



6. CONCLUSIONS AND RECOMMENDATIONS

6.1. Conclusions

1. 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.
2. 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.
3. The design of the EWACC project is in line with the Paris Declaration on donor coordination (2005), the Accra Agreement (2008) and the Busan Partnership for Effective Development Cooperation (2011), supported by UNDP. There is however a clear need for even stronger coordination between the projects, including alignment to assure complementarity and avoid duplication of efforts.
4. 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.
5. The project had a slow start until the complete PMU was established, and also got delays 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.

6. Only 24.4% of the budget has so far been disbursed, with an additional 5.4% committed until September 17th. This is in the opinion of the Consultant too low at mid-term, but a faster disbursement rate is expected in the coming year.
7. The main results achieved so far are: A. MNRE (IWMP): a) Finalized Integrated Watershed Management Plan; b) Training on CBA, GIS (with GIS user-friendly manual produced under EWACC), and 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. MWCSO: 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.
8. 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.
9. 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.
10. 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, and the results that are considered positive at the moment of final evaluation could be replicated in a second phase or by other programmes and projects, e.g. through GEF small grants programme.
11. 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.
12. 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 follow-up with the partners to assure that they establish good and reliable baselines and understand how to measure impact.
13. Sustainability is an issue on all levels. Even though Samoa has been able to obtain much donor financing compared to the size of the country and new financing is coming in from GCF and EU, it doesn't mean that this will last forever. The important work carried out by the ministries in long-term planning and preparing and approving sector strategies should be followed up through a permanent institutional structure with programmes that are led by permanent staff members, and not project-by-project. This is a line that most donors would agree with, where the externally financed projects could be included.

6.2. Recommendations

1. PMU should assure a stronger collaboration between the implementing partner organizations MNRE, MWCSO and METI, especially on local level in the villages. This would promote more effectiveness and efficiency, and also exchange of experiences and lessons learned.
2. The surveys carried out by several implementing partners (MNRE/NEOC, MWCSO, PMU) should also be coordinated, covering as much as possible the same villages

(with priority to the Vaisigano watershed) and exchanging information obtained through the surveys to avoid duplication of efforts.

3. Strong emphasis should be given to improving procurement processes to avoid further delays of implementation (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.
5. To comply with the target of 100 Village Disaster Risk Management Plans, PMU should request NEOF for a budget proposal to cover all remaining villages. Funds should be transferred from other components/partners that are not on track to use their available budgets, while exploring additional funding sources (MNRE, MoF).
6. PMU and partners should implement environmental and social recommendations from IWMP on local level. That means not only focus on the river wall, but on an integrated watershed approach based on priority sub- and micro-watersheds, where participatory processes should be encouraged with the villages to improve their environment (and therefore also protect the whole Vaisigano watershed).
7. MNRE/PMU in coordination with MoF should also encourage collaboration with the GCF financed project, both during the feasibility study and implementation of this project, based on information and lessons learned from EWACC/IWMP that would be up-scaled in the new project. This would assure an integrated watershed management approach in the whole watershed, to the benefit of both projects.
8. The results of METI's village work e.g. on health and permaculture should be replicated during the current project and in a possible second phase, or by other programmes and projects.
9. To be able to integrate and benefit the poorer segments of the society in the labour market, the following aspects should be considered by MWCSO's Small Business Incubator: (i) both women and men of all ages should be accepted, because new businesses need older people with experience of both sexes that could transfer their knowledge to the youth; (ii) it is a need for innovation and new ideas for what could work under Samoan circumstances: For products not currently produced in the country, market studies and trial phases could be financed from the project; (iii) Microcredit/Agro credit and rotational funds could be introduced to improve sustainability and make the funds last longer; (iv) The large Samoan expat community could be brought in as source of investment funding.
10. The project monitoring system should give a stronger emphasis on impacts and lessons learned, including PMU's follow-up with partner organizations to assure that they establish good and reliable baselines and understand how to measure impact.
11. Gender mainstreaming should be seen as more than headcount, and MNRE and all partners should use a broad approach to assure gender mainstreaming in all projects, components, and activities.
12. MNRE and MoF should assure that the important work on long-term planning and sector strategies is followed up through a permanent institutional structure with programmes that are led by permanent staff members, and not project-by-project.
13. The PMU should immediately encourage use of lessons learned through the project, not waiting for final evaluation. This could be done e.g. through: (i) National and local inter-institutional seminars and workshops with the participation of all project partners, and other organizations/projects working in the same areas; and (ii) Coordinated efforts in the territories.
14. Based on the strong benefit that Apia Hotel Sheraton would have from the river

floodwall and protection of the watershed, PMU and MNRE should explore the possibility for Payment for Environmental Services from Sheraton International.

15. Results and lessons learned from EWACC should be promoted in the South Pacific Region, including through the R2R network.

Annex 1 Terms of Reference

TERMS OF REFERENCE FOR MID-TERM REVIEW OF THE ECONOMY-WIDE INTEGRATION OF CLIMATE CHANGE ADAPTATION AND DISASTER RISK MANAGEMENT TO CLIMATE VULNERABILITY OF COMMUNITIES IN SAMOA (EWACC) PROJECT

A. Introduction:

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled ***Economy-Wide Integration of Climate Change Adaptation and Disaster Risk Management to Climate Vulnerability of communities in Samoa (EWACC) Project*** (PIMS 5264) implemented through the Ministry of Natural Resources and Environment, which is to be undertaken in 2017. The project started on 7 November 2014 and is in its third year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the second Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#).

B. Project Description or Context and Background:

The project was designed to adopt an economy-wide approach to climate change in Samoa, that will allow for increased integration of climate change adaptation and disaster risk into national development planning and programming across all sectors as well as strengthening resilience of communities including their physical assets and livelihoods. The project has five outcomes and these are as follows;

- **OUTCOME 1.1. Policy Strategies/Institutional Strengthening:** Climate change adaptation and DRM mainstreamed in relevant policies, sectoral strategies, sub-national strategies¹ and budgeting processes through enhanced coordination of government institutions
- **OUTCOME 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.
- **OUTCOME 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
- **OUTCOME 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.
- **OUTCOME 3.1. Knowledge about CCA and DRM is captured and shared at the regional and global level.**

The total grant funding for this project is US\$12,322,936 from the Least Developed Countries Fund (LDCF) with in kind co-financing of US\$ 90,000,000. The project document was signed on the 7th November 2014. The executing agency for this project is the Ministry of Natural Resources and Environment and responsible parties are the Ministry of Finance, Ministry of Women Communities and Social Development and the Land Transport Authority.

C. Scope of Work:

The objective of this consultancy is to undertake the mid-term review of the EWACC project.

1. 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.

2. MTR APPROACH & METHODOLOGY

The MTR must provide evidence based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project

budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach² ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.³ Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *Ministry of Finance (Climate Resilience Investment Coordination Unit and Aid Coordination & Debt Management Division), Ministry of Natural Resource and Environment (GEF Division, Water Resources Division, Disaster Management Office, Ministry of Works and Infrastructure (Building Management Division and Land Transport Division), Ministry of Women, Community and Social Development (Economic Empowerment Division and Youth Employment Programme) Land Transport Authority, Samoa Water Authority, METI, Vaisigano community, Kramer Aucesco*; executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to Samoa including the following project sites *Vaisigano, METI project site (Nofaalii, Faleasiu, Sapunaoa and Maninoa), NEOC (CDCRM sites to be confirmed)and YEP (sites to be confirmed)*.

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

3. DETAILED SCOPE OF THE MTR

The MTR team will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

i. Project Strategy

Project design:

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

¹ Sub-national strategies include district/village strategies and a strategy for Apia

² For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

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

Results Framework/Logframe:

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

ii. Progress Towards Results**Progress Towards Outcomes Analysis:**

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

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

Project Strategy	Indicator ⁴	Baseline Level ⁵	Level in 1 st PIR (self-reported)	Midterm Target ⁶	End-of-project Target	Midterm Level & Assessment ⁷	Achieve Rating ⁸
Objective:	Indicator (if applicable):						
Outcome 1:	Indicator 1:						
	Indicator 2:						
Outcome 2:	Indicator 3:						
	Indicator 4:						
	Etc.						
Etc.							

Indicator Assessment Key

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

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

⁴ Populate with data from the Logframe and scorecards

⁵ Populate with data from the Project Document

⁶ If available

⁷ Colour code this column only

⁸ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

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

Finance and co-finance:

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

Project-level Monitoring and Evaluation Systems:

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

Stakeholder Engagement:

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

Reporting:

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

Communications:

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

iv. Sustainability

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

Financial risks to sustainability:

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

Socio-economic risks to sustainability:

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

Institutional Framework and Governance risks to sustainability:

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

Environmental risks to sustainability:

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

Conclusions & Recommendations

The MTR team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.⁹

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

⁹ Alternatively, MTR conclusions may be integrated into the body of the report.

The MTR team should make no more than 15 recommendations total.

Ratings

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

Table. MTR Ratings & Achievement Summary Table for EWACC

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

4. Expected Outcomes and Deliverables:

#	Deliverable	Description	Timing	Responsibilities
1	MTR Inception Report	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission: 23 rd June 2017	MTR team submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTR mission: 21 st July 2017	MTR Team presents to project management and the Commissioning Unit
3	Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft: 18 th August 2017	Sent to the Commissioning Unit

5. Institutional Arrangement:

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is the UNDP Samoa Multi-country office for Cook Islands, Niue, Samoa and Tokelau based in Samoa

The commissioning unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

6. Duration of the Work:

The total duration of the MTR will be approximately 25 *working days* over a time period of 18 weeks starting 31st May 2017, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

COMPLETION DATE	NUMBER OF WORKING DAYS	ACTIVITY
19 th May 2017		Application closes
31 st May 2017		Select MTR Team
31 st May 2017		Prep the MTR Team (handover of Project Documents)
9 th June 2017	4 working days	Document review and preparing MTR Inception Report
23 rd June 2017		Finalization and Validation of MTR Inception Report- latest start of MTR mission
10 th – 21 st July 2017	5 working days	MTR mission: stakeholder meetings, interviews, field visits
21 st July 2017	1 working day	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
4 th August 2017	10 working days	Preparing draft report
18 th August 2017	5 working days	Incorporating audit trail from feedback on draft report/Finalization of MTR report (note: accommodate time delay in dates for circulation and review of the draft report)
1 st September 2017		Preparation & Issue of Management Response
30 th September 2017		Expected date of full MTR completion

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

7. Duty Station:

Home-based with travel to Samoa. It is expected that the consultant will spend 10 (working) days on mission in Samoa.

8. Competencies:

- Demonstrates commitment to the Gov. of Samoa mission, vision and values.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability
- Focuses on result for the client and responds positively to feedback
- Consistently approaches work with energy and a positive, constructive attitude
- Demonstrates openness to change and ability to manage complexities
- Good inter-personal and teamwork skills, networking aptitude, ability to work in multicultural environment

Qualifications of the Successful Contractor:

- Post-graduate degree in environmental/climate science, disaster risk management or other closely related field
- Minimum 8 years of relevant professional experience in climate change adaptation and disaster risk management
- Minimum of 5 years' experience with evaluations, results-based monitoring, and/or evaluation methodologies

- Experience working with the GEF/GEF-LDCF programs and in the targeted focal areas: Climate Change Adaptation
- Experience working in the Pacific region
- Fluency in English (oral and written) is a requirement

Evaluation criteria: 70% Technical, 30% financial combined weight:

Technical Evaluation Criteria (based on the information provided in the CV and the relevant documents must be submitted as evidence to support possession of below required criteria):

- Post-graduate degree in environmental/climate science, disaster risk management, or other closely related field (25%)
- Minimum 8 years of relevant professional experience in climate change adaptation and disaster risk management (30%)
- Minimum of 5 years' experience with evaluations, results-based monitoring, and/or evaluation methodologies (30%)
- Experience working with the GEF/GEF-LDCF programs and in the targeted focal areas: climate change adaptation (5%)
- Experience working in the Pacific region (5%)
- Fluency in English (oral and written) is a requirement (5%)

9. Scope of Bid Price & Schedule of Payments:

DELIVERABLES	DUE DATE (%)	AMOUNT IN USD TO BE PAID AFTER CERTIFICATION BY UNDP OF SATISFACTORY PERFORMANCE OF DELIVERABLES
Upon approval and certification by UNDP/MNRE of the final MTR Inception Report	23 rd June 2017 (20%)	\$xxx
Upon approval and certification by UNDP/MNRE of the draft MTR report	4 th August 2017 (40%)	\$xxx
Upon approval and certification by UNDP/MNRE of the final MTR report	18 th August 2017 (40%)	\$xxx
TOTAL		\$xxx

10. Recommended Presentation of Proposal:

Given below is the recommended format for submitting your proposal. The following headings with the required details are important. Please use the template available (Letter of Offer to complete financial proposal)

CVs with a proposed methodology addressing the elements mentioned under deliverables must be submitted by **10th May 2017** electronically via email: procurement.ws@undp.org. Incomplete applications will not be considered and only candidates for whom there is further interest will be contacted. Proposals must include:

- **CV** or P11 form addressing the evaluation criteria and why you consider yourself the most suitable for this assignment. The selected candidate must submit a signed P11 prior to contract award.
- **3 professional references most recent**
- **A brief methodology** on how you will approach and conduct the work,
- **Financial Proposal** specifying the daily rate and other expenses, if any
- **Letter of interest and availability specifying the available date to start and other details**

Queries about the consultancy can be directed to the UNDP Procurement Unit procurement.ws@undp.org

**ANNEX 2. EWACC MIDTERM REVIEW
MISSION ITINERARY AND PERSONS MET**

18th August – 25th August 2017

TIME/DATE	ACTIVITY	NAME/POSITION	VENUE
Friday 18th August 2017 10.00am – 11.00pm	Ministry of Natural Resources & Environment	Anne Rasmussen- ACEO GEF division Tamati Fau – Project Manager EWACC Luaiufi Aiono – Principal CC Policy Specialist, EWACC	MNRE GEF, Level 3, TATTE Building, Sogi.
11.30pm – 1.30pm	Meeting with UNDP.	Notonegoro – Resident Representative a.i. Anne Trevor-Stanley – EWACC Programme Officer	UNDP MCO
2pm – 4.30pm	EWACC Project	Project Management Unit	EWACC Office, Tamaligi
Monday 21st August 2017 10.00am – 11.00am	Ministry of Women Community and Social Development	Nanai Sovala Agaiava, Mataao Maria Bernard Tiatia	MWCSD
11.30am – 12.30pm	METI	Dr Walter Vermuellen, Aloema Leaupepe – Project Coordinator	METI HQ
3.00pm – 4pm	Ministry of Finance	Lita Lui, ACEO Aid & Debt Coordination LitaraTaulealo ACEO- CRICU	Central Bank Building
Tuesday 22nd August 9am – 10am	EWACC	Project Management Unit	Tamaligi Office
10am – 11am	Site Visit (DMO& Kramer Ausenco)	Vaisigano Segment 1	Vaisigano
11am – 12.00pm	Site visit	Vaisigano Segment 2 &3	Lelata
4pm – 5pm	MWTI	Leilani Galuvao & Leiatuaaloasa Afamasaga	MWTI
Wednesday 23rd August 9.30am – 11.00am	EWACC	Project team	Tamaligi Office
11.00 -12.00	Meet with WRD ACEO	Asuao Malakilakopo, Fata Eti, Pauline Pogi	TATTE level 3
2.00pm -3.00pm	Meet with ACEO – DMO	Muliagatele Filomena Nelson, Lepale Aussie	TATTE level 3
3.20pm – 4.30pm	Site Visit	Lepale Aussie Simanu	CDCRM- NEOC, Tuanaimato
Thursday 24th August			
9.00am -2.00pm	Site Visit to METI sites	(Lealalii, Sapulu, Nofoalii, Maninoa, -Upolu)	
3.00pm- 4.00pm	Meet with LTA	TitiTutuvanuSchwalger (Manager-Project Management Division)	LTA- Vaitele
Friday 25th August			
9.00am	Mission debrief with UNDP	Anne Trevor, UNDP Programme Officer Yvette Kerslake	UNDP MCO – MatautuUta
10.00am	Mission Wrap- up	CEO MNRE/GEF OFP: Mr. Ulu Bismarck, MNRE/PMU, UNDP	CEO Office

Annex 3 Summarized Review Plan

Date	Activity
03.08	Signing of contract
04.08-07.08	Study of documents and presentation of draft Inception Report
08.08-17.08	Study of information and adjustment of Inception Report according to comments
18-25.08	Mission program in Samoa (see Annex 2)
26.08-06.09	Work with draft Mid-term Review Report
06.09	Delivery of draft Mid-term Review Report
07.09-05.10	UNDP review of draft report and presentation of comments
06-16.10	Adaptation of draft report and finalization of Mid-term Review Report
17.10	Delivery of Mid-term Review Report

Annex 4. Evaluation Matrix

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
Is the project coherent with country priorities?	Coherence of project design with national priorities for CCA	<ul style="list-style-type: none"> Project Document Results Framework Evaluation of project design Interviews with UNDP TM and MNRE/PMU 	Review of coherence of project design compared with national priorities for CCA
Is the project relevant to the GEF CC Focal Area?	Relevance to the GEF CC Focal Area	<ul style="list-style-type: none"> Project Document Results Framework Evaluation of project design GEF policies and strategies CEO Endorsement documents GEF STAP Reviews Interviews with UNDP TM, PMU, GEF CEO and ACEO 	Review of relevance of the project outcome and impacts compared with the GEF CC Focal Area priorities
Is the project addressing the needs of target beneficiaries?	Needs of target beneficiaries compared with project activities and results	<ul style="list-style-type: none"> Project Document Results Framework Evaluation of project design Interviews with government agencies, partners and beneficiaries 	Review of the needs of target beneficiaries compared with planned project activities and expected results
Is the project strategy the best route towards expected results?	Strategy reflected in results framework	<ul style="list-style-type: none"> Project Document Results Framework Evaluation of project design 	Review of the quality of project design as strategy towards results
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Has the project been effective in achieving the expected outcomes and objectives?	Effectiveness in achieving the expected outcomes and objectives	<ul style="list-style-type: none"> Project Document Results Framework QPRs PIRs M&E system Interviews with UNDP TM and PMU 	Compare the outputs and outcomes achieved with expected results at mid term
How is the risk and risk mitigation being managed?	Risk mitigation carried out based on defined risks	<ul style="list-style-type: none"> Project Document Results Framework Risk Matrix Interviews with UNDP TM and PMU 	Review of risk monitoring and mitigation carried out compared with risk matrix
What lessons can be drawn regarding the effectiveness for other similar projects in the future?	Effectiveness for each component and lessons learned of these for future projects	<ul style="list-style-type: none"> Project Document Results Framework AWP QPRs PIRs M&E system Interviews with UNDP TM, PMU, project partner organizations and beneficiaries 	Review of effectiveness and impacts for each component, and drawing lessons learned of these for design of future projects
To what extent have/will the expected outcomes and objectives of the project been/be achieved?	Compliance with expected outcomes (%) and objectives (Consultant review) during the implementation period	<ul style="list-style-type: none"> Project Document Results Framework AWP QPRs PIRs 	Review of compliance with expected outputs and outcomes so far in relation with

		<ul style="list-style-type: none"> • M&E system • Interviews with UNDP TM, PMU, and project partner organizations and beneficiaries 	total implementation period
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Was project support provided in an efficient way?	Project support provided (TA, funds, etc.), and compliance with plans	<ul style="list-style-type: none"> • Project Document • Results Framework • AWP • QPRs • PIRs • Procurement plans and documents • M&E system • Interviews with UNDP TM, MNRE/PMU and project partners 	Review of project support provided and compliance with results framework, work plans and procurement plans
Did the project efficiently utilize local capacity in implementation?	Efficiency in use of national and local capacity during project implementation	<ul style="list-style-type: none"> • Project Document • Results Framework • AWP • QPRs • PIRs • M&E system • Interviews with UNDP TM, MNRE/PMU, project partners and firms 	Review of efficiency in use of national and local capacity during project implementation
Was the project implemented efficiently, in line with international and regional norms and standards?	Efficiency of project implementation (relation inputs-outputs) as compared with international and regional norms and standards	<ul style="list-style-type: none"> • Project Document • Results Framework • AWP • QPRs • PIRs • M&E system • Project reports • Interviews with UNDP TM, MNRE/PMU and project partners 	Review of efficiency of project implementation and compliance with international and regional norms and standards
Has the project been implemented cost-efficiently?	Cost/benefit of project investments	<ul style="list-style-type: none"> • Project Document • Results Framework • AWP • QPRs • PIRs • M&E system • Project reports • Interviews with UNDP TM, MNRE/PMU and project partners 	Review of costs and benefits of project investments
Has the project's M&E and reporting supported project implementation?	Efficiency of project M&E and reporting	<ul style="list-style-type: none"> • Project Document • Results Framework • AWP • QPRs • PIRs • M&E system • Project reports • Interviews with UNDP TM, MNRE/PMU and project partners 	Review of efficiency of the project's M&E and reporting
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

Are there sufficient government and other key stakeholder awareness, interests and commitment for the project outcomes?	Degree of awareness, interest and commitment for the project outcomes	<ul style="list-style-type: none"> • Project Document • AWP • QPRs • PIRs • Interviews with UNDP TM, MNRE, MoF and other ministries 	Review of awareness, interest and commitment for the project outcomes
Are there any social or political factors that may influence positively or negatively the sustainability of project results and progress towards impacts?	Definition of social and political factors that may impact the process from outcomes to impacts, positively (drivers) or negatively (risks)	<ul style="list-style-type: none"> • Project Document • Results Framework • AWP • QPRs • PIRs • M&E system • Interviews with UNDP TM, MNRE/PMU and project partners 	Definition and review of social and political factors that may impact the process from outcomes to impacts, including risks considered in ProDoc and QPRs
What is the degree of political support for the results of the project, and is it expected to last (or increase) beyond the project period?	Support for the results of the project expressed on political level	<ul style="list-style-type: none"> • Project Document • Results Framework • AWP • QPRs • PIRs • M&E system • Interviews with UNDP TM, MNRE, MoF and other ministries 	Review of political support for the results of the project expressed by ministry representatives
Are local villages, rural organizations, women and youth integrated in the project implementation?	Participation of villages, rural organizations, women and youth in the project activities	<ul style="list-style-type: none"> • Project Document • Results Framework • AWP • QPRs • PIRs • M&E system • Interviews with UNDP TM, PMU, project partners and local beneficiaries 	Review of the participation of villages, rural organizations, women and youth in the project activities, including consultation with project partners
Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained?	Degree of ownership felt by main stakeholder groups	<ul style="list-style-type: none"> • Project Document • Results Framework • AWP • QPRs • PIRs • M&E system • Interviews with UNDP TM, MNRE/PMU, project partners and local beneficiaries 	Review the degree of ownership by main stakeholder groups on national and local level
Is there expectation for financial sustainability of project results after implementation?	Sources of funding for project results and maintenance after implementation	<ul style="list-style-type: none"> • Project Document • Results Framework • AWP • QPRs • PIRs • M&E system • Interviews with UNDP TM, MNRE/PMU, MoF and other project partners 	Define sources and expected volume of funding for continuing support to the project results and maintenance after implementation period

Annex 5. Example Questionnaire for data collection:**EVALUATION QUESTIONS FOR GOVERNMENT AND PUBLIC STAKEHOLDERS**

(not all questions used in all meetings; the questions used depended on the institution, situation and available time)

Name:**Institution:****Role/title:****Gender (F/M):**

Evaluation questions	Indicators / Criteria	Sources of information
Strategic relevance		
Are the objectives and outcomes of the project consistent with the policies and priorities of the Government?	<ul style="list-style-type: none"> Consistency of project objectives with policies and priorities of the pilot countries Answer:	Yes <input type="checkbox"/> NO <input type="checkbox"/> Partly <input type="checkbox"/> N/A <input type="checkbox"/>
What was the value added of UNDP's and GEF's involvement in this project (additional to funding) in light of the organisations thematic and political strengths?	<ul style="list-style-type: none"> Value added of UNDP and GEF involvement UNDP: High <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> ? <input type="checkbox"/>	GEF: High <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> ? <input type="checkbox"/>
Is the project design still appropriate, considering the current perspective of UNDP, GEF, government and partners?	<ul style="list-style-type: none"> Project appropriateness at the time of MTR, in the perspective of different stakeholders Answer:	Yes <input type="checkbox"/> NO <input type="checkbox"/> Partly <input type="checkbox"/> N/A <input type="checkbox"/>

Quality of Project Design	
Stakeholder participation	
Did the government or public institutions participate in the design phase of the project and did their involvement influence on the project design?	<ul style="list-style-type: none"> Main public stakeholders participating in the design phase: <div style="display: flex; justify-content: space-between;"> <div> Institutions </div> <div> Roles: </div> </div> <div style="text-align: right;"> Yes <input type="checkbox"/> NO <input type="checkbox"/> Partly <input type="checkbox"/> ? <input type="checkbox"/> </div>
Are the stakeholder roles in the project clearly defined?	<ul style="list-style-type: none"> Documented stakeholder roles
To what extent did Governments and public agencies promise political, technical or financial support to the project before its approval?	<ul style="list-style-type: none"> US\$ documented co-financing from public agencies: Co-financing and other support from other agencies: Comments:
Monitoring & Evaluation System in project design	
To what extent did the Executing Agency (MNRE) engage other Government and public institutions in the design and implementation of the monitoring system?	<ul style="list-style-type: none"> Number of partner organizations that participated in the design of the M&E system: Their roles during design and implementation of the M&E system:

<p>Were there adequate provisions to assure that project partners in the public sector fully collaborate in evaluations?</p>	<p style="text-align: right;">Adequate provisions: Yes <input type="checkbox"/> NO <input type="checkbox"/> Partly <input type="checkbox"/> ? <input type="checkbox"/></p> <p>Comments:</p>
<p>Safeguards</p>	
<p>Were the partnership arrangements properly identified, and the roles and responsibilities negotiated and agreed with the Government and other national public partners prior to project implementation?</p>	<p>Number of national partners where their roles and responsibilities had been clearly defined and formally agreed with them before project start:</p> <p>Comments:</p>
<p>What coordination mechanisms were in place before implementation started?</p>	<p>Number of agencies where mechanisms of coordination had been agreed and established before start of implementation:</p> <p>Comments:</p>
<p>Nature of External Context</p>	
<p>Has the external context affected the project results positively or negatively (and if so, for which issues?)</p>	<p>List of major factors where the external context affecting the project results has changed after project approval:</p>

Effectiveness	
Are the project outputs of the required quality, considering the satisfaction of stakeholders with products and services?	<ul style="list-style-type: none"> • Review of quality of outputs • Consultation on stakeholder satisfaction with output quality
Which factors have defined success or affected achievements of outputs and outcomes?	<ul style="list-style-type: none"> • List of factors affecting positively or negatively the degree of success of outputs and outcomes
Has the financing been justified, considering other projects in the area of CCA and comparable projects in the region?	<ul style="list-style-type: none"> • Comparison with content of relevant projects
Have there been any changes in main partners or pilot areas that have affected effectiveness, and what were the reasons for these changes?	Changes that have affected effectiveness of outputs and outcomes, and their reasons
Were outputs and other benefits accessible to all the relevant stakeholder groups?	List of major stakeholder groups with their respective access to outputs and other project benefits

Have desired outcomes and impacts affected all stakeholder groups (and if not, why)?	List of the major stakeholder groups and for each group how they have been affected positively or negatively by the outcomes and impacts of the project
Have there been efficient participatory processes throughout the project and increased knowledge among stakeholders regarding the project topics?	<ul style="list-style-type: none"> • Participatory processes carried out during the project implementation and their efficiency, considering participation, results and appropriation • Increased knowledge of project topics (result of stakeholder consultation)
What has been the effect on MNRE's institutional capacity and its use of knowledge, products and expertise generated through the project?	<ul style="list-style-type: none"> • Project effect on MNRE's capacity • Knowledge, products and expertise generated through the project that is used by MNRE (in the service to partners/target groups)
Have there been any positive or negative, primary or secondary, long-term impacts produced by the project, directly or indirectly, intended or unintended (with particular reference to the environment and the most vulnerable groups)?	Impacts on the environment and vulnerable groups produced by the project
Project Management	
Project coordination and supervision	
To what extent have the project implementation mechanisms outlined in the project document been followed, and were they effective in delivering project outputs and outcomes?	<ul style="list-style-type: none"> • Degree of compliance with ProDoc's implementation mechanisms • Effectiveness of the implementation mechanisms in delivering outputs and outcomes

Has there been any operational, institutional or political problems that influenced the effective implementation of the project, and how did the project management try to overcome these problems?	<ul style="list-style-type: none"> • Operational, institutional and political problems detected • Influence of these problems in the project performance before problem was solved • Decisions taken to solve the problems
Has the project made full use of opportunities for collaboration with other projects and programmes?	<ul style="list-style-type: none"> • Number of projects and programmes that the projects collaborates with • Characteristics and value added from these projects and programmes
Have geographic or thematic complementarities been sought, synergies been optimized and duplications avoided?	<ul style="list-style-type: none"> • List of geographic and thematic complementarities sought between the project and other stakeholders/projects • Synergies obtained based on these efforts • Duplications detected (maintained or avoided)
What was the effectiveness of collaboration and interactions between the various project partners and stakeholders during implementation of the project?	<ul style="list-style-type: none"> • Effectiveness of project outputs and outcomes achieved based on interactions with project partners and main stakeholders
To what extent has the project used opportunities for joint activities, pooling of resources or common training activities/seminars with other organizations and networks?	<ul style="list-style-type: none"> • List of joint activities carried out with other organizations and networks (on regional and national levels)

How useful are partnership mechanisms and initiatives to build stronger coherence and efficiency between participating organisations?	<ul style="list-style-type: none"> Results achieved from partnership mechanisms
Financial management	
Awareness raising and public information	
What has been the effectiveness of the project's public awareness activities to communicate objectives, progress, results and lessons learned?	<ul style="list-style-type: none"> Effectiveness of project's public awareness campaigns, measured through the different stakeholder groups' knowledge about the project objectives, results and lessons
Did the project identify and make use of existing communication channels and networks of the MNRE, and partner agencies?	<ul style="list-style-type: none"> Project's use of MNRE's and partners' communication channels that existed before project approval
Did the project provide feedback channels?	<ul style="list-style-type: none"> Which channels exist for stakeholder feedback or grievance, and have they been used?
Monitoring, Evaluation and Reporting	
To what extent did the project engage key stakeholders (identified in the project document) in the implementation of monitoring and reporting, and what were their roles?	<ul style="list-style-type: none"> Stakeholders participating in monitoring and reporting, and their roles
If any main stakeholder groups did not participate in the project monitoring, what was the reason for this?	<ul style="list-style-type: none"> Stakeholder groups not participating in the monitoring, and reasons for this

Sustainability	
Social and Socio-political Sustainability	
What is the degree of political support for the results of the project, and is it expected to last (or increase) beyond the project period?	<ul style="list-style-type: none"> • Support for the results of the project expressed on political level
Are there any social or political factors that may influence positively or negatively the sustainability of project results and progress towards impacts?	<ul style="list-style-type: none"> • Definition of social and political factors that may impact the process from outcomes to impacts, positively (drivers) or negatively (risks)
Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives for CCA and DRM?	<ul style="list-style-type: none"> • Degree of awareness, interest, commitment and incentives for CCA and DRM
Has the project's training and capacity building activities resulted in improved capacity for key stakeholders?	<ul style="list-style-type: none"> • Knowledge and capacity on CCA and DRM among key stakeholders at the time of the MTR compared with the Project start
To what degree did main participating partners change their policies or practices during the implementation, thereby leading to the fulfilment of Human Rights, Indigenous peoples empowerment and Gender Equality principles?	<ul style="list-style-type: none"> • Degree of change of policies and practices on Human Rights, Indigenous peoples empowerment and Gender Equality among main partners during implementation (and mention of type of changes that occurred)

Has the project contributed to policy changes, (formally approved and/or in practice)?	<ul style="list-style-type: none"> Project contributions to formal and informal policy changes
Environmental Sustainability	
Have any EIA's, environmental assessments, or environmental screening reports of the project been carried out, and if so what were the results?	<ul style="list-style-type: none"> Results of EIA's, environmental assessments, or environmental screening reports
Are there any project outputs or higher-level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?	<ul style="list-style-type: none"> Project outputs or outcomes that may affect the environment (positively or negatively)
Are there any foreseeable negative environmental impacts that may occur, as the project results are being up-scaled?	<ul style="list-style-type: none"> Foreseeable negative environmental impacts as results of up-scaling of the project results
Institutional Sustainability	
What is the degree of participation and ownership of MNRE and other partner organisations in the project implementation process?	<ul style="list-style-type: none"> MNRE's and partner organizations' degree of participation and ownership of the project implementation process

What is the capacity of MNRE and other partner organisations to continue the activities and progress of appropriation and maintenance?	<ul style="list-style-type: none"> • Institutional capacity of MNRE and partners to continue and maintain the project activities
To what extent is the sustainability of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance?	<ul style="list-style-type: none"> • Institutional frameworks and governance of MNRE and main partners to progress towards sustainable impacts based on project outcomes
How robust are the institutional achievements such as governance structures and processes, policies, agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and the environment?	<ul style="list-style-type: none"> • Institutional achievements as result of the project that would impact on human behaviour and the environment
To what degree did the main government and public sector agencies participate or collaborate with the project?	<ul style="list-style-type: none"> • Degree of public sector participation or collaboration with the project
How and how well did the project achieve country ownership of project outputs and outcomes?	<ul style="list-style-type: none"> • Strength of country ownership of project outputs and outcomes
To what extent has the Government and public institutions assumed responsibility for the project results, providing adequate support during project implementation?	<ul style="list-style-type: none"> • Financial, technical and political support from the public sector to project implementation

Has the project so far contributed to long-term institutional changes, e.g. uptake of project-demonstrated tools, practices or management approaches?	<ul style="list-style-type: none"> Long-term institutional changes as a result of project contribution
Economic-financial Sustainability	
What is the likelihood that adequate financial resources would become available to use capacities built by the project?	<ul style="list-style-type: none"> Likelihood of adequate financial resources being available to use capacities built by the project
Has the project contributed to sustained follow-on financing from the government, private sector, donors etc.?	<ul style="list-style-type: none"> Sustainable financing for scaling up of project activities
Replication and scaling up	
What are the factors that may influence replication and scaling up of project results and lessons learned?	<ul style="list-style-type: none"> Factors that may influence replication and scaling up of results and lessons learned from the project implementation
Has replication partly occurred already, or is likely to occur in the near future?	<ul style="list-style-type: none"> Examples of replication of project results that have already occurred or would occur soon
Is the project expected to play a catalytic role in terms of use and application of tools and methods produced, and capacities developed?	<ul style="list-style-type: none"> Examples of the project's catalytic role through the use of tools, methods and capacities developed

Coordination, Coherence and Complementarity	
What is the degree of ownership of the knowledge and tools developed and disseminated through the project (considering geographic, thematic and institutional differences)?	<ul style="list-style-type: none"> Degree of ownership of knowledge and tools developed through the project, by geographic areas, topic and partner agency
Has MNRE and other participating actors so far been empowered through the knowledge and tools they have obtained through the project?	<ul style="list-style-type: none"> Degree of empowerment of MNRE and other actors through knowledge and tools obtained through the project
Did the collaborative structure of many organizations in the project strengthen the project implementation and results?	<ul style="list-style-type: none"> Areas of strengthened project results due to collaboration with partner organizations
Are there examples of lack of coordination that has affected the implementation performance?	<ul style="list-style-type: none"> Examples of lack of coordination that has affected the project implementation performance

Annex 6. Ratings Scales

<i>Ratings for Effectiveness, Efficiency, Overall Project Outcome Rating, M&E, IA & EA Execution</i>	<i>Sustainability ratings</i>	<i>Relevance ratings</i>
6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS): moderate shortcomings 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major shortcomings 1: Highly Unsatisfactory (HU): severe shortcomings	4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	2. Relevant (R) 1. Not relevant (NR)
<i>Additional ratings where relevant:</i> Not Applicable (N/A) Unable to Assess (U/A)		

Annex 7. List of documents reviewed

Type of information
EWACC MTR TOR
EWACC Project document
Total budget and Work Plan
Project Identification Form (PIF)
GEFSEC Notification letter
GEFSEC Review Sheet
GEF CEO Endorsement document with annexes: A. Project Results Framework B. Responses to GEF Project Reviews C. Status of implementation of project preparation activities and the use of funds
UNDP Development Assistance Framework (UNDAF)
M&E Framework for EWACC Project (Excel)
EWACC Tracking Tool
PIR Report 2015
PIR Report 2016
Annual Work Plans (AWP) 2015
Annual Work Plans (AWP) 2016
Annual Work Plans (AWP) 2017
Revised AWP 25.08.2017
Combined delivery report (CDR) 2015
Combined delivery report (CDR) 2016
Quarterly Progress Reports (QPRs) and quarterly Financial Reports (FRs): 2015: Quarter 3 and 4 2016: Quarter 1, 2, 3 and 4 2017: Quarter 1 and 2
Updated Financial statement and commitments 25.08.2017
Financial project report 2016
Report of factual findings MNRE Dec. 2016 (Audit)
GEF focal area Tracking Tool
Information material and data from implementing partners (METI, NEOC)
Integrated Watershed Management Plan with 8 annexes
Updated Building Code
Document with house models based on new building code
Kramer Ausenco original contract
Pernix Map Limited contract
National laws and policies (Internet)
Products: Studies and consultant reports, communication products, printed and audio-visual information, and knowledge products

Annex 8. Signed UNEG Code of Conduct for Evaluators/Midterm Review Consultants¹⁰

ToR ANNEX D:

Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

MTR Consultant Agreement Form

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

Name of Consultant:

Trond Norheim

Name of Consultancy Organization (where relevant):

N/A

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

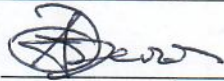

Signed at _____ Oslo, Norway _____ (Place) on ____ August 3rd,
2017 _____ (Date)

Signature: _____

¹⁰ <http://www.unevaluation.org/document/detail/100>

Annex 9. Signed MTR Report Clearance Form

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

Midterm Review Report Reviewed and Cleared By:**Commissioning Unit**Name: Anne Trevor-StanleySignature:  Date: 20/11/17**UNDP-GEF Regional Technical Advisor**Name: Reis Lopez RelloSignature:  Date: 20/11/17

Audit Trail

The following comments were provided to the draft MTR report; the MTR evaluator's response and actions taken are summarized in the rightmost column:

Author	Comment location	Comment/Feedback on the draft MTR report	MTR Evaluator response and actions taken
AT/TF	Table of content	To adjust	Adjusted
AT	Cover photo title	To correct title	Title corrected
AT	Abbreviations	NGO = Non-Governmental Organizations	Spelling corrected
AT	Page iv	3 orthographic corrections	Corrected (spelled "mid-term" in whole doc.)
AT	Ratings table (pg. viii)	National building code and standard plans are under Outcome 1	Moved from Outcome 2 to 1
AT	5.4.4 (Staff training)	Training opportunities in communications and postgrad cert in R2R through James Cook Uni. were offered to the project team but was not taken up. Project management training has been provided through UNDP	Information included in report text
AT	5.4.4 (South-south cooperation)	2 PMU staff experienced in P3D modelling provided training in P3D modelling to the SRIC-CC and R2R projects in Cook Islands and the R2R project in Niue	Information included in text
AT	5.4.4 (South-south cooperation)	The EWACC project is the R2R project for Samoa. Please clarify this statement	Text clarified
TF	Executive summary par. 3	The establishment of the TAG to discuss issues and challenges as mentioned are work in progress to align interventions from different stakeholders under the project to share information and impacts. 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.	Information included in text
TF	Executive summary par. 6	An outline of the NCCAS has been formulated; however, linkage and formulating a national roadmap to NAP seems the prioritized strategy for CC adaptation at this stage hence; formulating of the NAP would be developed before the end of the project. The village disaster management plans had been on hold because of the cost involved, however; the cost of construction of the wall is known; therefore; the CDCRM can be rolled out again to cover the identified villages before the end of the project.	Information included in text
TF	Executive summary par. 9	The open category to these vulnerable age groups are the target for the economic and community development sector which plans to train and nurture youth entrepreneurship supported by private sector in terms of green jobs and niche markets creation for availability of market to these inspiring entrepreneurs.	Text not changed. Broader argumentation is given in 5.4.2: Social Sustainability
TF	Executive summary par. 10	This is a monitoring role from the project team and will improve by recording interventions and the rating of impact from the intervention if there has been a change from the baseline till intervention implementation.	Text added: PMU is also rating impact of the interventions compared with baseline, but cannot completely carry out this task on behalf of the partner organizations.
TF	Executive summary par. 12	This is currently implemented with the development framework of GCF work in which key developments from the EWACC project are upscaled in the GCF proposal.	Topic of up-scaling is included in the recommendations table
TF	Ratings table	Perhaps another column to identify improvements needed to reverse rating before terminal evaluation of project and at the same time measure success against baselines towards achieving project targets.	Not changed since standard table format was used
TF	Ratings table	Beneficiaries are those involved in the water sector inclusive of government officials, SOE's, civil society, private sector.	Data on beneficiaries included in the table
TF	Ratings table	There had been consultations done and is included in the dropbox from MWCSO if this is beneficiaries	Persons only consulted are not considered beneficiaries, however text adjusted with "potential for..."

Midterm Review 2017 – AUDIT TRAIL

Economy-wide Integration of Climate Change Adaptation and Disaster Risk Management to Climate Vulnerability of Communities in Samoa" (EWACC), UNDP PIMS 5264, GEF Project ID 5417

TF	5.4.4.	All staff of PMU were recruited under the government recruitment and selection process. The benefits for this project is that the staff recruited have experienced from the previous projects they had worked with before	Additional information included, that all staff was recruited under the government recruitment and selection process
TF	6.1 Conclusions (no. 7)	GIS user friendly manual produced under the project	This product was included in the text
TF	6.1 Conclusions (no.10)	Also community work under the GEF; e.g. small grant or SGP and SMSMCL project taking the lead in these environmental	GEF small grants programme mentioned
TF	6.2 Recommendations (new no. 14)	PES activities carried out as one of the key activities under the SMSMCL project under the Ministry which looks at soft solutions in the upper catchment of Vaisigano	Text not changed since the comment is not contradictory to the recommendation
RL	Cover page	Add the PIMS ID and GEF ID	Added
RL	Executive summary	The following is missing: Concise summary of conclusions; Recommendation summary table	Conclusions summarized in one paragraph; Recommendations table included
RL	1.1 Purpose and scope of the evaluation	Change the title of this section to "Purpose and Scope of the Review" since the MTR is not an evaluation. Change any reference to "evaluation" to "review", where it makes sense.	"Evaluation" is changed to "review" any place in the report where it makes sense.
RL	5.2 Progress towards Results	Page 13 mentions "information from the GEF Tracking Tool at the Baseline has been compared with the information completed right before the Midterm Review." However, there are no recommendations for the completion of the GEF Tracking Tool at project closure. In Table 6, there should be one more column on the very right titled 'Justification for Rating'	The "information completed right before MTR" referred to in the draft report was extracted from QPR 2 nd quarter 2017 and additional information, since the Consultant had not received any updated GEF-CCA Tracking Tool. This file has now been received and recommendations are included in the text. Additional column is included in table 6.
RL	5.3 Project Implementation and Adaptive Management	There is a short paragraph about UNDP's support to the project on page 21. This could be expanded to include discussion on: appropriate focus on results, quality and timeliness of technical support to the Executing Agency and Project Team, candour and realism in reporting, quality of risk management, responsiveness, significant implementation problems (if any), adequate mitigation and management of risks. These issues should also be discussed for the Executing Agency/Implementing Partner.	See new broad text in the end of 5.3.2. The strengths and weaknesses of the Executing Agency and partners are dealt with in other parts of the report.
RL	5.3	Stakeholder engagement: Stakeholders are mentioned in other parts of the report, however, in this section it would be good to cover the following: has the project leveraged the necessary and appropriate partnerships with stakeholders?, do local and national stakeholders support the project objectives and have an active role in the project decision-making?, how has stakeholder involvement and public awareness contributed to the progress towards achievement of the project objective?	See new text 5.3.3
RL	5.3	Reporting: assess how adaptive management changes have been reported by the Project Team and shared with the Board, have there been PIRs with poor ratings and if so how is the Project Team and partners addressing this?; assess how PIRs have been shared with the Board and other stakeholders, assess how lessons derived from the adaptive management process have been documented	See new text 5.3.4 and table 8
RL	5.3	Communications: Is communication with stakeholders regular and effective?, are there any stakeholders left out of communication and if so, why?, are there feedback mechanisms when communication is received?, does communication contribute to stakeholders' awareness of project outcomes?; have external communications or any kind of outreach been established? Are there plans for educational or awareness activities?	See new text 5.3.5

RL	5.4 Sustainability	Financial risks to sustainability: what is the likelihood of financial resources not being available after GEF assistance ends? What opportunities for financial sustainability exist? What additional factors are needed to create an enabling environment for continued financing? Has there been the establishment of financial and economic instruments and mechanisms to ensure the on-going flow of benefits once the GEF assistance ends?	Text is not changed. The issues are covered under 5.4.5 Socioeconomic and financial sustainability.
RL	Recommendations	For each recommendation, include suggestions for who should be responsible for carrying out each recommendation	Included in 6.2 and the Recommendations summary table (end of Executive summary)
RL	Recommendations	The Progress Toward Results Matrix showed two indicators in red ("not on target to be achieved"). It would be useful if there were recommendations on actions to be taken for these indicators to get back on track.	See new recommendations 4-5, and more details in text 5.2.2.
RL	Annexes	Add the list of Annexes to the Table of Contents. The Annexes should include the following documents. (a few of these are already part of the report): MTR ToR; MTR evaluative matrix; Example Questionnaire or Interview Guide used for data collection; Ratings Scales; MTR mission itinerary; List of persons interviewed; List of documents reviewed; Co-financing table (if not previously included in the body of the report); Signed UNEG Code of Conduct form; Signed MTR final report clearance form.	List of annexes included in the end of Table of Contents. All annexes included except co-financing table, which is part of the report text.
RL	<i>Annexed in separate files</i>	Audit trail from received comments on draft MTR report; Relevant midterm tracking tools	Audit trail: this document; EWACC tracking tool attached
LA	Abbreviations	DAC = Development Advisory Committee (of OECD)	Not corrected. <i>Development Assistance Committee</i> is correct
LA	Abbreviations	NAP = National Adaptation Plans	Not corrected. The document is using NAP as abbreviation of <i>National Adaptation Policy</i> . On the other hand, NAPA = National Adaptation Plans of Action
AR	Page 8 (top of page)	Project recognizes that risks tend to evolve throughout the implementation phase of the Project and hence it is for PMU to identify and update as it progresses	The Consultant's comment that "risk analysis in the Project document is not good" is being maintained, since it refers to ProDoc and therefore is not contradictory to the comment.
AR	Page 8	All of the interventions are climate resilience and informed through sound science and technical research and advice	No change made. The comment is complementary information but don't require change of comment on risk analysis.
AR	Page 9	During the PPG/ PIF stages for EWACC, ICCRIFS was in its early stages of implementation. Hence all lessons learnt and documented later were sure to be incorporated where appropriate not only in EWACC but also for other on-going similar GEF/ CC Projects.	Adjusted text: The Project Document is lacking reference to lessons from previous projects. Lessons learned from the UNDP-GEF-LDCF project ICCRIFS were not incorporated because that project was in its early stages of implementation during the PPG/PIF of EWACC.
AR	Page 9	Original text: "Community consultations on the project design were however not carried out previous to project approval ...". Comment: This statement is inaccurate as the communities were thoroughly consulted throughout the whole process even through the PDNA – Post Disaster National Assessment period. The communities were also engaged prior to project implementation, inception phase and even to date with major works undertaken to gauge their support and community ownership and buy in of the project.	Adjusted text: It is however not reflected in the Project Document that community consultations on the project design were carried out previous to project approval ... (<i>this change also led to changed order of sentences within the same paragraph</i>)
AR	Page 12	MWCSO. Comment: There were also Consultation conducted with the YEP programme in Upolu	This additional information was incorporated
AR	Page 14 Output 1.1.2	Rather than political reasons, it is due to processes and procedures and also an attributing factor would be the recent Institutional Review and Recommendations, which has a major cause and effect on this. Hence the Project acknowledges the importance of formulation of a National CCA Strategy and will secure assistance and available resources to see this through.	Adjusted text: The problem here is not lack of efficiency, but processes, procedures, and a recent institutional review outside PMU's control.

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	Page 14 Output 2.2.1	Project acknowledges this and although not visual on paper was and is working towards this resolution especially with realignment of work plan and activities such as the Revetment Wall to reallocate funding as well as parallel funding sources to implement this.	Complementary information incorporated: "The project is working towards a resolution, realigning work plan and activities, and seeking parallel funding sources".
AR	Page 23, paragraph: "	"The decision-making process for the project is transparent..." Comments: (i) PM is already given the delegated authority to manage and deliver on a daily basis the expected Project targets, however with occurrences on issues PM is unable to address the Deputy Project Director and other ACEOS have intervened. (ii) Quarterly reporting is to meet requirements of Implementing Agency (UNDP) hence preparations of QWP, Face Forms, ICE Forms etc. Project also acknowledges bi annual reporting such to align as well to other IA requirements.	(i) Complementary information included: Even though PM is given the authority to deliver expected project targets on a daily basis, a possible area of improvement would be... (ii) This information has been confirmed with UNDP and the text adjusted accordingly.
AR	5.3.6 (page 26)	As this reporting per semester is frequently highlighted, Project highly anticipates an Outcome to this recommendation	See answer (ii) to previous comment. Text is adjusted accordingly.
AR	Page 31-32 (Staff training)	Project recognizes the importance of not only facilitating capacity building but also to be recipients of relevant training/ capacity building in areas where needed. The 2 stated trainings were not taken by project staff at the time due to pressing commitments and deliverables to be met. Since then PMU Staff have been able to attend different trainings pertaining to assist in their professional development and also in delivering of Project Outcomes.	Complementary information included. Adjusted sentence: Training opportunities in communications and postgrad certificate in R2R through James Cook University were offered to the project team but not taken up at the time due to pressing commitments and deliverables to be met.
AR	5.4.5 page 33	PES is addressed through SMSMCL which is another GEF funded Project and also implementing works in the higher areas of the Vaisigano Catchment (soft solutions)	The text was not changed. The point raised by the Consultant is not a critic of lack of PES in EWACC, but to highlight the opportunity of PES payments from Sheraton.
AR	Conclusion 4	Every intent was taken to ensure project design was and is logical with resilience plans and in line with national SDS, the PDNA. The Components were designed to be in line with Sector Plans. From CCA perspective efforts are in place to identify synergies and alignment of activities to avoid overlap and duplication which are best presented during TAG as well as through PMU M&E.	This conclusion is in line with the analysis made by the Consultant in the MTR report, with arguments given in 5.1.1. It is important to highlight that it is not a critic of the Government since the whole chain of decision-makers incl. UNDP and GEP was in charge of this design, and the Consultant hope that the review would improve logic of future UNDP-GEF project designs in different countries.
AR	Recommendation 11	All interventions and implemented activities consider all genders are accounted for. Although terminologies utilized may not sufficiently capture or reflect this within the reporting, tracking and M & E	Comment is not contradictory to report content and recommendation.
AT: Anne Trevor-Stanley (UNDP Task Manager); AR: Anne Rasmussen (Samoa Gov. ACEO); LA: Luaiufi Aiono (Samoa Gov.); RL: Reis Lopez Rello (UNDP CCA Specialist); TF: Tamati Fau (MNRE Project Manager)			