

## Report

# Mid-Term Review of the project “Economy-wide Integration of Climate Change Adaptation and Disaster Risk Management to Climate Vulnerability of Communities in Samoa” (EWACC)

PIMS 5264, GEF ID 5417



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Presented to UNDP September 2017



Cover photo: Vaisigano Watershed and storm wall construction  
All photos in the report by Trond Norheim

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## ABBREVIATIONS

ACEO	Assistant Chief Executive Officer
ADB	Asian Development Bank
AF	Adaptation Fund
AusAid	Australian Agency for International Development
AWP	Annual Work Plan
CCA	Climate Change Adaptation
CCAP	Climate Change Adaptation Policy
CCU	Climate Change Unit (of MNRE)
CDCRM	Community Disaster and Climate Risk Management
CEO	Chief Executive Officer
DAC	Development Assistance Committee (of OECD)
DRM	Disaster Risk Management
EIA	Environmental Impact Assessment
EU	European Union
EWACC	Economy-wide Integration of Climate Change Adaptation and Disaster Risk Management to Climate Vulnerability of Communities in Samoa
FSP	Full-Size Project
GCF	Green Climate Fund
GEF	Global Environment Facility
GIS	Geographic Information System
GoS	Government of Samoa
IA	Implementing Agency
ICCRIFS	Integration of Climate Change Risks and Resilience into Forestry Management in Samoa
IWMS	Integrated Watershed Management Study
LDCF	Least Developed Countries Fund
M&E	Monitoring and Evaluation
MCO	Multi-Country Office
METI	Matuaileoo Environment Trust Inc.
MNRE	Ministry of Natural Resources and Environment
MTR	Mid-Term Review
MWCSD	Ministry of Women, Community and Social Development
MWTI	Ministry of Works, Transport and Infrastructure
NAP	National Adaptation Policy
NAPA	National Adaptation Programme of Action
NCCAS	National Climate Change Adaptation Strategy
NEOC	National Emergency Operations Centre
NGO	Non-Governmental Organization
NZAid	New Zealand Agency for International Development
OECD	Organization for Economic Cooperation and Development
PAC	Programme Advisory Committee (of UNDP)
PDNA	Post-Disaster Needs Assessment
PIF	Project Information Form
PIR	Project Implementation Report
PIMS	Project Information Management System
PMU	Project Management Unit
PPCR	Pilot Programme for Climate Resilience
PPG	Project Preparation Grant
P3D	Participatory Three-dimensional
QPR	Quarterly Progress Reports
R2R	Ridge-to-Reef
SPREP	Secretariat for the Pacific Regional Environment Programme
STAP	Scientific and Technical Advisory Panel
TAG	Technical Advisory Group
TOC	Theory of Change
TOR	Terms of Reference
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group

## Summary Project Information

**Title:** Economy-wide Integration of Climate Change Adaptation and Disaster Risk Management to Climate Vulnerability of Communities in Samoa” (EWACC)

**Country:** Samoa

**Executing Agency:** Ministry of Natural Resources and Environment (MNRE)

**Implementing Agency:** United Nations Development Programme (UNDP)

**Responsible Parties:** Ministry of Finance; Ministry of Women, Communities and Social Development; and Land Transport Authority

**Brief description:** The predicted effects of climate change on Samoa include: i) increased frequency and severity of extreme rainfall events; ii) increased frequency and duration of droughts; iii) rising sea levels; and iv) increased frequency of extreme wind events such as gusts and cyclones. The problem that the proposed LDCF project seeks to address is that climate change is expected to result in losses to lives, livelihoods and assets for local communities in Samoa. Cyclone Evan – which struck Samoa in December 2012 – resulted in at least five deaths, displacement of 7,500 people and damage to over 2,000 houses. Losses to livelihoods (e.g. crops), damage to road infrastructure and disruption of water and electricity supplies also occurred. The Post-Disaster Needs Assessment (PDNA) estimated the costs of reconstruction at US\$200 million with a further US\$70 million required for human capital.

The solution to the above-mentioned problem is to adopt an economy-wide approach to climate change adaptation in Samoa. This will allow for increased integration of climate change adaptation and disaster risk management into national development planning and programming across all sectors. In addition, the climate resilience of local communities – including their physical assets and livelihoods – must be strengthened.

Barriers to climate change adaptation in Samoa include: i) fragmentation of efforts on climate change adaptation; ii) focus on “project-by-project” approaches rather than “programmatic” approaches; iii) limited capacity at the local level for climate change adaptation; iv) inherent vulnerabilities of communities, their assets and their livelihoods; and v) weak monitoring and evaluation of past and on-going projects.

The project will contribute to overcoming these barriers by: i) strengthening institutional capacity within the government; ii) enhancing inter-ministerial coordination of climate change adaptation; iii) promoting the inclusion of climate change concerns into development strategies across all sectors; iv) climate-proofing of communities’ physical assets; v) introducing more climate-resilient livelihoods options; and vi) sharing lessons learned and best practice on climate change adaptation across the Pacific region.

Programme Period:	72 Months	Total resources required:	102,322,936
Atlas Award ID:	00079044	Total allocated resources:	102,322,936
Project ID:	00089160	GEF	12,322,936
PIMS #:	5264	In-kind contributions	90,000,000
Start date	7 <sup>th</sup> November 2014		
End Date	8 <sup>th</sup> November 2020		
Management Arrangements	NIM		
PAC Meeting Date	15 August 2014		

## Executive Summary

The Project “Economy-wide Integration of Climate Change Adaptation and Disaster Risk Management to Climate Vulnerability of Communities in Samoa” (EWACC) is executed by the Ministry of Natural Resources and Environment (MNRE), with other implementing partners the Ministry of Finance; Ministry of Women, Communities and Social Development; and the Land Transport Authority. The project is financed by Global Environment Facility (GEF) – Least Developed Countries Fund (LDCF), with United Nations Development Programme (UNDP) as the GEF Implementing Agency.

The project’s Objective is to establish an economy-wide approach to climate change adaptation in Samoa, aimed for efficient integration and management of adaptation and Disaster Risk Reduction/Disaster Risk Management into national development planning and programming, and enhancing the resilience of communities’ physical assets and livelihoods across Samoa, to Climate Change and natural disasters. The project activities are highly relevant for UNDP, GEF-LDCF, the Samoa Government, MNRE, and local stakeholders. In addition to the important Climate Change adaptation benefits there are also highly relevant benefits from disaster risk mitigation.

The project could have been even more relevant and obtained a larger impact if it had assured a stronger collaboration between the implementing partner organizations, especially on local level in the villages. Several project partners are carrying out surveys, but they are not coordinated, and could benefit from covering the same villages and exchange information. The Consultant considers that the project design is not very logical, and it is difficult to see the flow of interrelation between the different components. Some components managed by implementing partners are managed very independent from the project’s CC adaptation approach. The establishment of the Technical Advisory Group (TAG) to discuss issues and challenges is a work in progress to align interventions from different stakeholders under the project, as well as to share information regarding results. There have been several meetings called by ACEO and PMU for these implementing partners to work together and share information to guide interventions within the same communities.

The project had a slow start until the complete PMU was established, and also got delayed due to slow procurement processes during the initial period, with the result that it has not been able to comply with the level of the outputs that should be expected at mid- term. However, around the period of the MTR the activities and disbursements were starting to take up speed, making it possible that the project would still be able to comply with most of the outputs and outcomes until the end of the implementation period.

The main results achieved so far are: A. MNRE (IWMP): a) Finalized Integrated Watershed Management Plan; b) Training on CBA, GIS, Hydraulic CC modelling; B. MNRE: Flood Wall: a) 3 community consultations; b) Flood Wall work started (Design & Supervision Firm / Construction Firm); C. MNRE: 2 MOUs with METI: Community resilience; D. MNRE (NEOC): a) Household survey for Community Disaster and Climate Risk Management; b) Data sharing; E. MWTI: a) Review of National Building Code; b) Review of regulations to enforce the code; c) House standard plans. F. MWCS: Feasibility study for Small Business Incubator (SBI). Villages identified: 7 Savaii, 7 Upolu; G. Training: CBA, GIS, hydraulic modelling with CC scenarios and damages to buildings/assets.

*Most progress* has been achieved on the design and initial construction of the Vaisigano river protection wall, the finalized Integrated Watershed Management Plan for the Vaisigano watershed, the finalized revised National Building Code, and the increased capacity of government staff to access information on climate and disaster risks, as well as M&E on Climate Change Adaptation. Two areas have *Least Progress*, and are not on target to be achieved:

- (i) The formulation and endorsement of a National Climate Change Adaptation Strategy. An outline of the NCCAS has been formulated; however, due to linkages and to the National Adaptation Policy (NAP) this would have to be approved first.
- (ii) Development of village disaster risk management plans. So far only one plan has been finalized. The rest have been on hold because of the cost involved, however, the cost of construction of the river wall is now known; therefore; the plans can be rolled out again to cover the identified villages before the end of the Project period.

The rest of the outcomes and sub-outcomes have a level of progress in between. Most of the products financed by the project are of high quality, e.g. the Integrated Watershed Management Plan and the Review of the National Building Code with Standard designs.

Only 24.4% of the budget has so far been disbursed, with an additional 5.4% committed until September 17<sup>th</sup>. This is in the opinion of the Consultant too low at mid-term, but a faster disbursement rate is expected in the coming year. The component that takes most of the project budget is the Vaisigano river protection wall. This infrastructure, situated in the lowest part of the watershed, would probably not be recommendable alone, however it will be complemented by a new \$57 million GCF project in the same watershed, partly building on the EWACC integrated watershed management study.

What the project is doing in the field is important, but relatively small-scale. EWACC can therefore be considered as a pilot project for certain activities implemented e.g. by METI, like a health component dealing with the huge problem of obesity/diabetes, and encouraging a healthy diet. The MWCSO's Feasibility study for Small Business Incubator (SBI) is given priority to poor women and youth. However, it is very difficult to establish a new company even without these restrictions, so most such companies would be destined to fail (see 5.4.2: Social Sustainability).

The project monitoring system is including information received from the implementing partners through Quarterly Reports. The information is well managed on activities, outputs and outcomes, but should give a stronger emphasis on impacts and lessons learned. This means stronger PMU follow-up with the partners to assure that they establish good and reliable baselines and understand how to measure impact. PMU is also rating impact of the interventions compared with baseline, but cannot completely carry out this task on behalf of the partner organizations.

*The main conclusions of the Mid-term Review are:* (i) The project activities are highly relevant for UNDP, GEF-LDCF, the Samoa Government, MNRE, and local stakeholders due to CC adaptation benefits and disaster risk mitigation; (ii) The project could have been even more relevant and obtained a larger impact through a stronger collaboration between the implementing partner organizations; (iii) The design of the EWACC project is in line with the Paris Declaration (2005), the Accra Agreement (2008) and the Busan Partnership for Effective Development Cooperation (2011); (iv) The project design is not very logical, and it is difficult to see the flow of interrelation between the different components (v) The project had a slow start and got delay due to slow procurement processes, with the result that it has not been able to comply with the level of the outputs expected at mid-term, however, activities and disbursements are currently taking up speed; (vi) Most of the products financed by the project are of high quality; (vii) The component that takes most of the project budget is the Vaisigano river protection wall in the lowest part of the watershed, to be complemented by a new \$57 million GCF watershed project; (viii) The project's field work is important but small-scale, and could be considered as a pilot projects (ix) The project Quarterly Reports are well managed but should give a stronger emphasis on impacts and lessons learned; (x) Sustainability is an issue on all levels, reflected in long-term planning and sector strategies, and the need for stronger institutionalization and donor coordination. The main recommendations of the MTR are included in the following summary recommendation table.



**Table of recommendations**

No.	Recommendation	Responsible entities
1	To assure stronger collaboration between the implementing partner organizations on local level, including for village surveys	MNRE/PMU, MWCSO, METI
2	To coordinate the surveys, covering as much as possible the same villages (with priority Vaisigano watershed) and exchange information obtained to avoid duplication of efforts	MNRE/PMU, MNRE/NEOC, MWCSO
3	To give strong emphasis to improving procurement processes and avoid further delays	MoF, MNRE/PMU,
4	PMU should interact through ACEO and CEO with the political process for a new CCAP, and in parallel develop a draft CCA Strategy to present for approval after the CCAP is approved	PMU/MNRE
5	To comply with the target of 100 Village Disaster Risk Management Plans, PMU should request NEOC for a budget proposal to cover all remaining villages, combined with fund transfers, while exploring additional funding sources	MNRE/PMU, NEOC, MoF
6	To implement environmental and social recommendations from the Integrated Watershed Management Plan on local level	MNRE/PMU
7	To strengthen collaboration with the GCF financed watershed project during the feasibility study (where EWACC project results are up-scaled) and during its implementation	MoF, MNRE/PMU
8	Replicate the results of METI's village work on health and permaculture during the current project, in a possible second phase, and by other programmes and projects	MNRE/PMU, METI
9	To integrate the poorer segments of the society in the labour market, open for both women and men of all ages	MWCSO
10	To give a stronger emphasis on impacts and lessons learned in the project M&E system.	MNRE/PMU
11	To have a broad approach to gender mainstreaming in all projects, components, and activities	MNRE, MoF, MWCSO, MWTI
12	Long-term planning and sector strategies should be followed up through a permanent institutional structure with programmes led by permanent staff members	MNRE, MoF
13	To immediately encourage use of lessons learned through the project, not waiting for the final evaluation	MNRE/PMU
14	To promote payment for environmental services e.g. from Apia Hotel Sheraton, which is a major beneficiary of the river floodwall and watershed protection	MNRE/PMU
15	To promote results and lessons learned from EWACC in the South Pacific Region, including through the R2R network	MNRE/PMU

**Project Rating Table**

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	The project aims at establishing an economy-wide approach to CCA, for efficient integration and management of adaptation and DRR/DRM into national development planning and programming, and enhancing resilience of communities' assets and livelihoods to CC and disasters. This strategy is in practice being implemented as a combination of institutional strategies from the different partners.
Progress Towards Results	Objective: MS	In Progress. New National Environment Sector Plan 2017-2020 includes mainstreaming of CCA and DRM of this project.
	Outcome 1: MS	Updated Sector plans: Community, Environment, Agriculture, Health Draft Concept to formulating NCCAS Communities trained, but no community-managed projects for adaptation to climate risks MoF initiated process of improving monitoring of Government expenditure on CCA Revised Nat. Building Code English incl. Standard Plans Trainings on use of Building Code
	Outcome 2: MU	Final draft IWMP (approx. 40,000 beneficiaries) and Validation workshop Final designs River Wall Segment 1 + parts of 2-3. Segment 1 Contractor and Supervisor Collaboration with EPC in the Penstock CDCRM Household Survey completed (approx. 54,140 beneficiaries) Ministries, NGOs, civil society, trained on database access METI training in 15 villages (8,120 beneficiaries) MWCSO: Potential for up to 7,580 beneficiaries Information collected is useful for design of village plans for DRM & Climate Resilience. 1 Village Disaster Management Plan (Tafua) awaiting DAG approval
	Outcome 3: HS	EWACC website with links and reports Much info from IWMP Awareness campaign River wall Awareness campaign Building code EWACC Facebook EWACC publications: (i) Management reports; (ii) Technical reports; (iii) Field reports Awareness material: Advertisements, leaflets, DVD and CD toolkits, posters, banners, vests, etc.
Progress Implementation & Adaptive Management	MS	The project had a slow start and a weak performance during the first period. From the moment PMU was on board, the implementation has improved a lot, but the level of disbursements is still low. PMU project monitoring is results-based, focusing on outputs and outcomes. Considering the relatively good compliance the last year, there is relatively good possibility of finishing most targets on time. PMU is now organizing and administering the resources efficiently
Sustainability	MS	The Project is progressing against sustainability on different levels: (i) Technical: IWMP good, but should be fully implemented; (ii) Social: So far only METI; (iii) Environmental: Good; (iv) Institutional: Good, but room for improvement; and (v) Socio-economic and Financial: Good, but room for improvement

## 1. INTRODUCTION

### 1.1. Purpose and scope of the review

In accordance with the “GEF Monitoring & Evaluation Policy” and the “Guidance for undertaking Midterm Reviews of UNDP-supported GEF-financed projects”, Midterm Reviews are a mandatory requirement for all GEF-financed full-size projects (FSP). The review should also be carried out in line with UNEG Norms and Standards for Evaluation (2016). The GEF Implementing Agency (IA) for this project is the United Nations Development Programme (UNDP) and the Executing Agency is the Ministry of Natural Resources and Environment (MNRE).

According to the mentioned Guidance document, Midterm Reviews (MTRs) are primarily a monitoring tool to identify challenges and outline corrective actions to ensure that a project is on track to achieve maximum results by its completion. The MTR should provide evidence of results (outputs and outcomes) achieved so far, and an assessment of progress towards final results and impacts. The MTR should also assess monitoring of implementation and adaptive management to improve outcomes, and provide an early identification of risks to sustainability, giving emphasis on supportive recommendations.

## 2. PROJECT BACKGROUND INFORMATION

The project's Objective is to establish an economy-wide approach to climate change adaptation in Samoa, aimed for efficient integration and management of adaptation and Disaster Risk Reduction/Disaster Risk Management into national development planning and programming, and enhancing the resilience of communities' physical assets and livelihoods across Samoa, to Climate Change and natural disasters.

The project has three components, with the following expected outcomes:

Table 1. Project components and expected outcomes

Components	Expected Outcomes
1. Strategic integration of climate change adaptation and disaster risk management in national policy frameworks and development planning through an economy-wide approach	1.1. Policy Strategies/Institutional Strengthening: Climate change adaptation and DRM mainstreamed in relevant policies, sectorial strategies, sub-national strategies and budgeting processes through enhanced coordination of government institutions
	1.2. Public finance management at the national and village level: Capacity to access, manage, implement and monitor use of climate change funds is enhanced at the national and village level
2. Enhance resilience of communities as first responders of climate change-induced hazards	2.1. Protection of communities' physical assets and livelihoods: Increased resilience, and decreased exposure and susceptibility of communities to climate change and natural disasters by protection of household and community assets and promoting resilient livelihoods
	2.2. CCA/DRM plans and implementation: Increased adaptive capacity of communities for implementation of effective risk management and protection of household and community assets
3. Monitoring and evaluation and knowledge management	3.1. Knowledge about CCA and DRM captured and shared at the regional and global level

## 3. OBJECTIVES OF THE MTR

*The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy, its risks to sustainability (from the TOR).*

## 4. MTR APPROACH AND METHODOLOGY

### 4.1. Review strategy

#### 4.1.1. Purpose

The MTR is considered as an analysis of three main elements with a logic sequence:

- 1) *Project performance*, with emphasis on effectiveness of outputs and outcomes, as well as efficiency, impact, monitoring of implementation and impacts, management issues, sustainability and relevance;
- 2) *Lessons learned*, including what has worked well and what has not (requiring adjustments); and
- 3) *Recommendations* for the rest of the implementation period.

As mentioned above, the MTR is paying special attention to the progress and compliance with expected Project outputs, outcomes and impacts (or expected impacts), and the influence and integration of experiences and lessons learned. This evaluation also considers actions, strategies, policies and other factors that have influenced the execution positively or negatively, particularly in the communities, considering policies and contexts, and the relations with MNRE, partners and UNDP/GEF.

The MTR has also taken into account the relation between climate change adaptation and disaster risk management, natural resource management, poverty reduction, equity, land use planning, and sustainable local productive alternatives.

The UNDP Deputy Resident Coordinator (Resident Representative a.i.) additionally requested to pay special attention to the following aspects:

- Contribution towards higher level development changes
- Impacts to the poor, marginalized and disadvantaged
- Gender equality and women empowerment
- Lessons Learned
- South-south cooperation
- Innovation

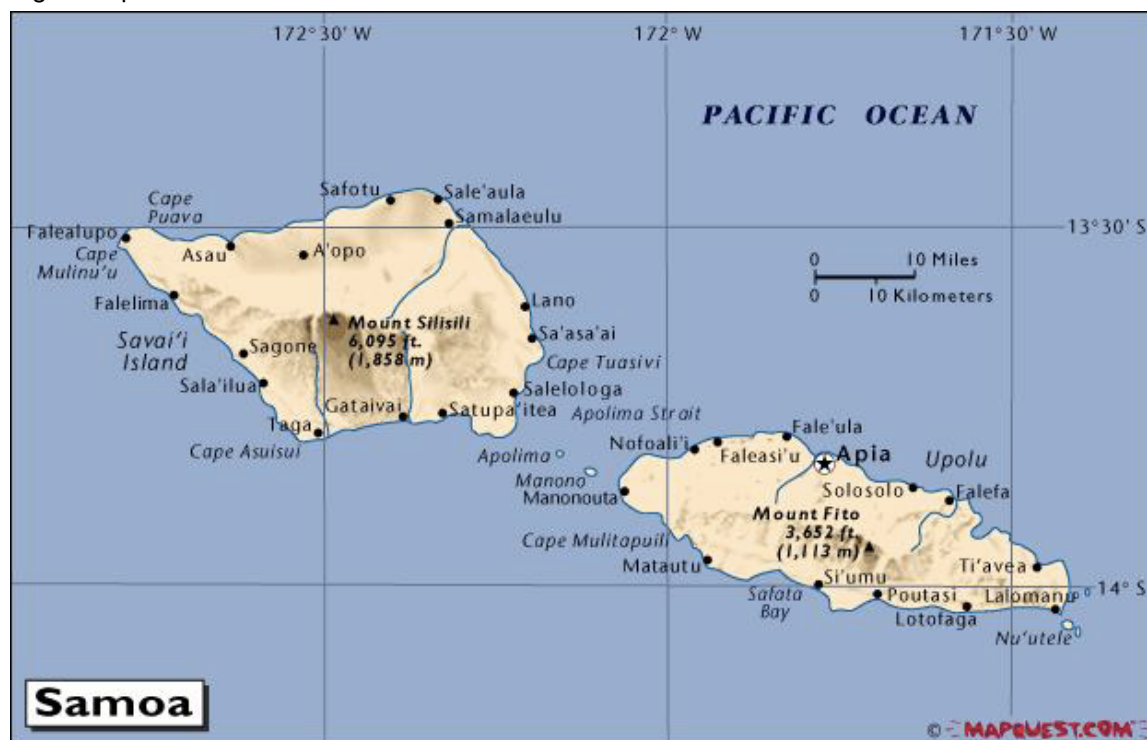
Based on review of the recorded results, the MTR analysed if they have given or are expected to give the intended impacts, to comply with the Project objectives.

#### 4.1.2. General considerations based on UNDP, GEF and OECD-DAC quality standards

To carry out the MTR, the following approach was promoted and encouraged throughout the process:

- a) Free and open review process**, transparent and independent from Project management and policy-making, to enhance credibility;
- b) Evaluation ethics** that abides by relevant professional and ethical guidelines and codes of conduct, while the review was undertaken with integrity and honesty;
- c) Partnership approach**, building development ownership and mutual accountability for results;
- d) Co-ordination and alignment**, to consider national and local evaluations and help strengthen Samoa country systems, plans, activities and policies;
- e) Capacity development of partners** by improving evaluation knowledge and skills, stimulating demand for and use of review findings, and supporting accountability and learning; and
- f) Quality control** throughout the review process.

Fig. 1 Map of Samoa



#### 4.1.3. Methodology for the MTR implementation

##### 4.1.3.1. Planning process of the review mission

###### a) Ethical guidelines

The Consultant maintained clear impartiality and independence at all stages of the review process, including towards any activity related to planning, gathering, organization, processing and assessment of information; as well as facilitation of the review results according to rules.

###### b) Review as complementation to monitoring

The Mid-Term Review is seen as an important complement to regular monitoring, in other words as a comprehensive in-depth assessment intended to contribute systematically to improved project efficiency and effectiveness. It is expected that the results would benefit the implementation during the rest of the project period (until 2020) and also the work with promotion of Disaster Resilience and Climate Resilience in Samoa in general.