDP addresses these issues more widely
- UNDP has good expertise when it comes to capacity building

As a conclusion from these points, one possible strategic niche could be:

- The work at a community level in climate change adaptation and beyond
- Concentrate UNDP's substantial work on capacity building rather than on technical advice
- Continue working in the environment sector but, if possible, with strong partners and support them at the project management level rather than at the technical support level

9. Conclusions

The work carried out around the environment and climate change portfolio in recent years was relevant and has provided interesting results. However, achievements have not been fully documented, assessed and understood at a project level and the potential synergies between achievements of different projects have not been taken advantage off. This is a lost opportunity and is now in the past, but the opportunity to address this issue for the next programme cycle still exists.

The natural disasters, which occurred, have been addressed with an expansion of the work on the ground, additionally with a slightly different approach compared to previous years. This adjusted planning approach happened to be very important and useful but should be sustained in the future with a wider implementation of community projects.

A reasonable level of effectiveness can be attested to implemented activities, in the sense that progress towards the overall objectives of Outcome 3 - Crisis Prevention & Recovery, and Outcome 4 - Environment & Sustainable Development, has been achieved. However, taking into consideration the specific outputs defined in the Country Programme (CP), it can be noted that several of these have not been addressed at all, by any activity or project. The non-attendance of some of the specific outputs does not compromise effectiveness levels of activities carried out, but it reduces the scope of sub-sectors covered by the overall envisaged outcome and this way limits the achieved progress towards these outcomes, compared to what would have been possible. One of the reasons for a lower level of activities, compared to the plan, can be found in an extremely high staff turnover and understaffing in the Environment and Climate Change unit of the UNDP Multi-country Office (MCO), particularly during the years 2009 and 2010.

The time efficiency of the portfolio is low at all levels, however this fact does not seem to compromise the projects' achievements, but rather delays the delivery.

ferent nature. Delays cannot be quantified clearly for benchmarking for timely service and product delivery in the office. Cost efficiency gains have been achieved due to the similar nature of the Early Recovery Project (ERP), the Community-Centred Sustainable Development Project (CCSDP), the Small Grants Programme (SGP) and the Community-Based Adaptation (CBA) project, which have overlapping and complementary components in their implementation.

As a facilitator of processes of change, UNDP MCO Samoa is working more in the areas of enabling change and supporting processes of change already initiated, in order to make them progress. Enabling activities for changes in people's daily lives do not offer innovative approaches. However, even this basic assistance represents an important change for communities and people on the ground. Government and donors are especially interested in the platform for future activities, provided by the Village Sustainable Development Plans (VSDPs). Their impulse has gone already beyond community planning, as shown by the Tokelau first National Strategy Plan and the constitution of a Climate Change unit under the Office of the Prime Minister in the Cook Islands.

Interventions on the ground have still been lacking a comprehensive approach on how to be linked with other projects and government activities. The Pacific Adaptation to Climate Change (PACC) framework offers an interesting solution to this problem. Even if its implementation has still not moved forward considerably, early results show that it could provide experience regarding how to integrate in practice development policies from different areas and at different levels of government. The work with communities that UNDP has carried out in recent years, via ERP, CCSDP, SGP and CBA, offers important platforms and experiences for the PACC to build upon.

Achieved project results regarding the effectiveness and impact of the portfolio in general are still acceptable but already compromised by efficiency weaknesses in the environment unit. The UNDP MCO management has already undertaken first steps, such as an imminent staff increase, to address the efficiency gaps.

In spite of effectiveness gaps and limited, but still acceptable, effectiveness results, considering the level of inputs carried out, the policy impact of the portfolio is higher than expected, since specific UNDP project results carried out jointly with other forces and stakeholders to the formulation of the first national development strategy in Tokelau and to the establishment of a specific climate change unit under the Prime Minister's Office for the Cook Islands.

There is considerable competition between donors in the Pacific regarding the implementation of development projects in the environment and climate change sector and UNDP has not been able to clearly define and strengthen its position in this area. The UNDP continues to have considerable expertise from former years in

and can still take advantage of them for future

This change occurs in a context where a continuous access to GEF funds is less probable and the need for additional financial sources grows. For the future, UNDP MCO Samoa should consider the possibility of re-focusing part of its activity in areas where it has strategic advantages, such as the implementation of regional programmes, community development plans, expertise in programme management and renewable energy. Additionally, UNDP Samoa should pay more attention to development areas such as livelihoods and others outside the environment and climate change sector, since government partners expect this from UNDP.

SPREP has hitherto been successfully addressed as a partner for the implementation of regional projects. However, this evaluation also sees potential for cooperation with SPREP in the definition of joint national project planning and fundraising for the four assisted countries individually.

10. Recommendations

Effectiveness

- Link project activities closer with strategic and business plans like UNDAF, CP, or CPAP.
- Expand the scope of activities so that they can have an impact on all defined CP outputs.
- Reduce staff turnover and increase staff in Climate Change and Environment unit.
- Less complex project designs are required for a successful implementation in the smallest PICs.
- Since the scope of effectiveness for regional programmes seems to be higher than for local ones, study closely where “regionalizing programmes” would make sense for the future.

Efficiency

- UNDP MCO Samoa should organize a multi-donor meeting to discuss the possibility of harmonizing and simplifying reporting requirements across donors. Doing so would make cooperation processes more efficient and increase ownership and decision making of governments, in line with the
- Define indicators and benchmarks for monitoring cost and time efficiency. A delay in implementation might not compromise the general effectiveness, but rather the timing of results in order to achieve synergies between projects.⁵⁷

⁵⁷ As a first step in this direction, in May 2011, UNDP MCO Samoa defined a monitoring agenda, which includes a schedule for monitoring, monitoring activities and information sources. However, it still lacks process indicators and benchmarks, which allow the assessment of progress.

- existing participation of beneficiary countries in approval, since these mechanisms obviously do not provide the expected results in the sense that countries are able to implement projects in its complete extent without major concerns.
- Implement periodic trainings with partners, on project administration and reporting.

Impact and Degree of Change

- In order to achieve a higher impact or degree of change, project outputs and their quality have to be monitored more closely and should be reviewed more frequently or at an earlier stage of implementation.
- If UNDP office staff cannot implement the recommended monitoring work, the office has to make sure that technical experts are brought on board right through the life of the project cycles, at critical stages, to ensure that the outputs and decisions taken are informed by scientific and cutting edge thinking.
- There is a need for regular field visits by the UNDP staff, to be able to take corrective actions as the projects proceed. Budget has to be provided for these monitoring visits. A visit schedule for 2011 has already been developed.
- Specific assessments of project results, such as lessons learned, best practices and mainstreaming of cross-cutting issues such as gender, must be undertaken in order to understand how the achieved results between CCSDP, ERP, SGP, CBA and to certain degree the PACC project, can be integrated for future activities.
- A possible way forward for the next CP cycle could consist in the documentation of experiences on how national policies have successfully been implemented at a local level. Since environment policies are already in place, tools for their implementation are now required.
- Co-financing of regional projects should only be continued where it has proved to make a difference.

Partnership Strategy

- Continue the partnership with UNV since it is a valuable source for human resources for the UNDP MCO.
- Continue partnership with SPREP and learn mutually from each other. UNDP can strengthen its technical expertise in joint activities with SPREP, and SPREP can increase its skills in project implementation, monitoring and evaluation.
- Elaborate a clear proposal for Suva and Bangkok as to where and how Samoa wants to use their expertise and discuss this with them.



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al partners for fundraising. Joint UNDP/SPREP competitive advantages for fundraising and project

implementation.

- Consider the possibility of collaborating with NZ-Aid in the area of disaster risk management.

Sustainability

- Existing community development plans should start their implementation. CBA and SGP funds should be considered for this implementation.
- Expand coverage of community planning and improve planning approach. More guidance for the planning exercise is required.
- Design exit and transition strategies for ending projects.

Annex

Interview Schedule

#	Date	Time	Activity	Venue	Country
1	6 June	9:30am-10.30am	Meeting with Mihoko/Armstrong	UNDP Office	Samoa
2		10:30am-11.30am	Meeting with Nileema		
3		2:00pm-3.30pm	Meeting with Environment Unit		
4		3:30pm-4.30pm	Meeting with Gabriela		
5	7 June	10.00am-11.00am	Interview with Taulealea, MNRE CEO	MNRE Office	Samoa
6		11.00am-12.00am	Interview with LeitualaKuiniselani, MWCSO CEO	MWCSO Office	
7		1.30pm-2.30pm	Interview with Noumea Simi, MOF CEO	MOF Office	
8		3.00pm-4.00pm	Interview with SUNGO and site visits to CCSDP and ER project sites	SUNGO Office	
9	8 June	10.00am-11.00am	ER: Meeting with Filomena, DMO	DMO Office	Samoa
10		2.00pm-3.00pm	Meeting with SPBD	SPBD Office	
11		3.00pm-4.00pm	Meeting with Taulealea, MNRE CEO	MNRE office	
12	13 June	10.00am	Small Grants Programme: Meeting with Walter Vermullen, PMO of METI and Tafatafa Council of Chiefs	METI office	Samoa
13		11.00am	Site visit to Saleimoa project sites		
14	14 June	11.00am	Site visit to Tafatafa project	Tafatafa village	Samoa
15		2.00pm-3.00pm	Meeting with MWCSO, Luisa	MWCSO office	
16	15, 16 June	Savaii Island	Community-Based Adaptation: Meeting with PMO		Samoa
17			Site visit to Vaipouli (Committee members)	Vaipouli village	
18			Site visit to Satoaleapai Communities (committee members)	Satoaleapai village	
19	17 June	2.30-3.00pm	Conference call to NIUE SLM	UNDP Office	Samoa
20		4.00pm-5.00pm	PIGGAREP: Meeting with Silia	UNDP office	
21	20 June	9.00am-10.00am	Conference call to NIUE CCSDP Project with Ms Charlene Tukuiha	UNDP Office	Samoa
22		10.00am-11.00am	SLM: Meeting with Natasha, Project manager	MNRE Office	
23		1.00pm-2.00pm	Site visit		
24		3.00am-4.00pm	Meeting with Leiataua Kilali	UNDP office	
25	21 June	9.30am-10.30am	PACC&PIGGAREP: Meeting with Director/Deputy Director (Kosi), SPREP	SPREP Office	Samoa
26		11.00am-12.30pm	Meeting with PACC PMO (Peni)		
27		4.00pm-5.00pm	Meeting with Armstrong		
28	23 June	9.30am-10.30am	PIGGAREP: Conference call with Thomas	UNDP Office	Samoa

			en (UNDP Fiji)		
			C: Meeting with Gabor	UNDP Office	
30	24 June	9.30am-10.00am	Integrating CC Risks into Agriculture & Health: Meeting with Anne Rasmussen	MNRE	Samoa
31		10.30am-11.00am	Meeting with Tamati (Health sector)	NHS	
32		11.30am-12.00pm	Meeting with new coordinator (Agriculture sector)	MNRE	
33		1.00pm-3.00pm	Site visit : weather stations, meteorology (see the database) and mapping section of MNRE	MNRE	
34		3.30pm-4.30pm	Meeting with CCSDP PMO- Ms AkePuka	Tokelau Affairs office	
35	27 June	10.00am-11.00am	Meeting with Elizabeth Koteka, Director of Planning Department	Prime Minister's Office	Cook Islands
36		11.00am-12.00am	CCSDP: Meeting with Mac Mokoroa	Prime Minister's Office	
37	28 June	8.30am-10.00am	Meeting with Jim Arnistead and Steve Barrett, aid coordination unit	Ministry of Foreign Affairs	Cook Islands
38		11.00am-12.00pm	Meeting with VaineWichman, PMO	Prime Minister's Office	
39	29 June	9.00am-12.00pm	Meeting with Maureen Pasha - Second National Communications	National Environment Service	Cook Islands
40		2.00pm-5.00pm	Enabling Activity for POPs: Meeting with PMO	NES	
41			Site visit		
42	30 June	9.30am-10.30am	Sustainable Land Management: Meeting (PC) with Louisa Karika	NES	Cook Islands
43		11.00am-12.00pm	Site visit		
44		14.00am -15.00pm	ER: Meeting with Vaine T, PMO Prime Minister's Office	Prime Minister's Office	
45	5 July	1.30pm - 3.00pm	Presentation of preliminary findings	UNDP Office	Samoa

- OECD, 1991, *The DAC Principles for the Evaluation of Development Assistance*, Paris.
- OECD, 1986, *Glossary of Terms Used in Evaluation*, in 'Methods and Procedures in Aid Evaluation', Paris
- OECD, 2000, *Glossary of Evaluation and Results Based Management (RBM) Terms*, Paris.
- UNDP Samoa, ROAR 2008, 2009 y 2010
- UNDP Samoa, Resident Coordinator's Annual Report 2010
- UNDP Samoa, CCSDP & ERP Evaluation Report 2009 – 2011.
- UNDP 2007; *Evaluation of UNDP's role in Managing Energy and Environment for Sustainable Development; Evaluation Multi-Country Case Study Report Fiji and Samoa*, November 2007
- PRODOCS of all projects
- Progress reports of all projects
- Evaluation or mid term review reports for E&E, CCSDP, ER
- PACC Annual Project Report (APR) 2010
- PACC 2010 Project Implementation Report (PIR)
- SLM mid term evaluation report February 2011
- PIGGAREP Mid Term Evaluation June 2010
- Project Document and Progress Reports CBA
- Project Document and Progress Reports CCSDP
- Project Document and Progress Reports ERP
- Project Document and Progress Reports ICCRAH
- Project Document and Progress Reports PACC
- Project Document and Progress Reports PIGGAREP
- Project Document and Progress Reports SGP
- Project Document and Progress Reports SLM
- Project Document and Progress Reports POP
- Project Document and Progress Reports SNC

UNDAF and MCPD outcome definitions relevant for this evaluation

UNDAF Outcome 2: GOOD GOVERNANCE AND HUMAN RIGHTS

National priorities: Support effective, integrated and gender-responsive disaster risk reduction and management of responses to humanitarian crisis and natural disasters.

Country Programme Outcome – Crisis Prevention and Recovery

Programme Component (C/3) Crisis Prevention and Recovery National capacities and institutional mechanisms strengthened for effective disaster response; plans in place capturing community and CSO participation.

Country programme outputs

1. Gender-responsive disaster risk management plans at the community levels integrated into National Disaster plans and United Nations programmes;
2. National disaster response systems strengthened through national and village-based disaster response drills, and National Disaster Plan reviews;
3. Systems in place for capacity development, national drills and strengthened response plans for the Cook Islands, Niue, Samoa and Tokelau;
4. Best practices and lessons learned documented and disseminated through ICT4D;
5. South-South cooperation enhanced.

Output indicators, baseline and targets

1. *Indicator:* Gender analysis report available on the differential impacts of natural disasters as a contribution to community-based and national disaster management plans. *Baseline:* No data on impacts of disasters on men and women. *Target:* 1.1 Gender analyses conducted in the four countries by 2011.1.2 Participatory Rural Appraisals (PRAs) conducted in at least the Outer Cook Islands and Tokelau by end 2010.
2. *Indicator:* Systems for capacity development, national drills and response plans available for the Cook Islands, Niue, Samoa and Tokelau. *Baseline:* No systematic testing and review of national and community disaster plans. *Target:* 2.1 Systematic review and testing systems in place in at least two communities per country by 2011.
3. *Indicator:* Best practices shared among other PICs. *Target:* Documentation and dissemination of best practice among four countries and beyond by end 2012.
4. *Indicator:* South-South cooperation database developed for all the programme areas and shared extensively. *Baseline:* No database readily available to be shared. *Target:* 4.1 Databases developed and shared by end 2012.

UNDAF Outcome 4: SUSTAINABLE ENVIRONMENT MANAGEMENT

National priorities: Sustainable use and management of natural resources and the environment.

Country Programme Outcome - Environment and sustainable development.

Country programme outcome (D/4) The environment and economic governance

community-based natural resource management and implementation of gender-sensitive national policies as well as the mainstreaming of environment into national plans.

Country programme outputs:

1. An engendered “environment hub” of international, regional and Samoa-based experts supported to provide coordinated and gender-sensitive policy and technical advice on serious environmental challenges facing the Pacific;
2. Community-based environmental management activities scaled up in the Cook Islands Niue, Samoa and Tokelau;
3. Engendered MDG-based village and local level plans developed by communities;
4. Gender-sensitized environmental sector plans mainstreamed into NDPs/ NSDPs in the Cook Islands, Niue, Samoa and Tokelau;
5. Gender analysis conducted on the differential impacts on men and women of environmental degradation and natural disasters;
6. Energy efficiency improved and renewable energy use promoted;
7. Best practices and lessons learned documented and disseminated;
8. South-South cooperation enhanced.

Output indicators, baseline and targets

1. *Indicator:* Gender analysis report available on the differential impacts on men and women of environmental degradation and natural disasters provided as an input to local and national environmental management guidelines and communication toolkits. *Baseline:* Lack of gender analysis data on impacts of environment degradation on women and men. *Target:* 1.1 Strengthened capacity in gender-specific data collection and analysis for national environment programmes/plans by end 2012.
2. *Indicator:* Participatory Rural Appraisals (PRAs) conducted which contribute to village visions and human development profiles on population retention, income generation and sustainable livelihoods, especially in the Outer Cook Islands and Tokelau. *Baseline:* Lack of integrated village-based sustainable development plans. *Target:* 2.1 Strengthened village capacity to plan and implement village sustainable development priorities by end 2012.
3. *Indicator:* Increased number of community based adaptation activities to build resilience and capacities to deal with environmental challenges and natural disasters. *Baseline:* Limited capacity of communities for adaptation activities and reducing disaster risks. *Target:* 3.1 Strengthened community capacity and resilience to environmental challenges and natural disasters by end 2012.
4. *Indicator:* A United Nations joint programme promoting community-based eco-cultural tourism on-going in the Cook Islands, Niue, Samoa and Tokelau. *Baseline:* Lack of an integrated approach to addressing the environment and poverty linkage. *Target:* 4.1 Community based eco-cultural tourism programmes replicated widely in the other PICs by end 2012.
5. See Number 1 above.
6. *Indicator:* One renewable energy and/or energy efficiency initiative undertaken in each of the four countries. *Baseline:* Limited capacity to promote renewable energy and energy efficiency in the Cook Islands, Niue, Samoa and Tokelau. *Target:* 6.1 Renewable energy and energy efficiency mainstreamed into national plans by end



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knowledge-sharing exchanges on energy and environment between two or more PICs. *Baseline:* Limited opportunities to facilitate South-South cooperation on energy and environment. *Target:* South-South cooperation established in two or three PICs to support sustainable energy and environment management by end 2012.

MATRIX

Focused Areas of Inquiry	Evaluation Questions	What to look for
Concepts of the projects	Whether the selected outcomes were relevant given the country context and needs, and UNDP's niche? (Relevance)	Relevance of selected issues for country and for UNDP, relevance of concepts and approaches.
Planning of the projects	Whether the outcome indicators chosen are sufficient to measure the outcomes? What other SMART indicators can be suggested to measure these outcomes?	Does the successful and complete implementation of projects activities allow to generate the expected change and can output and outcome indicators reflect changes properly. The question link activity sequences in the log-frames to sequences of achieved outcomes (through the delivery of outputs)
	Are the UNDP outputs with the project corresponding projects under each outcome relevant to the outcome?	
	Were the monitoring and evaluation indicators appropriate to link outputs to outcomes or is there a need to establish or improve these indicators? If so, what are the suggestions?	
Implementation	Whether sufficient progress has been achieved vis-à-vis the outcomes as measured by the outcome indicators? (Effectiveness)	To what extent delivered outputs have been able to achieve the expected outcomes?
	Has sufficient progress been made in relation to the UNDP outputs?	
	What are the main factors that have/are affecting the achievement of the outcomes? How have these factors limited or facilitated progress towards the outcome? What are the factors (positive and negative) that affect the accomplishment of the outputs?	Externalities
Cooperation and coordination	In this programme period, how did UNDP position itself strategically or did UNDP have a comparative advantage? If yes, how were these reflected in achieving the results?	Strategic positioning considering development results (outcomes and beyond)
Beneficiaries	Were gender issues mainstreamed in to the programmes/projects that fall under these portfolios and to	Mainstreaming of cross cutting issues in the planning phase towards achieved

of Inquiry	Evaluation Questions	What to look for
	<p>what extent did UNDP contribute to gender empowerment/ gender equality?</p> <p>What are the factors that influenced the differences in participation, benefits and results between women and men?</p>	outcomes through implementation
Strategic positioning and networking	What does the evaluation reveal in terms of UNDP's role in a developing country environment? Did UNDP add value in such an environment, could it build a niche?	UNDPs position in a niche (comparative advantages) or in a network (partnership) and the innovative power of both positions
Continuity, replicability and sustainability	<p>UNDP's ability to develop national capacity in a sustainable manner (through holistic, participatory and gender-sensitive approach, building and strengthening institutional linkages, transparency and accountability, exposure to best practices in other countries, south-south cooperation); UNDP's ability to respond to changing circumstances and requirements in capacity development;</p> <p>What is the prospect of the sustainability and replicability of UNDP interventions related to the outcome (what would be a good exit strategy for UNDP)?</p>	Continuity, replicability and sustainability by national efforts or with international support

Outcome Evaluation of Environment and Sustainable Development & Crisis Prevention and Early Recovery Portfolios

Terms of Reference

1. Introduction

In its efforts to progress towards advancing human development, UNDP requires its Country Offices to undertake a series of evaluations throughout its programme cycle. These evaluations are intended to provide objective information to assist managers in making informed decisions of their programmes as well as to strategically plan.

One of the evaluations that country offices are responsible for undertaking is outcome evaluations. These evaluations are conducted to assess UNDP contributions towards the progress made on outcome achievements. Outcome evaluations are strategic, addressing; broad-based linkages with development; partnerships across agencies; analysis of the external local, regional and global environment in the analysis of success; and the comparative value of UNDP and significance in development. These outcomes are identified in the United Nations Development Assistance Framework (UNDAF) and the Multi-Country Programme Document (MCPD) to which UNDP initiatives contribute. Outcome Evaluations are carried out within the overall provisions contained in the UNDP Evaluation Policy⁵⁸, following the methodology developed by the Evaluation Office (EO) for Outcome Evaluations.

In line with the evaluation plan of UNDP Samoa – Multi-Country Office (MCO), an outcome evaluation will be conducted, to assess the impact of UNDP's development assistance in the practice areas of:

- iii) Crisis Prevention & Recovery and
- iv) Environment & Sustainable Development.

The purpose of an Outcome Evaluation is to:

- Support accountability of UNDP programmes in its country programmes,
- Provide evidence of the UNDP contribution to outcomes,
- Guide performance improvement within the current global, regional and country programmes by identifying current areas of strengths, weaknesses and gaps,
- Inform higher level evaluations such as the Assessment for Development Results (ADR),
- Contribute to learning across UNDP about outcome evaluation.

The evaluation will study UNDP's contributions to the above mentioned outcomes during the current and previous programme cycles 2003-2009 and

⁵⁸ www.undp.org/eo/documents/Evaluation-Policy.pdf

on given to the recent contributions, in 4 Pacific Islands, Niue, Samoa and Tokelau.

This outcome evaluation will be conducted together with the broader evaluation, the ADR for the Pacific, and the evaluator for this outcome evaluation would be asked to also contribute to the ADR as a team member under a separate Terms of Reference (TOR).

2. Background and the scope

The development challenges in the Pacific are significant.⁵⁹ It is a geographically vast, culturally and ecologically diverse and, in human development terms, highly variable region. Middle income countries function alongside five Least Developed Countries (LDCs)⁶⁰ in the region, and the Millennium Development Goal indicators in rural areas or on the outer islands of many countries are well below national average and equivalent to any LDC.

Societies in the Pacific have been experiencing dramatic social, economic and environmental transformations over the past decades. Governance systems have, in general, struggled to meet the human development needs of their populations, and often co-exist uneasily alongside traditional forms of governance. A myriad of factors have led to political instability and civil conflict in several countries in recent years. Human rights are not widely understood, gender inequality is pervasive, and half of the population of the region is under 25 years and faces limited social, economic and political opportunities.

Subsistence production dominates the economic life of most of the region's people, but urbanization, migration, high population growth, declining rural productivity, globalization, and small / slow-growing formal economies, amongst other factors, are transforming economies around the region. Poverty is a problem: an average of one in four households has an income below national basic needs poverty lines in the region.

Population growth and economic changes are putting strain on the natural environment on which most people depend. The rich biodiversity of the region is threatened through contact with humans, resource exploitation and pollution, and Pacific people and ecology are particularly vulnerable to natural disasters and climate change. Each of these problems has human rights and gender dimensions.

Pacific island countries are also active in promoting development through regional cooperation. At the Pacific Islands Forum, of which the countries are members or observers, the Governments endorsed in 2005 the 10-year Pacific Plan with a view to enhancing and stimulating economic growth, sustainable development, good governance and security for Pacific countries through regionalism.

⁵⁹ The description of the challenges here is derived from United Nations Development Framework 2008-2013

⁶⁰ Kiribati, Samoa, Solomon Islands, Tuvalu and Vanuatu

Under two programmes approved by the Executive

- Multi-country programme, operated by the multi-country office located in Samoa, covering Cook Islands, Niue, Samoa and Tokelau.
- Asia-Pacific Regional programme which includes projects and activities supporting Pacific island countries individually or collectively, operated by the Asia-Pacific Regional Centre in large part through its Pacific Centre (PC).

To operationalize these programmes, UNDP enters into an agreement to implement Country Programme Action Plan (CPAP) with the Government of each country.

Through these programmes, UNDP provides policy advice, capacity development, advocacy and other operational activities with a view to facilitating the attainment of Millennium Development Goals, poverty reduction, democratic governance, sustainable use of environment and energy, prevention of and recovery from conflicts and disaster, and other goals of UNDP such as gender equality.

For the current programme cycle of 2008-2012, the United Nations system has established a common strategic framework, the United Nations Development Assistance Framework (UNDAF), to support not only the above 4 PICs but 10 other PICs served by the UN Country Team in Fiji⁶¹. UNDP's multi-country programme operated by MCO in Samoa was developed under this framework.

Scope of evaluation

The proposed evaluation will evaluate the following country programme outcomes and outputs as stated in the Multi-Country Programme Document (CPD) covering both the previous and the current programme cycles and the Country Programme Action Plans (CPAPs) for all four countries.

Outcome 3: Crisis Prevention and Recovery

Based on its global mandate to support gender-responsive disaster risk reduction, UNDP, in close collaboration with the United Nations Disaster Management Team and the UNDP Bureau of Crisis Prevention and Recovery, would help to attain the following results through on-going UNDP programmes and the United Nations joint programmes:

- i) Gender responsive disaster risk management plans at community levels integrated into national disaster plans and ongoing United Nations programmes;
- ii) National disaster response systems strengthened through national and village based disaster response drills and incorporating priorities identified in community-driven sustainable development plans;

⁶¹FAO, ILO, UNEP, UNDP (including the Pacific Centre in Fiji), UNESCO, UNFPA, UNICEF, WHO and WMO.

- capacity development, national drills and response plans for all four countries; and of any post-disaster early recovery with relevant ongoing, new and longer-term DRR/DRM projects or activities of UN and of the governments for all four countries;
- iv) Gender analysis undertaken on the differential impacts of natural disasters as a contribution to community based and national disaster management and or development plans;
 - v) Lessons learned and best practices reviewed, documented and disseminated and
 - vi) South-South cooperation enhanced.

Outcome 4: Environment and Sustainable Development

Through its national, regional and global partnerships for sustainable development, UNDP would help to achieve MDG 7, environmental sustainability through the following results:

- i) “Environment hub” of international, regional and Samoa based experts supported to provide coordinated and gender sensitive policy and technical advice collectively to address the serious environmental challenges facing the Pacific, particularly natural disasters and climate change and to achieve joint impact and results;
- ii) Community based environmental management, sustainable livelihoods and eco-cultural tourism;
- iii) MDG based village and local level plans developed by communities to envision their future and deal with their environmental, livelihoods, energy and social challenges in a gender sensitive manner while maintain their culture and traditional governance systems;
- iv) Community resilience and capacities increased to deal with environmental challenges and natural disasters;
- v) Energy efficiency improved and renewable energy use promoted;
- vi) Gender analysis conducted on the differential impacts on men and women of environmental degradation and natural disasters and provided as an input to formulating national policies, plans and strategies;
- vii) Best practices and lessons learned documented and disseminated and
- viii) South-South cooperation enhanced.

In addition to assessing the overall result and development impact of all projects under the above outcomes, this evaluation will also take into consideration the impact if these programs on **cross-cutting issue** identified in the CPAP such as **gender equality and national capacity development**.

3. Key evaluation questions

The outcome evaluation seeks to:

- Review the programmes and projects of UNDP contributing to the environment & sustainable development and crisis prevention & early recovery portfolios with a view to understand their relevance and contribution to national priorities for stock taking and lesson learning,

and-course corrections that may be required for
of UNDP's development assistance;

- outcomes and the key factors that have affected
(both positively and negatively, contributing and constraining) them;
- Assess the extent to which UNDP outputs and implementation arrangements have been effective for strengthened linkages between the outcomes (the nature and extent of the contribution of key partners and the role and effectiveness of partnership strategies in the outcome);
 - Provide recommendations for future country programme in the practice areas of crisis prevention & recovery and environment & sustainable development.

This outcome evaluation will help the MCO to understand whether the intended outcomes are still relevant or need an update (to be incorporated in the next programme period), as well as the actual development change created by UNDP's development assistance throughout the programme period for the selected outcomes. UNDP will use this information for designing its activities as well as communicating to its present and future partners including government agencies and donors.

This evaluation is also very timely since the results of this evaluation will not only be used by UNDP Samoa in its Assessment for Development Results but in preparing the United Nations Development Assistance Framework (UNDAF) and UNDP Country Programme for the years 2013-2017. UNDP will incorporate the findings of the evaluation, experiences and lessons learned while preparing the new Country Programme document. This evaluation is also expected to bring recommendations regarding partnership strategies.

The Evaluation shall cover all UNDP projects/programmes that fall under the above two outcomes. It is highly preferred that the evaluator will visit the 4 Pacific Island Countries (PICs) covered by the UNDP Samoa - MCO (Cook Islands, Niue, Samoa, Tokelau) to meet the local stakeholders and beneficiaries including Government counterparts, local NGOs, women and youth, business representatives, local authorities, individual entrepreneurs, villagers, Chambers of Commerce, etc.

UNDP's contribution by thematic/programmatic areas

The Evaluation shall assess the following for each outcome in the programming cycle in these portfolios:

- ***Relevance:*** Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)
- ***Effectiveness:*** Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Did the medium-term changes in development situation happen? Has UNDP made significant contributions in terms of strategic outputs?

What do the outcomes derive from efficient use of
to what extent UNDP has contributed to the outcomes
outcomes?

- **Degree of Change:** What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?
- **Sustainability:** Will benefits/activities continue after the programme cycle?
- *UNDP's strategies*
- The strategies of UNDP are analyzed both from the perspective of the organization's mandate⁶² and the development needs and priorities in the country. This would entail systematic analyses of UNDP's place and niche within the development and policy space in the country, as well as strategies used by UNDP to maximize its contribution through adopting relevant strategies and approaches to the achievement of each stated outcome.

For each of the selected outcomes, the evaluation shall respond but not be limited to the following questions:

Outcome analysis

- Whether the selected outcomes were relevant given the country context and needs, and UNDP's niche? (Relevance)
- Whether the outcome indicators chosen are sufficient to measure the outcomes? What other SMART (specific, measurable, achievable, relevant and time-bound) indicators can be suggested to measure these outcomes?
- Whether sufficient progress has been achieved vis-à-vis the outcomes as measured by the outcome indicators? (Effectiveness)
- What are the main factors (positive and negative) that have/are affecting the achievement of the outcomes? How have these factors limited or facilitated progress towards the outcome?
- Were gender issues mainstreamed in to the programmes/projects that fall under these portfolios and to what extent did UNDP contribute to gender empowerment/ gender equality?
- What are the factors that influenced the differences in participation, benefits and results between women and men?
- In this programme period, how did UNDP position itself strategically or did UNDP have a comparative advantage? If yes, how were these reflected in achieving the results? Provide recommendations for future programming?
- What does the evaluation reveal in terms of UNDP's role in a developing country environment? Did UNDP add value in such an environment, could it build a niche?
- UNDP's ability to develop national capacity in a sustainable manner (through holistic, participatory and gender-sensitive approach, building and strengthening institutional linkages, transparency and accountability, exposure to best practices in other countries, south-south cooperation);

⁶² For UNDP's Strategic Plan, see www.undp.org/execbrd/pdf/dp07-43Rev1.pdf

led to changing circumstances and requirements in

of the sustainability and replicability of UNDP interventions related to the outcome (what would be a good exit strategy for UNDP)?

Output analysis

- Are the UNDP outputs with the project corresponding projects under each outcome relevant to the outcome?
- Has sufficient progress been made in relation to the UNDP outputs?
- Were the monitoring and evaluation indicators appropriate to link outputs to outcomes or is there a need to establish or improve these indicators? If so, what are the suggestions?
- What are the factors (positive and negative) that affect the accomplishment of the outputs?
- What are the recommendations for the existing portfolio?
- What are the lessons, especially pertaining to gender equality and social inclusion, and directions for future programming?

All the above evaluation questions should include an assessment of the extent to which programme design, implementation and monitoring have taken the following cross cutting issues into consideration:

- Human rights
- Gender Equality
- Capacity development
- Innovation or added value to national development
- South-South Cooperation

4. Evaluation Methods and Approaches

Principles and guidelines

The Evaluation will be conducted in adherence to the Norms and the Standards⁶³ and the ethical Code of Conduct⁶⁴ established by the United Nations Evaluation Group (UNEG), as well as to the UNDP's Evaluation Policy.

Data Collection

In terms of data collection, the evaluation expert will use a multiple method approach that could include document reviews, workshops, group and individual interviews, project/field visits and surveys. The set of methods for each evaluation criteria and questions should be defined in the inception report to be prepared by the evaluation team after preliminary research.

Validation

⁶³www.uneval.org/normsandstandards/index.jsp?doc_cat_source_id=4

⁶⁴www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=102

a variety of methods to ensure that the data is regulation. All the findings must be supported by consulting multiple sources of information. The evaluation expert is required to use an appropriate tool (e.g. an evaluation matrix to present findings from multiple sources) to show that all the findings are validated.

Stakeholder participation

A strong participatory approach, involving a broad range of stakeholders, will be taken. The Evaluation will have a process of stakeholder mapping that would identify both UNDP's direct partners as well as stakeholders. These stakeholders would include Government representatives of ministries/agencies, civil-society organizations, private-sector representatives, UN agencies, multilateral organizations, bilateral donors, and importantly, the beneficiaries of the programme. Furthermore, in order to identify key development challenges of the country, the evaluation team may conduct interviews and consultations beyond those involved directly or indirectly in UNDP country programme.

5. The Evaluation Expert

This evaluation exercise will be undertaken by an Evaluation Expert who will be reporting to the Resident Representative at the MCO. The MCO will arrange the introductory meetings within UNDP and will establish the first contacts with the government partners and project staff. The expert will then set up his/her own meetings and conduct his/her own methodology upon approval of the methodology submitted in the inception report.

The draft and final reports will be submitted in English. The expert will work home/office-based with presence in UNDP premises as needed for the desk reviews, and will make their own travel arrangements for the site visits.

6. Roles and Responsibilities, and Management Arrangements

UNDP Multi-Country Office (MCO) in Samoa

The MCO will provide overall management of the evaluation. The MCO in collaboration with the task manager (TM) for the ADR Pacific from EO will set the Terms of Reference for the evaluation, select the evaluation expert, receive the inception report, support the evaluation expert in liaison with key partners and other stakeholders, make available to the expert all necessary information regarding UNDP's programmes, projects and activities in the countries, organize feedback sessions, receive and comment on the first draft of the report and decide on its acceptability.

The MCO will in consultation with the TM support the evaluation expert in understanding the scope, the process, the approach and the methodology of the Evaluation, provide on-going advice and feedback to the team for quality assurance, and assist the expert in finalizing the report.

The MCO will provide the evaluation expert support in kind (e.g.: arranging meetings with project staff and beneficiaries; or assistance for the project site

vidence of the views expressed in interviews and
however, MCO will not participate directly in them.

7. Evaluation Process

Phase 1: Preparation

The MCO will set up the Terms of Reference in consultation with key stakeholders, and select the evaluation expert. The TM for the ADR Pacific from EO will also undertake a preliminary research to prepare for the ADR, and conduct a workshop for the ADR Evaluation Team to understand the scope, the process, the approach and the methodology of Evaluation. The Evaluation expert for the outcome evaluation shall be part of this workshop.

Phase 2: Preliminary research and evaluation design

Preliminary research: Desk review and briefings – The evaluation expert will analyse, *inter alia*, national documents and documents related to UNDP's programmes and projects over the period being examined. The expert may also request and hold interviews with UNDP programme staff to deepen the understanding of their work portfolio and activities. For this purpose, the expert may undertake scoping mission to UNDP MCO if feasible financially and timing-wise. With the preliminary research, the expert is expected to develop a good understanding of the challenges that the 4 countries have been facing, and the responses and the achievements of UNDP through its country programme and other activities.

Evaluation plan: Inception report – Based on the preliminary research above, the evaluation expert will develop the evaluation plan and submit it as an inception report. The evaluation plan should include:

- Brief overview of key development challenges, national strategies and UN/UNDP response to contextualize evaluation questions
- Specific evaluation questions for each evaluation criteria
- Methods to be used and sources of information to be consulted in addressing each set of evaluation questions
- Preliminary hypotheses, if any, reached from the desk study for evaluation questions, with an indication of the information source (e.g. an evaluation report) that led to the hypothesis
- Selection of projects/activities to be examined in-depth
- Possible visits to project/field activity sites

Phase 3: Data collection and analysis

Data collection – Based on the inception report, the expert will carry out the evaluation by collecting data.

- The evaluation expert should establish a tentative schedule of its activities in consultation with UNDP MCO and the TM for the ADR Pacific from EO. The field visits and observations should normally be arranged through the MCO. The schedule may need to be further adjusted during the data collection.
- The expert will collect data according to the evaluation plan defined in the inception report, *inter alia*, by conducting interviews, organizing

gs, conducting surveys, and collecting further
ces.

ction phase, the expert may start the validation of
emerging hypothesis and findings to facilitate the process and to
ensure all of its findings are well supported.

- TM may join the evaluation team during this stage when possible and desirable.

Data analysis – The evaluation expert will analyse the data collected to reach preliminary assessments, conclusions and recommendations.

- Once the data is collected, the evaluation expert should dedicate some time (up to one week) to its analysis.
- The outcome of the data analysis will be preliminary assessments for each evaluation criterion/question, general conclusions to answer key questions and provide overarching findings from the analysis, and strategic and operational recommendations.
- Once the preliminary assessments, conclusions and recommendations are thus formulated, the evaluation team will debrief UNDP MCO to obtain feedback so as to avoid factual inaccuracies and gross misinterpretation.

Phase 4: Drafting and reviews

First draft and the quality assurance – The evaluation expert will further analyse information collected and incorporate the initial feedback from debriefing sessions. The expert will coordinate the preparation of the first draft, and submit it to UNDP MCO within one month after the end of Phase 3. The first draft will be shared with the Governments for factual verification and comments. The first draft will be accepted by UNDP MCO, after revisions if necessary, when it is in compliance with the TOR and other established guidelines, and satisfies quality standards. The draft is also subject to a quality assurance process through external reviews.

Final draft and the verification and stakeholder comments – The expert will revise the first draft accordingly to incorporate the feedback from the internal and external review process, while preparing an audit trail that indicates changes that are made to the draft, and submit it as the final draft. The final draft will be forwarded to UNDP MCO, TM and Regional Bureau for Asia and Pacific (RBAP).

MCO briefings – During this phase, the Evaluation expert may be requested to conduct briefings for MCO in Samoa.

Phase 5: Follow-up

Management response – UNDP RBAP will prepare a management response based on inputs from MCO to the Evaluation, and will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre⁶⁵.

Communication – The Evaluation report and brief will be widely distributed in both hard and electronic versions. The evaluation report will be widely

⁶⁵<http://erc.undp.org/>

ernment counterpart(s) to stakeholders in the
rters, to evaluation outfits of other international
n societies and research institutions in the region.

The report and the management response will be published on the UNDP
Evaluation website⁶⁶.

8. Expected Outputs

The expected output from this exercise is the report “Outcome Evaluation: Crisis
Prevention & Recovery and Environment & Sustainable Development”.

The expected outputs from the evaluation expert in particular are:

- An inception report, providing the evaluation plan (as specified in the
process section of this document).
- The draft and the final report “Outcome Evaluation: Crisis Prevention &
Recovery and Environment & Sustainable Development”. (approximately
30 pages for the main text, and annexes)
- Presentations at debriefings, as required, and at stakeholder meeting

⁶⁶ www.undp.org/eo/