



## ***“Strengthening Community Resilience to Climate-induced disasters in the Dili to Ainaro Road Development Corridor, Timor-Leste (DARDC)”***

### ***Timor-Leste***



## **Mid-Term Review Report**

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<b>Implementing Partner:</b>	National Disaster Management Directorate (NDMD) under the Ministry of Social Solidarity (MSS) and the Directorate for Forestry under the Ministry of Agriculture and Fisheries (MAF)		
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## List of Abbreviations and Acronyms

AMAT	Adaptation and Monitoring Tool
APR	Annual Progress Report
AWP	Annual Work Plan
BCDRP	Building Climate and Disaster Resilience in Communities
CAP	Community Action Plan
CBDRM	Capacity Building Disaster Risk Management
CCA	Climate Change Adaptation
CCCB	Center for Climate Change and Biodiversity
CDR	Combined Delivery Report
CTA	Chief Technical Advisor
CVCA	Community Vulnerability Capacity Assessment
DARDC	Dili to Ainaro Road Development Corridor
DDMC	District Disaster Management Committee
DIM	Direct Implementation Modality
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EWS	Early Warning System
GEF	Global Environment Facility
GIS	Geographical Information System
GoTL	Government of Timor-Leste
HFA	Hyogo Framework for Action
INAP	National Administration Public Institute
LDCF	Least Developed Countries Fund
LOA	Letter Of Agreement
MAF	Ministry of Agriculture and Forestry
MCIE	Ministry of Commerce, Industry and Environment
MDMC	Municipal Disaster Management Committee
M&E	Monitoring and Evaluation
MoF	Ministry of Finance
MOU	Memorandum Of Understanding
MPW	Ministry of Public Works
MSA	Ministry of State Administration
MSS	Ministry of Social Solidarity
MTR	Mid-Term Review
NAP	National Action Plan
NAPA	National Adaptation Programme of Action
NDMD	National Disaster Management Directorate
NDOC	National Disaster Operations Center
NGO	Non-Governmental Organization
NIM	National Implementation Modality
NPD	National Project Director
PB	Project Board
PDID	Integrated Municipal Development Planning
PIR	Project Implementation Review
PM	Project Manager
PSC	Project Steering Committee
RCRP	Road Climate Resilience Project
RoW	Rights of Way
SDMC	Suco Disaster Management Committee
SIDS	Small Island Developing States
SOP	Standard Operating Procedure
SSRI	Strengthening Climate-Resilience of Small Scale Rural Infrastructure (Project)
TOR	Terms of Reference
TWG	Technical Working Group
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNISDR	United Nations International Strategy for Disaster Reduction
USD	United States Dollar
WB	World Bank

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## DISCLAIMER

*This report is the work of an independent reviewing team and does not necessarily represent the views, or policies, or intentions of the United Nations Development Programme (UNDP) and/or of the Government of Timor-Leste.*

## 1. Executive Summary

This report presents the findings of the Mid-Term Review (MTR) of the UNDP-supported GEF-LDCF-Financed Government of Timor-Leste Project “*Strengthening Community Resilience to Climate-induced disasters in the Dili to Ainaro Road Development Corridor, Timor-Leste (DARDC)*.” This MTR was performed by an Independent Review Team composed of Mr. Jean-Joseph Bellamy and Mr. Anderias Tani on behalf of UNDP.

Timor-Leste is a small island developing state (SIDS) located in South-East Asia in the Lesser Sunda archipelago. Since the country’s independence in 2002, socio-economic development has been limited. There are pockets of vulnerable communities living in areas with difficult road accessibility and low capacity to respond to climate-induced disasters; particularly for the rural population which is dependent on agriculture for their livelihood. The vulnerability to disasters of many communities within mountainous districts is exacerbated by unfavorable socio-economic conditions and limited access to service centers; reinforcing their isolation and deprivation. Women are notably at risk because of their comparatively limited education, income and ability to influence decision-making.

In the meantime, anecdotal evidence, current observations and regional records strongly suggest that climate change is taking place in Timor-Leste with an increase of extreme climate events. Most climate-induced disasters in Timor-Leste are localized and periodic but have serious impacts upon local communities. Major hazards include flash floods, droughts, landslides and destructive winds.

Limited road infrastructure is identified as a major constraint to national economic development; particularly in rural areas where road infrastructure is underdeveloped. This results in reduced access to markets for agricultural communities, contributing to the limited agricultural productivity and rural poverty prevalent across the country. The Government is investing in transport infrastructure as a basis for securing the country’s long-term development goals. However, there is no strategy in place to link wider landscape stabilization and landscape-wide management of road development corridors to road infrastructure sustainability. Road infrastructure is vulnerable to damage caused by flash floods, soil erosion and landslides. Extreme precipitation events create an engineering challenge to slope stability and drainage systems. A further challenge is that increased erosion and debris may cause blockage of streams and drains resulting in the risk of flash flood bursts.

Disaster management activities in Timor-Leste are limited to ad-hoc disaster response undertakings driven by immediate needs. Under the Ministry of Social Solidarity (MSS), the National Disaster Management Directorate (NDMD) is the lead agency that coordinates disaster response, and over the past decade is gradually transitioning to an agency that coordinates both ex ante disaster risk management and ex post response. NDMD’s capacity to manage disaster preparedness is particularly weak, especially when it concerns understanding and addressing larger area-based challenges such as land use changes, watershed deterioration, destructive agricultural practices and deforestation.

The long-term solution consists of seeking that important economic infrastructure in Timor-Leste is more resilient to climate-induced disaster risks to secure the medium- to long-term development benefits of vulnerable local communities. Building smart, climate resilient infrastructure would offset the cost of maintenance and damage repair later. However, implementing this solution has faced critical barriers. They include: (i) Limited knowledge of climate information and DRM practices; (ii) Limited technical capacity for data management and application; (iii) Lack of a national EWS framework and standard operating procedures; (iv) Limited capacity for planning, budget and implementing DRM; (v) Limited implementation of watershed management approaches to protect infrastructure and livelihoods; and (vi) Limited financial resources for increased resilience to climate-induced disasters.

The DARDC project has been developed to overcome these barriers through the delivery of three integrated and complementary components: (a) support the integration of climate change adaptation into national development strategies and sector plans by strengthening knowledge and awareness of climate-induced disasters; (b) strengthen sub-national level DRM taking climate change into account; and (c) to protect road infrastructure in the Dili-Ainaro corridor from climate-induced disasters by delivering watershed-based resilience measures. The objective of the project is to “*protect critical economic infrastructure for sustained*

human development from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor.” This objective will be achieved through three outcomes (and 6 outputs):

1. Knowledge and understanding of local drivers of climate-induced disasters enhanced, and consequent impacts on economic infrastructure better understood and available to policy makers, planners and technical staff
2. Sub-national DRM institutions able to assess, plan, budget and deliver investments in climate change related disaster prevention, linked to critical economic infrastructure and assets in the Dili to Ainaro development corridor
3. Community driven investments implemented to reduce climate change and disaster induced losses to critical infrastructure assets and the wider economy.

**Table 1: Project Information Table**

<b>Project Title:</b>	Strengthening Community Resilience to Climate-induced disasters in the Dili to Ainaro Road Development Corridor, Timor-Leste (DARDC)		
<b>UNDP Project ID (PIMS #):</b>	5108	<b>PIF Approval Date:</b>	May 29, 2013
<b>GEF Project ID (PMIS #):</b>	5056	<b>CEO Endorsement Date:</b>	August 11, 2014
<b>Award ID:</b>	81757	<b>Project Document (ProDoc) Signature Date (date project began):</b>	August 18, 2014
<b>Country(ies):</b>	Timor-Leste	<b>Date project manager hired:</b>	October 2014
<b>Region:</b>	Asia and Pacific	<b>Inception Workshop date:</b>	October 29, 2014
<b>Focal Area:</b>	CCA-2, Outcome 2.2 & Outcome 2.3	<b>Midterm Review date:</b>	July-August 2017
<b>GEF-5 Strategic Programs:</b>	Climate Change	<b>Planned closing date:</b>	July 2018
<b>Trust Fund:</b>	LDCF	<b>If revised, proposed closing date:</b>	
<b>Executing Agency:</b>	National Disaster Management Directorate (NDMD) under the Ministry of Social Solidarity (MSS)		
<b>Other Execution Partners:</b>	Directorate for Forestry under the Ministry of Agriculture and Fisheries (MAF)		
<b>Project Financing</b>	<b>at CEO endorsement (USD)</b>		<b>at Midterm Review (USD)</b>
<b>(1) GEF financing:</b>	5,250,000		5,250,000
<b>(2) UNDP contribution:</b>	650,000		650,000
<b>(3) Government:</b>	13,026,780		13,026,780
<b>(4) Other Partners:</b>	23,690,000		23,690,000
<b>(5) Total cofinancing [2+3+4]:</b>	37,366,780		37,366,780
<b>Project Total Cost [1+5]:</b>	42,616,780		42,616,780

This mid-term review report documents the achievements of the project and includes four chapters. Chapter 1 presents the main conclusions and recommendations; chapter 2 presents an overview of the project; chapter 3 briefly describes the objective, scope, methodology, evaluation users and limitations of the evaluation; chapter 4 presents the findings of the evaluation and relevant annexes are found at the back end of the report.

A summary of the main conclusions of this review are presented below.

### *Project Strategy*

**a) The project is very relevant for Timor-Leste, including the implementation of the Sendai Framework for Action:** The DARDC project is well aligned with national DRM/DRR policies, strategies and programmes. It is a direct response to national priorities and needs to strengthen DRM in Timor-Leste, particularly at the Municipal, Administrative Post and suco level, and supports the government to reduce disaster risks. The expected results of the DARDC project are part of national priorities to strengthen the response capacity and disaster preparedness of the government and communities.

**b) The initial plan to have two complementary projects side by side has not worked as expected:**

Despite the obvious complementarity between the WB-BCDRP initiative and the DARDC project seeking to increase the resilience of communities to climate-induced disasters within the Dili-Ainaro corridor through capacity development of communities and by delivering community-based DRM measures, very little complementarity between the two initiatives happened since the start of the implementation phase. Each project has conducted its own activities in its respective geographical areas with limited cooperation between the two projects.

**c) There are too many innovative areas in one project:** Despite a good logic model, it is a complex and ambitious project focusing on many new and innovative approaches for Timor-Leste, such as the realization of Community Vulnerability Capacity Assessments (CVCAs), the development of Community Action Plans (DRR-CAPs), the installation of EWS and related procedures, the development of a “Top-Up” Grant system at the municipal level, the implementation of a landscape approach to manage local natural resources, etc. The project is pulled in too many directions to implement these innovative approaches.

#### *Progress Towards Results*

**d) The progress of the project to date has been moderately satisfactory:** Due to numerous delays since the outset of this project – mostly management and administrative delays – project activities have been slow to be implemented. The key results to date consist mostly of the revision of a DRM training programme; the drafting of a revised DRM policy and a Law on DRM; the development of a “Top-Up” grant mechanism at the municipal level to fund DRR projects at the suco level; a total of 19ha of agroforestry and reforestation planted; initial watershed activities to limit soil erosion and landslides; several training events to raise the skills and knowledge of staff involved in DRM; and initial work to develop an early warning system. A gender assessment and situational analysis has also been completed and a gender policy has been drafted.

**e) There is a noticeable acceleration in implementing key project activities since May 2017:** Corresponding to the arrival of a new CTA to lead the project in May 2017, the implementation of the project has accelerated. Over the last few weeks, swift advances have been made with identifying, tendering and contracting suppliers of services and goods requested by the project with a total commitment of about USD 280,000 to USD 300,000 in addition to regular project expenses.

**f) There is no shared vision of where the project should go:** With so many areas of intervention to be implemented and the limited time remaining for the implementation of these interventions, the project needs a renewed vision shared among stakeholders to ensure long-term impact and sustainability of project achievements. The implementation appears somewhat piecemeal, going in several directions without obvious linkages among all these areas of interventions.

#### *Project Implementation and Adaptive Management*

**g) The management arrangements are adequate but the coordination is not sufficient:** The management arrangements of the project are adequate for the implementation of the project. However, the project is not fully effective in providing a good coordination among stakeholders. The coordination has also been hampered by staff turn-over at NDMD; the PSC only met four times in 32 months, and a Technical Working Group (TWG) met for the first time recently.

**h) Despite a good engagement of stakeholders, the project approach is too top-down:** Decisions are made in Dili at the national level and “pushed” down to sub-national level and to suco level. There is little ownership locally of actions supported by the project, which could impact the long-term sustainability of project achievements.

**i) The low amount of LDCF grant expenditures to date confirms that the project is behind schedule:** At the time of this MTR, the actual LDCF grant expenditures recorded in the UNDP Atlas system represent about 36% (USD 1,881,417) of the grant (USD 5,250,000) versus an elapsed time of 67% (32 months out of 48). Despite a net observable increase in commitments over the last 2 months, the review of the project finances and the remaining time indicate that it is doubtful that the project will have expended its LDCF grant by October 2018.

**j) The M&E plan to monitor the performance of the project is satisfactory:** A set of 10 indicators and

their respective targets has been used to monitor the performance of the project. These indicators are a mix of quantitative and qualitative indicators; often mixing both in the same indicator measuring the quantity and the quality of project achievements. However, some of these indicators may not be easily measurable since they require surveys to be conducted as sources to collect the needed information.

**k) Communication activities are not sufficient and contribute to a lack of coordination among stakeholders:** Communication is not “embedded” in the project strategy; it is not part of the expected results/deliverables, though it is included in the M&E plan. Nevertheless, the project developed a communication strategy and action plan, however, few communication activities took place to date and few project feedback mechanisms are in place to communicate with stakeholders at national, municipal, administrative post and suco levels.

### *Sustainability*

**l) Project achievements should be sustained over the long-term:** Despite a limited sustainability strategy identified at the formulation stage that it “.... *is dependent on the willingness of stakeholders to accept responsibility for supporting these interventions after completion of the project,*” the project achievements should be sustained over the long-term. The project is very relevant for Timor-Leste; it is well aligned with national policies and strategies and all project interventions are a direct response to identified needs.

Based on the findings and the main conclusions, the following recommendations are suggested.

**Recommendation 1:** It is recommended to review the revised DRM policy (draft) and the Law on DRM to incorporate the Sendai Framework for Action and the legislation on decentralization and promote these new instruments to the new government.

**Recommendation 2:** It is recommended to focus much more at the Suco level to demonstrate DRM planning (bottom-up) and local actions.

**Recommendation 3:** It is recommended to plan and budget a six-month extension to finalize core activities and provide more time to assess, learn and promote the replicability of achievements throughout Timor-Leste.

**Recommendation 4:** It is recommended for UNDP-RCU in Bangkok to provide more technical support for implementing CVCAs.

**Recommendation 5:** It is recommended to organize a project retreat with the Project Team and key Stakeholders to review project progress to date and develop a shared vision for the remaining period.

**Recommendation 6:** It is recommended to prepare an exit strategy for the project to ensure an orderly disengagement of project support and maximize the sustainability of project achievements.

**Recommendation 7:** It is recommended to expedite the administration process as much as possible with direct payments during the remaining period of the project.

**Recommendation 8:** It is recommended for the PSC to meet at least twice a year and the TWG to meet quarterly confirming the recent PSC decision.

**Recommendation 9:** It is recommended to plan the necessary survey(s), including a household survey during the last 6 months of the project to provide information necessary to measure the performance of the project.

**Recommendation 10:** It is recommended to increase communication activities to disseminate project achievements, lessons learned and best practices, focusing on project stakeholders but also on public at large to increase awareness on how to reduce the risks of climate-induced disasters and a more effective coordination among stakeholders.

### ***MTR Ratings and Achievement Summary Table***

Below is the rating table as requested in the TORs. It includes the required performance criteria rated as per the rating scales presented in Annex 9 of this report. Supportive information is also provided throughout this report in the respective sections.

**Table 2: MTR Ratings and Achievement Summary Table**

<b>Measure</b>	<b>MTR Rating</b>	<b>Achievement Description</b>
<b>Project Strategy</b>	<b>N/A</b>	A very relevant project for Timor-Leste responding to national priorities but too many innovative areas in one project; rendering its implementation complex and dispersed.
<b>Progress Towards Results</b>		
Objective Achievement:	<b>MS</b>	The objective is expected to achieve its end-of-project target but with significant shortcomings.
Outcome 1 Achievement:	<b>S</b>	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
Outcome 2 Achievement:	<b>MS</b>	The outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
Outcome 3 Achievement:	<b>MS</b>	The outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
<b>Project Implementation &amp; Adaptive Management</b>	<b>MS</b>	Implementation of some of the seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications –is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
<b>Sustainability</b>	<b>ML</b>	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review

## 2. CONTEXT AND OVERVIEW OF THE PROJECT<sup>1</sup>

1. Timor-Leste is a small island developing state (SIDS) located in South-East Asia in the Lesser Sunda archipelago. The World Bank classifies Timor-Leste – a LDC country - as a “lower middle income” state. Since the country’s independence in 2002, socio-economic development has been limited. The main development challenges for Timor-Leste can be summarized as: i) addressing severe human and institutional capacity gaps for development; ii) stimulating stable economic growth, particularly for the domestic market; iii) addressing gender inequalities; and iv) managing the socio-economic pressures from a rapidly growing population.

2. Timor-Leste has a tropical climate with relatively constant temperatures throughout the year. The northern part of the country experiences a uni-modal rainfall pattern, with four to six wet months from December to April or June. The southern part of the country experiences a bi-modal rainfall pattern comprising seven to nine wet months with two peaks, one from December and the other from May. The El Niño-Southern Oscillation is a strong determinant in year-to-year variations in rainfall and temperature.

3. According to the Intergovernmental Panel on Climate Change (IPCC) and the Commonwealth Scientific and Industrial Research Organization (CSIRO) notable changes are projected for the region’s climate. In Timor-Leste, temperature is expected to increase by 0.3–1.2 °C by 2030 and 0.8–3.6 °C by 2070. Rainfall is predicted to decrease in the dry season and increase in the wet season with overall rainfall increasing by 7 to 13% by 2050. Extreme rainfall events such as tropical cyclones are expected to decrease in frequency but increase in intensity. Additionally, anecdotal evidence, current observations and regional records strongly suggest that climate change is already taking place in Timor-Leste. The expected effects of climate change include sea level rise, ocean acidification, increasing annual temperature, greater unpredictability of rainfall patterns and increased intensity of extreme rainfall events. Most climate-induced disasters in Timor-Leste are localized and periodic but have serious impacts upon local communities. Major hazards include flash floods, droughts, landslides and destructive winds. Timor-Leste has been affected by cyclones multiple times in the past decades, including Cyclone Esther (1983), Bonnie (2002), Inigo (2003), and Daryl (2006) due to which crops and over 500 houses were destroyed.

4. There are pockets of vulnerable communities living in areas with difficult road accessibility and low capacity to respond to disasters; particularly for the rural population which is dependent on agriculture for their livelihood. The vulnerability of many local rural communities to climate-induced disasters within Timor-Leste’s mountainous districts is exacerbated by unfavorable socio-economic conditions and limited access to service centers. This reinforces the local communities’ isolation and deprivation. Women are notably at risk because of their comparatively limited education, income and ability to influence decision-making.

5. Negative impacts of climate change can lead to sub-optimal household- and local community responses, including pressure on already vulnerable natural resources and further increasing climate vulnerability over the long term. Women in particular have specific concerns related to their roles in society and households, such as the impact of climate change on the provision of water and firewood. Increased slash-and-burn agriculture to compensate for the risk of loss of agricultural land or reduced crop yields is an example of a maladaptive response, which will further aggravate an already critical situation.

6. Limited road infrastructure is identified as a major constraint to national economic development. In rural areas in particular, road infrastructure is underdeveloped. This results in reduced access to markets for agricultural communities, contributing to the limited agricultural productivity and rural poverty prevalent across the country. The Government of Timor-Leste (GoTL) is investing in transport infrastructure as a basis for securing the country’s long-term development goals; however, there is no strategy in place to link wider landscape stabilization and landscape-wide management of road development corridors to road infrastructure sustainability.

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<sup>1</sup> Information in this section has been summarized from the project document.

7. The majority of disaster management activities in Timor-Leste are limited to ad-hoc disaster response undertakings driven by immediate needs. Under the Ministry of Social Solidarity (MSS), the National Disaster Management Directorate (NDMD) is the lead agency that coordinates disaster response, and over the past decade is gradually transitioning to an agency that coordinates both ex ante disaster risk management and ex post response. NDMD's capacity to manage disaster preparedness is particularly weak, especially when it concerns understanding and addressing larger area-based challenges such as land use changes, watershed deterioration, destructive agricultural practices and deforestation.

8. Key development sectors – including transport and associated infrastructure – lack a coherent framework to address disaster and climate risks. A number of factors have contributed to increasing the vulnerability of the transport sector, including the lack of maintenance and poor design of road networks, and geological, hydrological, meteorological and human factors that trigger landslides and flash floods along the road corridors. Road infrastructure is vulnerable to damage caused by flash floods, soil erosion and landslides and the country's mountainous topography, regionally high seismic activity, and exposure to heavy monsoonal rain make transport assets especially susceptible to natural disasters. Extreme precipitation events create an engineering challenge to slope stability and drainage systems. A further challenge is that increased erosion and debris may cause blockage of streams and drains resulting in the risk of flash flood bursts.

9. The effects of disasters on Timor-Leste's transport infrastructure have multiplier negative impacts on the national and local economy, restricting connectivity and accessibility, and hindering the movement of people, goods, agricultural products and services. Women are particularly concerned with the effects of climate change damaging infrastructure such as bridges and roads that will further restrict their access to clinics and markets.

10. The long-term solution consists of seeking that important economic infrastructure in Timor-Leste is more resilient to climate-induced disaster risks to secure the medium- to long-term development benefits of vulnerable local communities. Building smart, climate resilient infrastructure would offset the cost of maintenance and damage repair later. However, implementing this solution has faced critical barriers. They include: (i) Limited knowledge of climate information and DRM practices; (ii) Limited technical capacity for data management and application; (iii) Lack of a national EWS framework and standard operating procedures; (iv) Limited capacity for planning, budget and implementing DRM; (v) Limited implementation of watershed management approaches to protect infrastructure and livelihoods; and (vi) Limited financial resources for increased resilience to climate-induced disasters.

11. The DARDC project has been developed to overcome these barriers through the delivery of three integrated and complementary components: (a) support the integration of climate change adaptation into national development strategies and sector plans by strengthening knowledge and awareness of climate-induced disasters; (b) strengthen sub-national level DRM taking climate change into account; and (c) to protect road infrastructure in the Dili-Ainaro corridor from climate-induced disasters by delivering watershed-based resilience measures.

12. The objective of the project will be achieved through three expected outcomes (*see also Annex 1*):

- **Outcome 1:** Knowledge and understanding of local drivers of climate-induced disasters enhanced, and consequent impacts on economic infrastructure better understood and available to policy makers, planners and technical staff;
- **Outcome 2:** Sub-national DRM institutions able to assess, plan, budget and deliver investments in climate change related disaster prevention, linked to critical economic infrastructure and assets in the Dili to Ainaro development corridor;
- **Outcome 3:** Community driven investments implemented to reduce climate change and disaster induced losses to critical infrastructure assets and the wider economy.

13. The DARCD project is implemented in parallel to the WB-funded BCDRP project (Building Climate and Disaster Resilience in Communities) and both projects aim to increase the resilience of communities to climate-induced disasters within the Dili-Ainaro and Linked Road Corridors through capacity development of communities and by delivering community-based DRM measures. The DARDC project has in addition

the broader objective of strengthening the capacity of national and local DRM systems and stakeholders, as well as increasing resilience through the Integrated District Development Planning (PDID) process and land use and watershed approaches.

14. The DARDC project is a project supported by UNDP, GEF-LDCF, and the Government of Timor-Leste. It is funded by a grant from the GEF-LDCF of USD 5,250,000, an in-kind contribution from UNDP of USD 650,000 and an in-kind contribution of USD 13,026,780 from the Government of Timor-Leste. In addition, parallel co-financing through the WB-BCDRP and the WB-RCRP estimated at 23,690,000 was identified during the PPG phase. The project started in October 2014 and its duration is 4 years to September 2018. It is implemented under the “*Direct Implementation Modality (DIM)*”. The implementing partner is the National Disaster Management Directorate (NDMC) within the Ministry of Social Solidarity (MSS). Other responsible parties include the National Directorate for Climate Change of the Ministry of Commerce, Industry and Environment (MCIE), Ministry of State Administration (MSA), Ministry of Public Works (MPW), Ministry of Finance (MoF) and the Ministry of Agriculture and Fisheries (MAF). Finally, a joint Project Steering Committee (PSC) for both the LDCF project and the WB-BCDRP was set up to oversee the implementation of both projects.

### **3. REVIEW FRAMEWORK**

15. This Mid-Term Review (MTR) - a requirement of UNDP & GEF procedures - has been initiated by UNDP Timor-Leste Country Office, which is the Commissioning Unit and Implementing Entity for this project. This review provides an in-depth assessment of project achievements and progress towards its objectives and outcomes.

#### **3.1. Objectives**

16. The objective of the MTR is to assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document and Project Inception Report, and assess early signs of project success or failure with the goal of identifying possible changes to be made in order to keep/set the project on-track to achieve its intended results. The MTR reviewed the project’s strategy and its risks to sustainability.

#### **3.2. Scope**

17. As indicated in the TORs, the scope of this review covered four categories of project progress, in accordance with the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*. A summary of the scope of this MTR is presented below:

##### **A. Project Strategy:**

###### ***Project Design***

- Review the problem addressed by the project and the underlying assumptions;
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results;
- Review how the project addresses country priorities.
- Review country ownership;
- Review decision-making processes;
- Review the extent to which relevant gender issues were raised in the project design;

###### ***Results Framework/Log-frame:***

- Undertake a critical analysis of the project’s log-frame indicators and targets;
- Review the project’s objectives and outcomes or components and how feasible they can be reached within the project’s time frame;
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects 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.

## **B. Progress Towards Results**

### ***Progress Towards Outcomes Analysis:***

- Review the log-frame indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix presented in the TORs and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*;
- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the MTR;
- 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.

## **C. Project Implementation and Adaptive Management**

### ***Management Arrangements:***

- Review overall effectiveness of project management as outlined in the Project Document;
- 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;
- Review how Results-Based Management is being implemented;
- Examine the use of the project's results framework/ log-frame as a management tool.

### ***Finance and co-finance:***

- Consider the financial management of the project, including cost-effectiveness;
- 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;
- Examine the financial management of the project monitoring and evaluation budget.

### ***Stakeholder Engagement:***

- Review project partnerships with direct and tangential stakeholders;
- Review stakeholder participation and country-driven project implementation processes;
- Review public awareness.

### ***Reporting:***

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess the project progress reporting function and how well it fulfils GEF reporting requirements;
- 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;
- Review external project communication;

## **D. 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;
- Assess risks to sustainability in term of financial risks, socio-economic risks, institutional framework and governance risks, and environmental risks.

### 3.3. Methodology

18. The methodology that was used to conduct this mid-term review complies with international criteria and professional norms and standards; including the norms and standards adopted by the UN Evaluation Group (UNEG).

#### 3.3.1. Overall Approach

19. The review was conducted in accordance with the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects<sup>2</sup>, and the UNEG Standards and Norms for Evaluation in the UN System. The evaluation was undertaken in-line with GEF principles which are: *independence, impartiality, transparency, disclosure, ethical, partnership, competencies/capacities, credibility and utility*. The process promoted accountability for the achievement of project objectives and promoted learning, feedback and knowledge sharing on results and lessons learned among the project's partners and beyond.

20. The Evaluation Team developed review tools in accordance with UNDP and GEF policies and guidelines to ensure an effective project review. The review was conducted and findings were structured around the GEF five major evaluation criteria; which are also the five internationally accepted evaluation criteria set out by the Development Assistance Committee of the Organization for Economic Co-operation and Development. There are:

- *Relevance* relates to an overall assessment of whether the project is in keeping with donors and partner policies, with national and local needs and priorities as well as with its design.
- *Effectiveness* is a measure of the extent to which formally agreed expected project results (outcomes) have been achieved, or can be expected to be achieved.
- *Efficiency* is a measure of the productivity of the project intervention process, i.e. to what degree the outcomes achieved derive from efficient use of financial, human and material resources. In principle, it means comparing outcomes and outputs against inputs.
- *Impacts* are the long-term results of the project and include both positive and negative consequences, whether these are foreseen and expected, or not.
- *Sustainability* is an indication of whether the outcomes (end of project results) and the positive impacts (long term results) are likely to continue after the project ends.

21. In addition to the UNDP and GEF guidance for project review, the Evaluation Team applied to this mandate their knowledge of review methodologies and approaches and their expertise in climate change adaptation and more generally in environmental management issues. They also applied several methodological principles such as (i) *Validity of information*: multiple measures and sources were sought out to ensure that results are accurate and valid; (ii) *Integrity*: Any issue with respect to conflict of interest, lack of professional conduct or misrepresentation were immediately referred to the client if needed; and (iii) *Respect and anonymity*: All participants had the right to provide information in confidence.

22. The evaluation was conducted following a set of steps presented in the table below:

**Table 3: Steps Used to Conduct the Evaluation**

<b>I. Review Documents and Prepare Mission</b>	<b>III. Analyze Information</b>
<ul style="list-style-type: none"> <li>▪ Start-up teleconference/finalize assignment work plan</li> <li>▪ Collect and review project documents</li> </ul>	<ul style="list-style-type: none"> <li>▪ In-depth analysis and interpretation of data collected</li> <li>▪ Follow-up interviews (where necessary)</li> </ul>

<sup>2</sup> UNDP Evaluation Office, 2012, *Project-Level Evaluation – Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects*.

<ul style="list-style-type: none"> <li>▪ Elaborate and submit <b><u>Inception Report</u></b></li> <li>▪ Prepare mission: agenda and logistic</li> </ul>	<ul style="list-style-type: none"> <li>▪ Draft and submit <b><u>draft evaluation report</u></b></li> </ul>
<b>II. Mission / Collect Information</b> <ul style="list-style-type: none"> <li>▪ Fact-findings mission to Timor-Leste for the International Evaluator</li> <li>▪ Interview key Stakeholders and conduct field visits</li> <li>▪ Further collect project related documents</li> <li>▪ Mission debriefings / <b><u>Presentation of key findings</u></b></li> </ul>	<b>IV. Finalize Evaluation Report</b> <ul style="list-style-type: none"> <li>▪ Circulate draft report to UNDP-GEF and relevant stakeholders</li> <li>▪ Integrate comments and submit <b><u>final evaluation report</u></b></li> </ul>

23. Finally, the Review Team signed and applied the “*Code of Conduct*” for Evaluation Consultant (*see Annex 3*). The Review Team conducted its review activities, which are independent, impartial and rigorous. This MTR clearly contributed to learning and accountability and the Review Team has personal and professional integrity and was guided by propriety in the conduct of their business.

### 3.3.2. Review Instruments

24. The evaluation will provide evidence-based information that is credible, reliable and useful. Findings will be *triangulated* through the concept of “*multiple lines of evidence*” using several evaluation tools and gathering information from different types of stakeholders and different levels of management. To conduct this review, the following review instruments will be used:

**Review Matrix:** A review matrix was developed based on the review scope presented in the TOR, the project log-frame and the review of key project documents (*see Annex 4*). This matrix is structured along the five evaluation criteria and includes all review questions; including the scope presented in the guidance. The matrix provided overall directions for the review and was used as a basis for interviewing people and reviewing project documents.

**Documentation Review:** The Review Team conducted a documentation review in Canada and in Timor-Leste (*see Annex 5*). In addition to being a main source of information, documents were also used to prepare the fact-findings mission in Timor-Leste. A list of documents was identified during the start-up phase and further searches were done through the web and contacts. The list of documents was completed during the fact-findings mission.

**Interview Guide:** Based on the review matrix, an interview guide was developed (*see Annex 6*) to solicit information from stakeholders. As part of the participatory approach, the Review Team ensured that all parties viewed this tool as balanced, unbiased, and structured.

**Mission Agenda:** An agenda for the fact-findings mission of the Review Team in Timor-Leste was developed during the preparatory phase (*see Annex 7*). The list of Stakeholders to be interviewed was reviewed, ensuring it represents all project Stakeholders. Then, interviews were planned in advance of the mission with the objective to have a well-organized and planned mission to ensure a broad scan of Stakeholders’ views during the limited time allocated to the fact-findings mission.

**Interviews:** Stakeholders were interviewed (*see Annex 8*). The semi-structured interviews were conducted using the interview guide adapted for each interview. All interviews were conducted in person with some follow up using emails when needed. Confidentiality was guaranteed to the interviewees and the findings were incorporated in the final report.

**Field Visits:** As per the TORs, project site visits were conducted during the fact-findings mission in Timor-Leste; it ensured that the Review Team had direct primary sources of information from the Municipal, Administrative Post and Suco level partners as well as project beneficiaries. It gave opportunities to the Review Team to observe project achievements at the Municipal, Administrative Post and Suco levels and obtain views from stakeholders at these levels.

**Achievement Rating:** The Review Team rated project achievements according to the guidance provided in the TORs. It included a six-point rating scale to measure progress towards results and project implementation and adaptive management and a four-point rating scale for sustainability.

### **3.4. Limitations and Constraints**

25. The approach for this MTR is based on a planned level of effort of 52 days for two independent consultants. It comprised a 10-day mission in Timor-Leste to interview key stakeholders, collect evaluative evidence; including visits to project sites in Municipalities, Administrative Posts and Sucos where the project support activities. Despite the 3 days spent in the field during the 10-day mission in Timor-Leste, the difficulties to access the project area (road conditions and weather) prevented the Review Team to visit more field activities in more municipalities. The field visits focused on the Aileu and Ainaro municipalities and no visits were made to other targeted municipalities.

26. Nevertheless, considering that the project still has a low engagement at the community level, the independent Review Team was able to conduct a detailed assessment of actual results against expected results and successfully ascertains whether the project will meet its main objective - as laid down in the project document - and whether the project initiatives are, or are likely to be, sustainable after completion of the project. The Review Team made recommendations for any necessary corrections and adjustments to the overall project work plan and timetable and for reinforcing the long-term sustainability of project achievements.

## 4. REVIEW FINDINGS

27. This section presents the findings of this MTR adhering to the basic structure proposed in the TOR and as reflected in the UNDP project review guidance.

### 4.1. Project Strategy

28. This section discusses the assessment of the project strategy – including its relevance - and its overall design in the context of Timor-Leste.

#### 4.1.1. Project Design

29. As discussed in Section 2, the vulnerability of many local rural communities to climate-induced disasters within Timor-Leste's mountainous districts is exacerbated by unfavorable socio-economic conditions and limited access to service centers. This reinforces the local communities' isolation and deprivation. Women are notably at risk because of their comparatively limited education, income and ability to influence decision-making. Limited road infrastructure is a major constraint to national economic development by reducing access to markets for agricultural communities, contributing to the limited agricultural productivity and rural poverty prevalent across the country.

30. In order to address the development needs of rural communities, the government is investing in transport infrastructure as a basis for securing the country's long-term development goals; however, there is no strategy in place to link wider landscape stabilization and landscape-wide management of road development corridors to road infrastructure sustainability. Furthermore, the management of disasters has been limited to ad-hoc responses driven by immediate needs. The capacity of the lead agency responsible for Disaster Risk Management (DRM) - the National Disaster Management Directorate (NDMD) under the Ministry of Social Solidarity (MSS) – to manage disaster preparedness has been recognized as weak. Overall, there is a lack of a coherent framework to address disasters and climate risks.

31. In the meantime, the implementation of a long-term solution, which consists of seeking that important economic infrastructure in Timor-Leste is more resilient to climate-induced disaster risks to secure the medium- to long-term development benefits of vulnerable local communities, has faced critical barriers, which include:

- Limited knowledge of climate information and DRM practices;
- Limited technical capacity for data management and application;
- Lack of a national EWS framework and standard operating procedures;
- Limited capacity for planning, budget and implementing DRM;
- Limited implementation of watershed management approaches to protect infrastructure and livelihoods; and
- Limited financial resources for increased resilience to climate-induced disasters.

32. The DARDC project was designed by the Government of Timor-Leste (GoTL) through MSS and UNDP with the financial support of the LDCF to address those barriers, seeking to protect critical economic infrastructure for sustained human development from climate-induced natural hazards. A decision was also made at the concept stage to focus on the Dili-Ainaro corridor as a complement project to two World Bank initiatives:

- The *Road Climate Resilience Project (RCRP)*, which was initiated in 2011 to provide the GoTL financial and technical support for the construction of a climate-resilient national level road between Dili and Ainaro to improve connectivity and reduce the vulnerability of the road to climate-induced disasters. The interventions of this project are limited to the Rights-of-Way (RoW), which stretches 25m to either side of the road.
- The *Building Climate and Disaster Resilience Project (BCDRP)*<sup>3</sup>, which is to build climate and disaster resilience in communities along the Dili-Ainaro and linked road corridors. This project

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<sup>3</sup> This initiative was funded with a WB grant of USD 2.7M and an agreement between MSS and the WB was signed in February 2015.

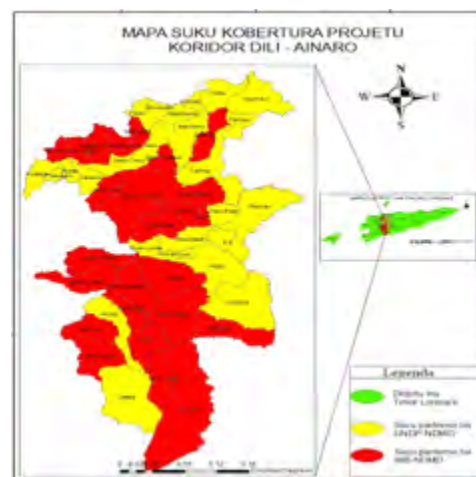
is to build capacities in relevant sub-districts along the road stretches relating to community-based DRM measures and support capacity development of communities in the area to improve the ability of these communities to plan and implement practical DRM interventions.

33. After a review of these initiatives, the Review Team noted the “closeness” between the DARDC project and the second WB initiative, the BCDRP. As discussed in the DARDC project document, both projects have a similar objective that is to increase the resilience of communities to climate-induced disasters within the Dili-Ainaro corridor through capacity development of communities and by delivering community-based DRM measures. It is also said that the DARDC project has in addition the broader objective of strengthening the capacity of national and local DRM systems and stakeholders, as well as increasing resilience through the local planning process (PDID) and land use and watershed approaches. In order to optimize the leveraging of resources and interventions from both initiatives, it was proposed to form a joint project steering committee (PSC).

34. With similar objectives, both initiatives/projects were reviewed at the design stage and aligned to avoid overlaps. An extensive documentation of this alignment was documented in the project document of the DARDC project, including the alignment of each initiative under each output of the DARDC project<sup>4</sup>. It included the review of “which initiative will do what” in the following several areas:

- Climate and disaster vulnerability and risk assessments;
- Climate-resilient infrastructure and DARDC management;
- Geographical areas;
- Financing identified resilience measures;
- Methodology for assessing the economic effects of hazards for sectoral assets at suco level;
- Vulnerability profiles for various asset classes;
- Community-based DRM manual;
- Standardized methods and protocols for uploading and sharing data;
- Standardized GIS database outlining risk exposure;
- Capacity development approach for strengthening (local) DRM institutions; and
- Knowledge management and DRM capacity development.

35. Following the review to identify the respective tasks to be conducted by each project and avoid overlaps, the project teams from both projects, the government counterparts, UNDP and WB met and used the information collected during the formulation of the project to identify the areas where each project will focus its interventions. The result was a map (see map beside) of the Dili-Ainaro road corridor showing the 24 sucos in red where the WB-BCDRP will focus its activities and the 25 sucos where the LDCF project will implement its activities.



36. Despite a proper alignment of both initiatives at the design stage and the plan to optimize the leveraging of resources, the Review Team found very little complementarity between the 2 initiatives since the beginning of the implementation phase. Each project has conducted its own activities in its respective geographical areas with limited cooperation between the 2 projects. In the meantime, the lack of synergies between these 2 initiatives can partially be explained by the fact that both projects have been facing implementation issues that prevented a “smooth” implementation as planned in the project document.

37. Nevertheless, the review confirms that the DARDC project is a direct response to the existing barriers. Indeed, it seeks to develop capacities for protecting “critical economic infrastructure for sustained human development from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, strengthened local DRM institutions and investments in risk reduction measures within the Dili to

<sup>4</sup> See page 19 to 21 of the DARDC project document, including table 3: Complementarities between the LDCF project and the WB-BCDRP (by output).

*Ainaro development corridor*". The project is focusing on the removal of these barriers through a 'three-pronged' approach: (a) support the integration of climate change adaptation into national development strategies and sector plans by strengthening knowledge and awareness of climate-induced disasters; (b) strengthen sub-national level DRM taking climate change into account using two approaches – firstly, by enhancing the capacity of district and sub-district officials as well as to provide financial resources to plan, design, budget and deliver preventative measures for climate-induced disasters; and secondly, by strengthening local-level climate information and early warning system (EWS); and (c) to protect road infrastructure in the Dili-Ainaro corridor from climate-induced disasters by delivering watershed-based resilience measures.

38. The DARDC project is fully relevant for Timor-Leste, particularly within the context of increasing the DRM capacity of the GoTL and of communities at risk, including their preparedness to address future disasters and securing critical economic infrastructure for sustained human development. The project is well aligned with the following national priorities.

#### ***Program of the Fifth Constitutional Government - 2012-2017 Legislature***

39. Since the election of 2012, the Fifth Constitutional Government developed its 2012-2017 program in continuity of the Fourth Constitutional Government and based on the *Strategic Development Plan 2011-2030*. The vision of this five-year programme is "*that of a Nation that is prosperous, healthy, educated and skilled, with broad access to essential goods and services, and where production and employment in all sectors corresponds to that of an emerging economy*".

40. Under the section of this programme dedicated to the development of social capital, it is said that the government will implement a range of strategies to meet the Nation's obligations under the Constitution to protect its environment and ensure that Timor-Leste's environmental resources are sustainably managed. The government will draw on the strong bond between the Timorese people and the natural environment to ensure that the economy grows in harmony with the natural environment, which will entail traditional practices like "*Tara Bandu*"<sup>5</sup> in every village. Recognizing the vulnerability of Timor-Leste to climate change, the programme included the establishment of a National Climate Change Centre to conduct research and observation on climate change issues, to ensure data on climate change impacts is being collected and to encourage technology innovation to address climate change adaptation and mitigation.

41. In the meantime, recognizing that climate change will bring "*changes that could have consequences for agricultural production, food security and tourism industry, and increase the risk of natural disasters caused by flooding, drought or landslides*", it was noted that this programme does not specifically address the need to strengthen the capacity for DRM. However, the "***Programme of the IV Constitutional Government – 2007-2012***", mentioned the prevention of natural disasters as part of national priorities. It recognizes the vulnerability to disasters of Timor-Leste due to climate change, which may pose a disastrous impact to the social and economic infrastructures as well as have a drastic impact on the life conditions of the Timorese people. It stated as a priority the need to develop natural disaster prevention policies and the necessity to consolidate a culture of prevention and equip the country to manage the risks of disasters through the following measures:

- Promote the study and identification of risk areas;
- Create warning systems, especially when it comes to torrential rains and dry periods;
- Prepare and enable human resources in this area so that they are able to provide immediate response when such disasters take place;
- Prepare natural disasters inter-sector response coordination mechanisms

#### ***National Disaster Risk Management Policy (2008)***

42. Building on the priorities of the "*IV Constitutional Government Program 2007-2012*", the Ministry of Social Solidarity (MSS) was tasked to develop an integrated disaster prevention system, in order to "*be able*

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<sup>5</sup> Tara Bandu refers to a traditional Timorese custom that enforces peace and reconciliation through the power of public agreement to define social norms and practices acceptable to a given community. UNDP defines it as a "*broad term encompassing local law, social norms and morality, art and rituals, and a system of community leadership and governance*". There are 3 types of Tara Bandu, including Tara Bandu regulating people's relationships to the environment (Source: Belun, *The Asia Foundation*, June 2013, *Tara Bandu: Its Role and Use in Community Conflict Prevention in Timor-Leste*)

to provide disaster response support to all national citizens and foreigners who, in case of a disaster, require assistance”.

43. The National Disaster Risk Management Policy – developed by MSS in 2008 with the support of the UNDP-DRM-2 project - lays out the Government’s approach to disaster risk management. It follows the previous approach, which was through a National Disaster Management Plan implemented by the Ministry of Interior. The policy outlines plans to develop disaster risk management programs including risk analyses, vulnerability monitoring, early warning, emergency management, post-disaster research and review, recovery and knowledge development, awareness raising and human resource development. The policy states to be in line with internationally recognized approaches to DRM, notably the *Hyogo Plan of Action 2005-2015*. The policy also takes into account socio-cultural, local, regional, political, economic and environmental realities of Timor-Leste. It recognizes the need for institutional capacity building, organizational and decentralized administration of disaster risk management as well as the need for participation of children, youth, women and vulnerable groups.

44. The policy establishes a series of general policies such as to ensure, through the National Disaster Management Directorate (NDMD), that disaster risk is reduced in the territory of Timor-Leste; to implement the organization and the functioning of the Suco Commissions, or relevant bodies, emphasizing the necessity and the importance of an articulated and timely response, by local bodies; and to support the districts and sub-districts to implement disaster risk reduction plans with the aim of guaranteeing the reduction of disasters in the communities. The policy also states four main objectives necessary to be achieved:

- Develop and maintain legislation on disaster risk reduction concurrently to assure its integration into development policies, plans, and projects, in the study phase as well as in the implementation phase;
- Develop and maintain early warning systems, monitoring, coordination, and operational preparation plans and response for the national territory concurrently attending to structural development limitations at the national level;
- Improve management of the DRM sector in all institutional and operation levels concurrently, to take into account the low professional capacity of staff;
- Achieve sustainability in public finance to respond to a great need for resources.

45. Finally, the document also sets specific policies for DRM, including:

- *Hazard and Vulnerability Monitoring and Analysis*: it is a responsibility of all government and non-government sectors;
- *Regional Early Warning Monitoring and Analysis*: they can be extremely effective in saving lives and property and protecting the vulnerable when natural hazards threaten;
- *Emergency Disaster Reporting and Communication to the Public*: the key is to have a reliable and effective warning and alert system in place; and
- *Principles and Responsibilities for Effective Early Warning*: it needs to empower individuals and communities threatened by hazards to act in sufficient time and appropriately.

46. This policy was developed in the context of the IV Constitutional Government Program. It clearly identifies a disaster risk reduction framework, empower MSS as the ministry responsible for DRM through its National Disaster Management Directorate (NDMD) and its National Disaster Operations Centre (NDOC) and lay out the necessary interactions between “government agencies and local communities, especially through District, Sub-District and Suco Commissions, with the objective to guarantee and integrate response activities for the whole country”.

#### ***Timor-Leste Strategic Development Plan - 2011-2030***

47. The Timor-Leste Strategic Development Plan is a twenty-year vision that reflects the aspirations of the Timorese people to create a prosperous and strong nation. As a young country with a young population, the strategies and actions set out in this Strategic Development Plan aim to transition Timor-Leste from a low income to upper middle-income country, with a healthy, well-educated and safe population by 2030; building on the 2002 *National Development Plan* and the *Timor-Leste 2020, Our Nation Our Future*.

48. The Strategic Development Plan covers three key areas: (i) social capital, (ii) infrastructure

development and (iii) economic development. Under the social capital area, it is recognized that the people of Timor-Leste have a strong relationship with the natural environment. However, despite that for generations, people depended on the environment for food, clothing, building materials and everything else essential for life, the over-exploitation and destruction of the environment during the long period of colonialism and occupation caused additional hardship for the many people living in rural areas who still rely on natural resources for food, fuel, medicines and building materials.

49. The first steps to address environmental issues in this development plan is to ensure that the existing environmental laws and regulations are enforced and to prepare the comprehensive environmental protection and conservation legislation necessary to meet Timor-Leste's constitutional and international obligations. The environmental strategies focus on climate change adaptation, sustainability of forests, biodiversity conservation, development of renewable energy and pollution control.

50. However, similar to the Program of the *Fifth Constitutional Government*, the *Strategic Development Program* does not address specifically the need to strengthen the capacity for DRM in Timor-Leste. It only states the need to “improve the F-FDTL's capacity to support civil readiness and responses to emergencies and disasters, including implementing the National Warning System” as part of priorities to strengthen national defense.

#### ***Legislation on Decentralization in Timor-Leste***

51. There are three pieces of relevant legislation: (1) the draft Local Power and Decentralization Administration Law; (2) draft Suco Law No. 32\_III. January 2016; and (3) the Decree-Law No.3/2016 approved in March 2016 that defines Municipalities administration, Municipal authorities and the inter-ministerial technical group for administrative decentralization. According to a recent review of the *Ba Distrito program*<sup>6</sup>, despite this legislation in place, the local government structures are not yet decentralized. As a result, local government presence varies at the municipal level based on ministerial resources (i.e. budgets and staff) available. This situation prevents having local governance structure that can engage in local planning and prioritization across sectors and in close collaboration with citizen structures such as suco councils. The review noted that this is a product of the legacy of decentralization planning in Timor-Leste post-conflict.

52. According to the Decree-Law No. 3/2016, the national government has decentralized its public administration to improve service delivery and accountability. Under this Decree-Law, it will transfer administrative functions to municipalities. Autonomous municipal authorities will be established in the four largest municipalities, and non-autonomous municipal administrations will be established in the remaining eight municipalities. All of the subnational administrations will be funded through the national budget and will be required to submit budget proposals to the Ministry of State Administration. They may also derive revenue from agreements with national government bodies to assume responsibility for local delivery of specific public functions<sup>7</sup>.

53. Considering that the existing DRM Policy was endorsed by the government in 2008, it does not take into account these recent legislative changes on decentralization. Nevertheless, these changes will affect the future functioning and funding of municipalities, administrative posts and sucos. It is a critical aspect that needs to be taken into account when strengthening DRM in Timor-Leste, including future activities to be implemented by the DARDC project.

#### ***National Disaster Management Directorate (NDMD)***

54. It is the lead agency that coordinates disaster response in Timor-Leste and it is the Lead government agency to implement the DARDC project. NDMD was established following the approval of the DRM policy by the Council of Ministers in 2008. As described in the project document, over the past decade NDMD gradually transitioned to an agency that coordinates both ex ante disaster risk management and ex post response. At the design stage, it was assessed that NDMD's capacity to manage disaster preparedness was particularly weak, especially for matters related to understanding and addressing larger area-based

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6 USAID, August 1, 2016, *Mid-Term Evaluation – The Ba Distrito Program*

7 Extract from ADB, June 2016, *Democratic Republic of Timor-Leste: Fiscal Policy for Improved Service Delivery*

challenges such as land use changes, watershed deterioration, destructive agricultural practices and deforestation.

55. NDMD was also the Lead agency to implement the UNDP-DRM-2 project, which supported the development of the DRM policy (2008). This project supported the capacity development of the DRM system and communities as well as a national risk and vulnerability assessment together with mainstreaming DRM into national planning. The project included a regional element to build national capacity for seasonal weather forecasting linked to the Regional Integrated Multi-Hazard Early Warning System (RIMES) facility based at the Asian Institute of Technology in Bangkok. However, the UNDP-DRM-2 project did not explicitly take the projected climate change scenarios into consideration as an increasingly relevant underlying cause of natural disasters and did not include any support for capacity development of community resilience and community-level DRM measures.

#### ***Other Elements with which the DARDC Project is Relevant***

- ***National Adaptation Programme of Action (NAPA) to Climate Change:*** This programme was developed in 2010, anticipating that Timor-Leste will face significant challenges as a result of climate change. A sector working group on natural disasters was established, representing the government, universities, NGOs, donors, private sector and youth. Among the adaptation measures identified for reducing the adverse effects of climate change, one priority was to improve the institutional and community (including vulnerable groups such as women and children) capacity to prepare for and respond to climate change induced natural disasters. A priority project profile (no. 4) was identified as “*Improving Institutional, Human Resource Capacity & Information Management in the Disaster Sector in Relation to Climate Change Induced Risks at National, District and Community level*” with an indicative budget of USD 2.6M over 4 years and under MSS as the lead ministry.
- ***National Climate Change Policy:*** A draft is being developed with the support of the UNDP-GEF SSRI project. It is currently under development and will include the topics of vulnerability to climate-induced disasters and disaster resilience. The policy will be linked to NAPA and should promote the need for Community-based Action Plans (CAPs) for adaptation and DRM at the suco level. Similarly to the DARDC project, the policy will state the need to integrate climate disaster risk management aspects into the local development plans and budget allocation guidelines.

#### ***UN Framework in Timor-Leste***

56. From a UN system point of view, this project was also part of the strategies identified in the United Nations Development Assistance Framework (UNDAF) 2009-2013 and in the current UNDAF 2015-2019. At the time of the design of this project, the project was well aligned with the UNDAF 2009-2013 outcome #2, which as “*by 2013, vulnerable groups experience a significant improvement in sustainable livelihoods, poverty reduction and disaster risk management within an overarching crisis prevention and recovery context*”. More specifically, the project has been contributing to two Country Programme Outcomes: 2.1 - *Vulnerable groups, particularly IDPs, disaster-prone communities, women and youth, benefit from opportunities for sustainable livelihoods*; and 2.2 - *Local communities and national and district authorities practice more effective environmental, natural resource and disaster risk management*.

57. Under the new UNDAF 2015-2019, the project is also well aligned with the first outcome targeting the social sector that is “*People of Timor-Leste, especially the most disadvantaged groups, benefit from inclusive and responsive quality health, education and other social services, and are more resilient to disasters and the impacts of climate change*”. It is particularly contributing to the fourth sub-outcome “*People of Timor-Leste, particularly those living in rural areas vulnerable to disasters and the impacts of climate change, are more resilient and benefit from improved risk and sustainable environment management*”. In addition to this UNDAF outcome, the project is also contributing to the strategic goal targeting the infrastructure sector under outcome 2: “*People of Timor-Leste, especially the rural poor and vulnerable groups, derive social and economic benefits from improved access to and use of sustainable and resilient infrastructure*”.

#### ***The Hyogo Framework for Action (2005-2015) and the Sendai Framework for Disaster Risk Reduction (2015-2030)***

58. The Hyogo Framework for Action (2005–2015) - Building the Resilience of Nations and Communities

Mid-term Review of the UNDP-GEF-LDCF-Government of Timor-Leste Project “Strengthening Community Resilience to Climate-induced disasters in the Dili to Ainaro Road Development Corridor, Timor-Leste (DARDC)” (PIMS 5108)

to Disasters - was an outcome of the Second World Conference on Disaster Reduction in Kobe in 2005. The Hyogo Framework (HFA) was the first plan to explain, describe and detail the work required from all different sectors and actors to reduce disaster losses. It was developed and agreed on with the many partners needed to reduce disaster risk – governments, international agencies, disaster experts and many others – bringing them into a common system of coordination. The HFA set five specific priorities for action:

- Making disaster risk reduction a priority;
- Improving risk information and early warning;
- Building a culture of safety and resilience;
- Reducing the risks in key sectors;
- Strengthening preparedness for response.

59. As discussed above, the DRM policy (2008) was developed in accordance with the HFA. So far, only one national progress report on the implementation of the HFA in Timor-Leste was submitted to UNISDR in October 2010. It was also noted that no National Platform for DRR was registered with UNISDR under Timor-Leste.

60. Nevertheless, the DARDC project is also well aligned with this framework. It supports the government in recognizing that DRR is a national priority, it supports the development of capacities to better manage disaster risks, it contributes to building a culture of safety and community resilience, and it develops the capacities of local administrations and communities to be better prepared for any disaster responses.

61. The *Sendai Framework for Disaster Risk Reduction (2015-2030)* was an outcome of the third World Conference on Disaster Risk Reduction (WCDRR) in Sendai, Japan in March 2015. It is a 15-year non-binding agreement which recognizes that the State has the primary role to reduce disaster risk but that responsibility should be shared with other stakeholders including local government and the private sector. It builds on the HFA and attempted at setting common standards, a comprehensive framework with achievable targets, and a legally-based instrument for disaster risk reduction. This new framework sets four specific priorities for action:

- Understanding disaster risk;
- Strengthening disaster risk governance to manage disaster risk;
- Investing in disaster risk reduction for resilience;
- Enhancing disaster preparedness for effective response, and to "Build Back Better" in recovery, rehabilitation and reconstruction.

### ***Gender considerations***

62. The Review Team found that gender considerations were well included in the design of the project. It recognized that while women's vulnerabilities to climate change and disaster are similar to those of men, they do have specific additional concerns, linked to their key roles in society and households, such as the provision of water and firewood, the destruction of and damage to the home gardens, the hindered access to markets and hence sale of products/ generation of cash, the diseases and access to clinics, etc. As elsewhere, women's concerns are broader and related to overall family wellbeing (including access to water, education and health in post-disaster conditions).

Women died in larger numbers than men in most of the countries affected by the December 2004 tsunamis. The reason given was that mothers tried to protect their children and often did not know how to swim and stay afloat. Children also died in large numbers. Many had not had risk management education, and this may have contributed to the high mortality rate.

*Source: Project Document*

63. From the outset of the project, it was recognized that aligning the project with the needs of women will increase the utility and longevity of the investments. Women will consequently be involved in planning and decision-making on implementing the investments and preference will be given to funding projects that benefit both men and women.

64. In order to ensure that the interests of local women – as well as other disadvantaged and more vulnerable groups including the elderly, children and less-abled - are adequately represented in activities supported by the project, a gender action plan was identified as a necessary step for implementing the project. It was to ensure the integration of gender perspectives in the day-to-day implementation of the

project. It was also envisioned that project activities would not be limited to responding to gender differences, but would aim to reduce gender inequality by empowering women and seeking their input.

65. The Gender Action Plan was to outline specific ways to facilitate the involvement of women in the project, including: i) consultation with women's forums on needs and requirements associated with interventions; ii) equal payment of men and women; iii) the formation of women's groups that are actively involved in decisions for DRR projects in their sucos; iv) the design and management of local EWS by women's groups and female-headed households supported by capacity development; and v) the implementation of home gardens and seed banks by women's groups. Project achievements in this area is discussed in section 4.2 below.

66. In conclusion, the DARDC project is well aligned with national strategies and programmes. It is a direct response to national priorities and needs to strengthen DRM in Timor-Leste, particularly at the Municipal, Administrative Post and suco level, and supports the government to reduce disaster risks. Hence, as discussed above, the expected results of the DARDC project are part of national priorities to strengthen the response capacity and disaster preparedness of the government and communities. The Review Team also noted that this project is well aligned with the strategies of the UN system in Timor-Leste, particularly those of the UNDP as well as the Hyogo Framework for Action and the more recent Sendai Framework for Action; both setting priorities actions for reducing disaster risks and building resilience. In addition to be well aligned with national priorities, the Review Team also noted that the project was designed using a good participative approach. A review of relevant policies, strategies, frameworks and projects was conducted at the outset of the design to ensure that the project was well aligned with national priorities. An inception workshop was held in Dili on September 19, 2013 to kick-off the design phase (PPG), which was a way to communicate the concept of the project to all stakeholders. Then, extensive stakeholder consultations took place through workshops, bilateral working sessions, field trips, surveys and one-to-one meetings. These consultations were held with government institutions, development partners, academic institutions, NGOs and members of potential target communities.

#### 4.1.2. Results Framework / Log-frame

67. The Strategic Results Framework identified during the design phase of this project presents a good set of expected results. No changes were made to the *Project Results Framework* during the inception phase. The review of the objective and outcomes indicates a satisfactory and logical "chain of results" – Activities → Outputs → Outcomes → Objective. Project resources have been used to implement planned activities to reach a set of expected outputs (6), which would contribute in achieving a set of expected outcomes (3), which together should contribute to achieve the overall objective of the project. This framework also includes - for each outcome - a set of indicators and targets to be achieved at the end of the project and that are used to monitor the performance of the project.

68. The aim of the project is to enable the GoTL to strengthen its institutional capacity to address the impacts of climate change and increased climate-induced risks in the context of ongoing DRM practices, especially at the community and district level. The project will contribute to the reduction of the risk of losses caused by climate-induced disasters to community livelihoods and to road infrastructure. The review of this Strategic Results Framework indicates that this project is well aligned with national priorities and its logic is appropriate to address clear national needs.

69. The logic model of the project presented in the *Strategic Results Framework* is summarized in table 3 below. It includes one objective, three outcomes and six outputs. For each expected outcome, targets to be achieved at the end of the project were identified.

**Table 4: Project Logic Model**

Expected Results	Targets at End of Project
<b>Project Objective:</b> Critical economic infrastructure for sustained human development protected from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development	<ul style="list-style-type: none"> <li>• MSS, NDMD, DDMCs have capacity for climate and disaster risk management planning, budgeting and delivery at the national and subnational (at least Level 4: Widespread, but not comprehensive, evidence of capacity)</li> </ul>

Expected Results	Targets at End of Project
corridor.	
<p><b>Outcome 1</b> - Knowledge and understanding of local drivers of climate-induced disasters enhanced, and consequent impacts on economic infrastructure better understood and available to policy makers, planners and technical staff</p> <ul style="list-style-type: none"> <li>● <b>Output 1.1:</b> National training facility established, providing services for at least 200 district officials, DDOC/DDMC members and community facilitators, in: climate risk and vulnerability assessment, damage and loss assessment, contingency planning, formal and informal EWS systems, climate related planning and budget management</li> <li>● <b>Output 1.2:</b> National DRM policy and institutional roles extended to address climate change and disaster risk reduction measures, including assessment methods, institutional and implementation modalities, functional and technical capacities and M&amp;E systems</li> </ul>	<ul style="list-style-type: none"> <li>● MSS, NDMD, DDMCs, MAF and other institutions have increased adaptive capacity to reduce risks and respond to climate variability</li> <li>● 200 staff and community leaders have received technical training on CCA and DRM themes with at least 50% women benefiting</li> <li>● Recommendations for at least 3 sector policies, strategies and plans that explicitly include climate change adaptation and DRM.</li> <li>● Recommendations for at least 3 sector policies, strategies and plans specifically address the needs of women concerning climate change adaptation and DRM.</li> </ul>
<p><b>Outcome 2</b> – Sub-national DRM institutions able to assess, plan, budget and deliver investments in climate change related disaster prevention, linked to critical economic infrastructure and assets in the Dili to Ainaro development corridor</p> <ul style="list-style-type: none"> <li>● <b>Output 2.1:</b> Capacities of district and sub-district Disaster Management Committees and District Disaster Operation Centers strengthened to plan, budget and deliver climate-induced disaster prevention financing in at least two districts (eg. for resilient shelter, improved grain storage and seed replacement, windbreaks, storm drains, small scale flood protection) benefitting at least 5,000 households</li> <li>● <b>Output 2.2:</b> Community to district-level EWS for climate-induced extreme events designed, tested and installed, with related capacities provided (contingency planning) for at least 5,000 vulnerable rural households, with a focus on women</li> </ul>	<ul style="list-style-type: none"> <li>● Full expenditure of additional funds (\$50,000 per district per annum) on measures for community-level climate risk reduction implemented through DDMCs/district disaster focal points</li> <li>● 50% of beneficiaries of community level measures for climate related disaster risk reduction and preparedness are women</li> <li>● At least 5,000 households will benefit from risk reduction activities and awareness activities comprising: <ul style="list-style-type: none"> <li>○ EWS</li> <li>○ Improved resilience of agricultural systems</li> <li>○ Erosion control/sustainable land and water management</li> </ul> </li> </ul>
<p><b>Outcome 3</b> – Community driven investments implemented to reduce climate change and disaster induced losses to critical infrastructure assets and the wider economy</p> <ul style="list-style-type: none"> <li>● <b>Output 3.1:</b> Output 3.1: Watershed-level climate change vulnerability and risk assessments carried out within the Dili to Ainaro road corridor covering at least 35 sucos, informing district and sub-district level planning, prioritization and budgeting (linked to WB hazard assessments)</li> <li>● <b>Output 3.2:</b> Micro-watershed management plans designed and implemented to deliver community-driven resilience measures for reducing the impacts of climate-induced disasters (flooding and landslides) in vulnerable micro-watersheds along the Dili-to- Ainaro Road Development Corridor, covering at least 50,000 hectares outside of the WB road project Right of Way (RoW).</li> </ul>	<ul style="list-style-type: none"> <li>● Score improved to 4: By the end of the project, at least 50% of targeted households have engaged in climate resilient land use methods and livelihoods introduced/strengthened in the project.</li> <li>● At least a quarter of targeted area of degraded lands reforested or other land stabilization methods applied (e.g. agroforestry, fodder and timber production etc.) while decreasing vulnerability of the DARDC to disasters</li> <li>● At least 50% of households surveyed confirm a clear link between resource management and resilience of livelihoods and physical infrastructure assets</li> </ul>

70. This strategy or “logic model” was confirmed during the inception phase of the project, including at the inception workshop held in Dili on October 29, 2014. No changes were made at this stage to the *Project Results Framework*, including its set of indicators and targets. The only changes made were at the planned activity level reflecting the changes to the context of the project between the time the project was designed and the time of the inception phase. The changes to the context of the project were also documented in the inception report. The project was launched officially on November 29, 2014 in suco Selo Craic with the presence of the UNDP Administrator and Under-Secretary-General, Ms. Helen Clark, H.E. Fernando Lasama de Araújo, Vice Prime-Minister of Timor-Leste, H.E. Isabel Amaral Guterres, Minister of Social Solidarity, and H.E. Jacinto Rigoberto, Vice Minister of Social Solidarity.

71. However, the Review Team also noted that more discussions took place during the inception phase between the UNDP-GEF team, the WB team and MSS to ensure a good collaboration between the 2 projects

(see also section 4.1.1, paragraph 32). It was noted that at a meeting in February 2015, HE the Minister of Social Solidarity requested close cooperation between the 2 projects seeking synergies among all project activities, reducing the expected workload for MSS as well as district and local administration and avoiding confusion among communities. At this same meeting, a decision was made that both projects will use the CBDRM manual which had been drafted by consultants for the World Bank component. The teams also developed jointly terms of reference for the position of a Liaison Officer to support the Director of NDMD in his oversight role for both projects. However, at the time of this MTR, no Liaison Officer has been hired. Finally, during this inception phase, it was also anticipated that the initial risk and hazard assessment for the entire DARDC funded by the WB project would be available at the end of March 2015 and should set the basis for risk and vulnerability assessments for project areas of the DARDC project.

72. The review of the *Project Results Framework* indicates a good coherence and logic among its expected results: outputs, outcomes and objectives. As stated in its objective, it is a project seeking to “*protect critical economic infrastructure for sustained human development from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor*”. Using a three-pronged approach, the project seeks to contribute to the development of capacities of national institutions involved in DRM through training and improving the enabling environment such as the policy and legislative framework under the first component. Under the second component, the project focuses on developing the DRM capacity at the sub-national levels, both Municipal and Administrative Post levels but also at the community level. Finally, under the third component, the project supports financially community-driven investments seeking to reduce critical infrastructure assets losses due climate change and natural disasters.

73. However, despite the good logic model of this project, the detailed review conducted for this MTR indicates that it is a complex and ambitious project focusing on many new areas for Timor-Leste, some of which could be stand-alone projects by themselves. Based on the review of the project document, the project includes:

- Policy and legislation development focusing on DRM
- Develop and institutionalize DRM training
- Community Vulnerability Capacity Assessment (CVCA)
- Community Action Plans (DRR-CAPs)
- EWS and related SOPs
- Development of GIS, remote sensing imagery
- Top-up Grant system
- Watershed and micro-watershed management plans
- Integration of DRM into the PDID (planning) process
- Introduction of fukuoka-style seedballs

74. All these areas are packaged in the DARDC project and most of them include new approaches to be implemented in Timor-Leste. When considering this complexity and a relatively short time-frame (4 years), it is not surprising to realize that the project is not performing as planned (see Section 4.2 below). Some experiences in some areas existed before in Timor-Leste but not in large scales. It is the case of the CVCA, which are not conducted yet but the project was supposed to build on the CVCA experience of CARE International in Timor-Leste. However, CARE lost its CVCA expertise and it is now up to the project to find adequate CVCA expertise to conduct these community assessments, which is late in the implementation to be fully pertinent and have the time to develop national capacities in this area to sustain this process. Regarding CAPs for DRR, the concept is that based on the results of CVCAs, communities will develop their own action plans. Again, an excellent approach but also a non-institutionalized approach in Timor-Leste. These plans are not part yet of any planning and administration systems in Timor-Leste. Therefore, in addition to develop these plans, a methodology will need to be developed, including the participation/consultation process and also the integration of these plans in the existing planning system at the Suco, Administrative Post, Municipality and national levels; particularly integrating these CAPs in the Integrated District Development Planning (PDID) process. Yet, less than 18 months of implementation remain before the closure of the project.

75. Regarding the strategies to develop watershed-level climate change vulnerability and risk assessments and micro-watershed management plans (under outcome #3), there are also excellent but new concepts. Adding the complexity of the decentralization reform underway in Timor-Leste, it is a complex issue – but good - to develop/implement as a better way to manage and protect natural resources. Considering the time left in implementing this project, it is unlikely that the project will achieve much in this area.

76. In addition to the complexity of this design, the detailed review of the project strategy reveals that it is not easy to understand the role of communities (Sucos) in protecting “*Critical economic infrastructure for sustained human development protected from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor*”. On one hand, it seems a project focusing mostly on developing the capacity of relevant government agencies in managing the risks of disasters; through training, improving the enabling environment (policies and legislation), developing a body of knowledge on climate information and DRM practices, including the development of an EWS, and supporting localized investments in disaster prevention and preparedness activities through a grant system with local DRM institutions. On the other hand, the project is to conduct CVCAs and then on the basis of these assessments, developing CAPs at the suco level, which should be integrated to the PDID process. When considering the objective of the project, it is not easy to reconcile these two lines of actions, particularly the connection between the CAPs and the objective of protecting the critical economic infrastructure from climate-induced natural hazards.




77. In conclusion, the review of the project strategy and the national context for this project indicates that this strategy is a direct response to national priorities and needs. It contributes to the effort of the government to reduce the risks of natural disasters. However, its complex and ambitious strategy did not provide a useful “*blue print*”, which could be used as an implementation guide by the project team. Compounded with major implementation delays, the result is a project with no shared vision about what it is trying to accomplish, being pulled in many directions such as conducting CVCAs, developing CAPs, implementing an EWS, supporting the Forestry Directorate to plant trees, integrating DRM in the PDID process, implementing the Top-Up grant system, etc...

## 4.2. Progress Towards Results

78. This section discusses the assessment of project results; how effective the project is to deliver its expected results and what are the remaining barriers limiting the effectiveness of the project.

### 4.2.1. Progress Towards Outcomes Analysis

79. As presented in Sections 4.1, the project has been implemented through three (3) outcomes. The implementation progress is measured through a set of 10 indicators and 10 targets. On the next page is a table listing key deliverables achieved so far by the project against each outcome and their corresponding targets. Additionally, a color “*traffic light system*” code was used to represent the level of progress achieved so far by the project, as well as a justification for the given rating (color code)<sup>8</sup>.

	Target achieved
	On target to be achieved
	Not on target to be achieved

<sup>8</sup> The analysis and ratings presented in this Section have been conducted with the assumption that the project will terminate in November 2018 as per its current official ending date.

**Table 5: List of Delivered Results**

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
<p><b>Project Objective:</b> Critical economic infrastructure for sustained human development protected from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor.</p>	<ul style="list-style-type: none"> <li>• MSS, NDMD, DDMCs have capacity for climate and disaster risk management planning, budgeting and delivery at the national and subnational (at least Level 4: Widespread, but not comprehensive, evidence of capacity)</li> </ul>	<ul style="list-style-type: none"> <li>• The project has involved MSS/NDMD staff including MSS at the municipal level and Secretariat of Municipal Disaster Management Committee (MDMC) under MSA, MAF, in numerous training workshops/courses/consultation meetings conducted by the project: <ul style="list-style-type: none"> <li>i. 43 persons attended a workshop and involved in the EWS design on 22 Sept 2015 from which (F:7, M: 36) with 6 persons from MSS/NDMD and district</li> <li>ii. 55 persons (F:2, M: 53) attended two top-up grant guidelines trainings on 28 Jan and 11 February 2016</li> <li>iii. 26 persons attended GIS training on 16-17 Dec 2015 with participation from PDID Engineers from 6 districts and MAF national staff</li> <li>iv. 25 persons from MAF attended the watershed management rapid assessment on 28-29 June 2016</li> <li>v. The project supported 4 municipal planning staff (Aileu, Ainaro, Ermera, Manufahi) to attend the Project Management Fundamental and Project Life Cycle training on 22-24 June 2016 which was conducted by the SSRI project</li> <li>vi. 5 project consultation and socialization undertaken in Sept and Oct 2015 from which involved 2 staff of MSS and 2 staffs of MAF. These trainings/workshops have increased the capacities of MSS, MAF and MSA staff at national and municipal levels with regards to CCA and DRM planning and integration in their areas of work</li> </ul> </li> <li>• A DRM training manual has been finalized and launched by the H.S. Minister of Social Solidarity and UN Resident Coordinator and UNDP Resident Representative, Mr Knut Ostby during the project's 4th steering committee meeting. The manual is expected to build the capacity of the local government institutions on planning and implementation of DRM and will become a part of INAP's mandatory curricula for capacity building of government officials.</li> </ul>		<ul style="list-style-type: none"> <li>• The project is progressing toward its objective though somewhat behind schedule that is to protect “critical economic infrastructure for sustained human development from climate-induced natural hazards”;</li> <li>• In the meantime, it is still early to assess how well the project will reach its objective and its main target. It depends a lot on the remaining implementation period, which will see critical components of the project be implemented such as the installation of EWS, implementation of CVCAs and development of CAPs, development of integrated watershed management plans.</li> <li>• As per the set of indicators and their sources of information, final survey(s) are necessary to measure the actual performance of the project at the end of its life.</li> </ul>

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
		<ul style="list-style-type: none"> <li>The DRM manual finalization process included several meetings, workshops and consultations involving experts from NDMD, INAP, CCCB and the government officials. The process also contributed to enhance the knowledge of the officials on DRM: <ul style="list-style-type: none"> <li>i. The core group (established in 2016) completed the desk review of DRM training manual. A consultation meeting was held on 21st November 2016 in Maubara and participated by key institutions such as NDMD, INAP and CCCB in order to update and adjust DRM manual.</li> <li>ii. A national consultation workshop was held from March 23 to 24, 2017 to present and discuss the final draft of DRM manual with the participation of 22 officials from national and municipal governments.</li> <li>iii. Several discussions and consultations at municipal level have been conducted to integrate DRM into PDIM process.</li> <li>iv. Timor-Leste online disaster database (tldd.mss.gov.tl) has been developed and launched. The database will be maintained and updated by the National Disaster Management Directorate (NDMD) and will be useful for making informed decisions and planning of DRM activities both at national and sub-national level.</li> </ul> </li> </ul>		
<b>Outcome 1</b> - Knowledge and understanding of local drivers of climate-induced disasters enhanced, and consequent impacts on economic infrastructure better understood and available to policy makers, planners and technical staff <ul style="list-style-type: none"> <li><b>Output 1.1:</b> National training facility established, providing services for at least 200 district officials,</li> </ul>	<ul style="list-style-type: none"> <li>MSS, NDMD, DDMCs, MAF and other institutions have increased adaptive capacity to reduce risks and respond to climate variability</li> </ul>	<ul style="list-style-type: none"> <li>Staff from MSS/NDMD (9) have participated in many project-organized events, including workshops on general and technical matters, PSC meetings, Technical working group meetings and field trips, and have obtained at least basic capacity levels to deal with risk reduction and climate variability issues. To date, a total of 593 people participated in 19 different events including 111 women.</li> <li>The project has recruited an international consultant to assess the capacity of national and sub-national institutions to respond to climate-induced disasters and to develop capacity development strategy.</li> </ul>		<ul style="list-style-type: none"> <li>Several training events took place with staff involved in DRM and should have contributing to increasing their DRM capacity. More training is planned during the remaining phase of the project.</li> <li>A final survey is necessary to assess the accrual DRM capacity increase.</li> </ul>
	<ul style="list-style-type: none"> <li>200 staff and community</li> </ul>	<ul style="list-style-type: none"> <li>The project organized 2 workshops in Dili to present and</li> </ul>		<ul style="list-style-type: none"> <li>Several training events took place with</li> </ul>

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
<p>DDOC/DDMC members and community facilitators, in: climate risk and vulnerability assessment, damage and loss assessment, contingency planning, formal and informal EWS systems, climate related planning and budget management</p> <p>● <b>Output 1.2:</b> National DRM policy and institutional roles extended to address climate change and disaster risk reduction measures, including assessment methods, institutional and implementation modalities, functional and technical capacities and M&amp;E systems</p>	<p>leaders have received technical training on CCA and DRM themes with at least 50% women benefiting</p>	<p>discuss the drafts of the Top-Up Grant mechanism which involved in-depth technical knowledge on DRM and CCA. Participants included staff from MSS and MSA as well as 4 Municipality Administrators (MA) and several chefe de sucos (all men).</p> <ul style="list-style-type: none"> <li>● Four Top-Up Grant community meetings were held in Ainaro, Aileu, Manufahi and Ermera. They involved 132 representatives from communities (112 men / 20 women) including MAs, District Development Officers (DDOs), 1 Sub District Administrators, chefe sucos and other suco council members, chefe aldeias, representatives of the Water and Sanitation Departments and the Environment Departments, and local / municipality level representatives of MSS, MAF and MSA. Many of these participants have since been involved in the development of projects to be submitted to the Top-Up Grant mechanism</li> <li>● Trained 22 participants from INAP and MSS on DRR/DRM/CCA and have concluded two events of training participated by 90 civil servants from 8 municipalities</li> <li>● The project conducted “<i>Training of Trainers</i>” course for 22 trainers (5 of them were women) from NDMD, INAP and CCCB to build their capacity to organize and conduct DRM trainings for governmental officials at municipality level.</li> <li>● The project has already trained 130 participants including 13 women from 8 municipalities on disaster risks assessment, disaster risks management and integrating DRM activities into local level planning process.</li> </ul>		<p>staff involved in DRM and should have contributing to increasing their DRM capacity. More training is planned during the remaining phase of the project.</p> <ul style="list-style-type: none"> <li>● A final survey is necessary to assess the accrual DRM capacity increase.</li> </ul>
	<ul style="list-style-type: none"> <li>● Recommendations for at least 3 sector policies, strategies and plans that explicitly include climate change adaptation and DRM</li> </ul>	<ul style="list-style-type: none"> <li>● CCA and DRM have been incorporated in the draft DRM Policy and draft DRM Law developed in 2014 and 2015, however the policy and law have not yet been approved and are subject to disagreements between MSS and MoI. The Prime Minister's Office is now preparing a new Law on Civil Protection and the draft documents have been made available so DRM and CCA issues can be included.</li> </ul>		<ul style="list-style-type: none"> <li>● The Project has been supporting the revision of the DRM policy and the drafting of a DRM Law. These instruments should now be revised to incorporate the latest DRM development such as the Sendai Framework for Action and the 2016</li> </ul>

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
		<p>Further opportunities for input into the new law are being sought.</p> <ul style="list-style-type: none"> <li>MSA included references to CCA and DRM in new guidance for the PDIM process as a consequence of the development of the Top-Up Grant mechanism</li> </ul>		Law on Decentralization.
	<ul style="list-style-type: none"> <li>Recommendations for at least 3 sector policies, strategies and plans specifically address the needs of women concerning climate change adaptation and DRM</li> </ul>	<ul style="list-style-type: none"> <li>A gender situation analysis has been completed and has provided overall situation of gender related issues in the project area and in general in Timor-Leste. A gender action plan has been developed, which will be integrated into project activities and annual work plan of 2018. A gender policy has been drafted and is being reviewed for publication.</li> </ul>		<ul style="list-style-type: none"> <li>Actions were identified following the gender assessment and situational analysis. These actions will be incorporate in the Annual World Plan (AWP) 2018.</li> </ul>
<p><b>Outcome 2</b> – Sub-national DRM institutions able to assess, plan, budget and deliver investments in climate change related disaster prevention, linked to critical economic infrastructure and assets in the Dili to Ainaro development corridor</p> <ul style="list-style-type: none"> <li><b>Output 2.1:</b> Capacities of district and sub-district Disaster Management Committees and District Disaster Operation Centers strengthened to plan, budget and deliver climate-induced disaster prevention financing in at least two districts (eg. for resilient shelter, improved grain storage and seed replacement, windbreaks, storm drains, small scale flood</li> </ul>	<ul style="list-style-type: none"> <li>Full expenditure of additional funds (\$50,000 per district per annum) on measures for community-level climate risk reduction implemented through DDMCs/district disaster focal points</li> </ul>	<ul style="list-style-type: none"> <li>The project has selected an international firm to conduct vulnerability assessment (CVCAs) and to develop community action plans to respond to climate hazards. The action plans will be embedded into annual work plan of the project in 2018.</li> <li>The Top up grant mechanism has been developed and approved by the government. An implementation manual has also been developed to facilitate the grant disbursement.</li> <li>A Letter of Agreement has been signed between the Ministry of State Administration and four municipalities on May 5th, 2017 to implement the mechanism.</li> <li>7 projects have been selected to be financed under the first phase of the top-up grant mechanism. Local administrations, including the DDMCs and district disaster focal points, have been involved in the planning process. The project has already transferred USD 206,000 to implemented these selected projects.</li> <li>9 suco bank account have been opened to date for the implementation of these projects at the suco level.</li> </ul>		<ul style="list-style-type: none"> <li>The initial phase of developing and setting up the Top-Up Grant mechanism is now completed. A first batch of 7 projects to be funded by the top-up grant was developed and 4 were submitted for funding. More projects are now expected to come on stream and be submitted for funding; particularly following the development of CAPs. Therefore, it is expected that activities under this target will expand in the coming months.</li> </ul>
	<ul style="list-style-type: none"> <li>50% of beneficiaries of community level measures for climate related disaster risk</li> </ul>	<ul style="list-style-type: none"> <li>The project has implemented 79 watershed management activities, including flood protection activities and improvements to water supply facilities, engaging</li> </ul>		<ul style="list-style-type: none"> <li>A particular attention is on involving women in projects that will be funded by the “top-up” grant mechanism.</li> </ul>

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
<p>protection) benefitting at least 5,000 households</p> <p>● <b>Output 2.2:</b> Community to district-level EWS for climate-induced extreme events designed, tested and installed, with related capacities provided (contingency planning) for at least 5,000 vulnerable rural households, with a focus on women</p>	<p>reduction and preparedness are women</p>	<p>significant number of women beneficiaries. A total of 848 people have been involved in these activities so far, including 190 women.</p> <p>● Improvements to water supply facilities include reduce ways for collecting water and general improvements to accessing water, in particular during drought periods. Since water collection often is the responsibility of women, women should benefit significantly from these measures.</p>		<p>● Women should benefit particularly from projects seeking to improve potable water supply facilities.</p>
	<p>● At least 5,000 households will benefit from risk reduction activities and awareness activities comprising:</p> <ul style="list-style-type: none"> <li>○ EWS</li> <li>○ Improved resilience of agricultural systems</li> <li>○ Erosion control/sustainable land and water management</li> </ul>	<p>● The project with technical support from MSS/NDMD formed an informal technical working group for EWS composed of MSS, Meteorology department, ALGIS MPW (hydrology department), CVTL, National Authority for Communication (ANC) and Petroleum and Geophysics Institute (IPG) to coordinate the development of a EWS and endorse the design of a model EWS.</p> <p>● The project selected NESA s.r.l. an Italian company to supply Early warning equipment. Procurement process for the delivery has been completed and expected to receive and install the equipment by the end of 2017.</p> <p>● The project has recruited 3 focal points to work with Meteorological Department to operate EWS equipment and work with local communities. The Meteorological Department will collaborate with BMKG Indonesia to install the equipment and build the capacity of the focal points and local communities to operate the equipment.</p> <p>● A detailed GIS based risks assessment has been completed for the project areas. A plan has been developed to raise awareness of the local communities on the potential disaster risks they are facing or will face in the future and escape plans in case disasters occur.</p> <p>● Procurement of 4 drones has been completed to introduce modern technology for disasters monitoring. Monitoring officers from Ministry of Agriculture and Fisheries and Ministry of Social Solidarity will be trained to use the drones and integrate with spatial dataset.</p>		<p>● 6 weather stations should be installed by end of 2017 and will be part of a EWS led by the Meteorology Directorate.</p> <p>● Drones will be provided to monitor disasters</p>

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
<p><b>Outcome 3</b> – Community driven investments implemented to reduce climate change and disaster induced losses to critical infrastructure assets and the wider economy</p> <ul style="list-style-type: none"> <li>● <b>Output 3.1:</b> Output 3.1: Watershed-level climate change vulnerability and risk assessments carried out within the Dili to Ainaro road corridor covering at least 35 sucos, informing district and sub-district level planning, prioritization and budgeting (linked to WB hazard assessments)</li> <li>● <b>Output 3.2:</b> Micro-watershed management plans designed and implemented to deliver community-driven resilience measures for reducing the impacts of climate-induced disasters (flooding and landslides) in vulnerable micro-watersheds along the Dili-to- Ainaro Road Development Corridor, covering at least 50,000 hectares outside of the WB road project RoW.</li> </ul>	<ul style="list-style-type: none"> <li>● Score improved to 4: By the end of the project, at least 50% of targeted households have engaged in climate resilient land use methods and livelihoods introduced/strengthened in the project</li> </ul>	<ul style="list-style-type: none"> <li>● The project has implemented several watershed management activities in the project area. The project built 175 check dams in several locations along the Dili Ainaro corridor involving local communities to prevent the risks from flood and soil erosion and to strengthen the resiliency of agriculture land.</li> <li>● The project has also established agro-forestry sites engaging local communities to demonstrate the benefits from agro-forestry practice to improve livelihood conditions of the people.</li> </ul>		<ul style="list-style-type: none"> <li>● Watershed activities are being assessed before identifying further actions in this area. The project will also support the development of an integrated community watershed management plan.</li> </ul>
	<ul style="list-style-type: none"> <li>● At least a quarter of targeted area of degraded lands reforested or other land stabilization methods applied (e.g. agroforestry, fodder and timber production etc.) while decreasing vulnerability of the DARDC to disasters</li> </ul>	<ul style="list-style-type: none"> <li>● GIS based watershed mapping in the project area has been completed that shows the potential watershed hazards in the project area.</li> <li>● The project has established 4 nurseries and completed 19 ha community based afforestation and agro-forestry as demonstration sites. These activities will be extended to more areas engaging more farmers in 2017 and 2018.</li> <li>● An assessment is underway to develop watershed profiles of the project areas and to develop standards and operation procedures for watershed management applicable to both project sites and Timor-Leste at large. Based on the standards and community vulnerability reports, a detailed watershed management plan will be developed for sustainable land use practice.</li> </ul>		<ul style="list-style-type: none"> <li>● Good progress has been made in this area and more is expected during the remaining phase of the project.</li> </ul>
	<ul style="list-style-type: none"> <li>● At least 50% of households surveyed confirm a clear link between resource management and resilience of livelihoods and physical infrastructure assets</li> </ul>	<ul style="list-style-type: none"> <li>● The project has developed a communication plan, which will be implemented for the rest of the project period. The project has published two issues of project bulletins to inform communities regarding project activities. There will be several communication activities at local level. An assessment will be done towards to end of the project to assess the understandings of the local communities on linkages between resource management and climate resiliency.</li> </ul>		<ul style="list-style-type: none"> <li>● As key deliverables should be delivered in the months to come, it is expected that the project will start communicating more back to stakeholders but also throughout the country.</li> </ul>

Source: Adapted from project progress reports, including the PIR-2016 and draft PIR-2017 and information/observations collected during the fact-finding mission in Timor-Leste

80. The overall progress made so far by the project is limited. Due to numerous delays since the outset of this project – mostly management delays to hire staff, including a new CTA and consultants and procuring equipment and services including identifying potential service suppliers as well as establishing agreements with government agencies – project activities have been slow to be implemented. One particular indicator showing that the project is behind schedule is the level of project disbursements. With a project starting date in October 2014, the project expended \$1,881,400 during the first 32 months or only 36% of the LDCF grant versus 67% of its timeline (32 months out of 48 months).

81. When considering the progress made so far it is difficult to see how all expected results will be achieved by project-end and state that the project protected the “critical economic infrastructure for sustained human development from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor”, which is the objective of the project. In the meantime, when considering the overall target that was identified at the outset of the project to measure the project performance, activities supported by the project will certainly have increased the capacity of “MSS, NDMD, DDMCs for climate and disaster risk management planning, budgeting and delivery at the national and subnational levels”. However, by the end of the project, the key questions about the performance of the project will be how much capacities were developed and how much capacity will still be needed to contribute to a better DRM approach in Timor-Leste.

82. Despite the current low level of achievements so far, the Review Team also noted that in the last few months, the implementation of the project has accelerated, corresponding to the arrival of a new CTA to lead the project. According to the project team, the project has been advancing swiftly for the last 8 weeks with identifying, tendering and contracting suppliers of services and goods requested by the project. Discussion with the Project Team indicates that about \$280,000 to \$300,000 are in the process of being contracted, in addition to regular project expenses such as staff, training activities, grants, etc. These new commitments include:

- **Installation of 6 Weather Stations:** With about \$75,000 from the project, 6 weather stations are being purchased and should be installed soon in the 6 Administrative Posts covered by the project. These stations will become part of the Meteorology Directorate assets to monitor the weather and weather patterns, identify weather trends, monitor potential climate-induced disasters and use for forecasting and modelling climate risks. In addition to providing the equipment for the weather stations, the project will also support 2 staff based in Dili to help the Meteorology Directorate to transition to the use of this new equipment. It is expected that by project end, these 2 staff will be funded by the regular budget of the Directorate. The Review Team noted the difficulties in procuring this equipment. The process started in 2015 with an assessment/design of the EWS requirements, two RFPs were subsequently issued without succeeding in procuring a EWS turn-key solution. It is only recently that following a tender process, an Italian company was selected to supply Early warning equipment. This equipment should be installed and functioning by the end of 2017.
- **Supply of Drones and Associated Training:** With a budget of about \$60,000, the project is supporting the purchase of four drones to introduce modern technology for disasters monitoring, as well as the associated training of monitoring officers from the Ministry of Agriculture and Fisheries and the Ministry of Social Solidarity on how to use the drones and how to interpret and integrate the data collected with spatial dataset.
- **Conduct Community Vulnerability Capacity Assessments (CVCA):** With a budget of about \$72,000, the project should finally support the implementation of vulnerability assessments in the 25 sucos that are part of the DARDC project sites. Despite that this is late in the implementation of the project, this is a good news to see progress in this area. However, the Review Team noted that it has been a rather long process to get to this stage. The initial plan, which was described in the project document and in the inception report, was to contract CARE International to conduct these CVCA, using their Climate Variability Risk and Vulnerability Assessment (CVRVA) methodology, which the SSRI project was already applying at the time. However, by mid-2015, recognizing that CARE International lost its local expertise, a decision was made to go with the World Bank approach but nothing happened with this option. End of 2015 another attempt was made to recruit a local NGO; but the search ended up as being again

unsuccessful. No progress was made on this file until May-June 2017 when following the arrival of the new CTA, the project team was able to identify potential suppliers for conducting these CVCAs. Following a tender process, a European firm was selected and is in the process to be contracted to conduct these vulnerability capacity assessments, which are expected to be completed in the coming months.

- ***Develop an Integrated Community's Watershed Management Plan:*** The project will support sustainable land use and watershed management assessments, develop standard watershed and land use plan and procedure and develop an integrated community watershed management plan. A budget of about \$70,000 is allocated to this initiative. A GIS-based watershed mapping in the project area has already been completed that shows the potential watershed hazards in the project area. An assessment is following to develop watershed profiles of the project areas and to develop standards and operation procedures for watershed management applicable to both project sites and Timor-Leste at large. Based on the standards and community vulnerability reports, a detailed watershed management plan will be developed for sustainable land use practice.

83. Based on the review of activities supported by the project since its inception, the Review Team identified the following key results achieved to date:

- ***DRM Training Modules:*** The project supported the revision of DRM/DRR and Climate Change Adaptation (CCA) training material, which has been initially developed under the DRM-1 project. This material was revised under the leadership of the Center for Climate Change and Biodiversity (CCCB) and in collaboration with the National Institute for Public Administration (INAP). The objective of the revision of this training programme has been to update the content of the modules and institutionalize a DRM training programme at INAP to facilitate the integration of DRM into national and sectoral development policies and programmes. Its aim has been to increase the skills and knowledge of DRM decision makers, planners and technical staff to enable them to assess the risks posed by climate-induced disasters. Training is provided to all levels within the current institutional framework for DRM within NDMD, and to mid-level government officials at the national, municipality, administrative post and community levels. 14 training modules are now completed. What is left is to sustainably institutionalize this training programme within INAP.
- ***Training of Staff:*** Increasing the skills and knowledge of staff involved in DRM/DRR is part of developing the DRM/DRR capacity of Timor-Leste. So far, the project has involved and delivered numerous training workshops/courses/consultation meetings, etc. focusing on the different parts of the project such as development of EWS, development of a Top-Up Grant mechanism, and training capacity on DRM.
- ***Policy and Legislation Development:*** CCA and DRM have been incorporated in the draft DRM Policy and draft DRM Decree-Law developed in 2014 and 2015. Both were submitted to the Council of Ministers, but have not yet been approved and are subject to disagreements between MSS and MoI. In the meantime, discussion with the Project Team during this MTR reveals the need to review this revised policy draft and possibly the draft Decree-Law and incorporate the *Sendai framework for DRR (2015-2030)*, which was an outcome of the third World Conference on Disaster Risk Reduction held in Sendai, Japan in March 2015. This new framework recognizes that the State has the primary role to reduce disaster risk but that responsibility should be shared with other stakeholders including local government and the private sector. It builds on the HFA and sets four specific priorities for action.
- ***"Top-Up" Grant Mechanism:*** The objective of this mechanism is to "*mainstream DRR and adaptation to climate change into local development, using additional resources and eligible actions, to complement and protect investment projects conducted under the Integrated Municipal Development Planning (PDIM) instrument, the Municipal Investment Plan (PIM) and the National Plan for Suco Development (PNDS)*". The approach is to demonstrate the feasibility of this mechanism in the project area using the LDCF funds. The mechanism has been implemented in four municipalities to date with the collaboration of MSA and an agreement was signed by all Parties in May 2017 to implement the mechanism. Under this initiative 7 projects have been selected to be financed by the "top-up" grant mechanism. Local administrations, including the DDMCs and district disaster focal points, have been involved in

the planning process and 9 suco bank accounts have been opened to date for the implementation of these projects.

- **Plantations:** Four nurseries have been established and are producing local agro-forestry species. Seedlings were provided to communities and so far, a total of about 19ha have been planted in the project area.
- **Watershed Activities:** A total of 175 watershed activities (mostly check dams) have been implemented in several locations along the Dili-Ainaro corridor involving local communities to prevent the risks from flood and soil erosion and to strengthen the resiliency of agriculture land. However, during the past rainy season, a lot of these check dams were destroyed by surface water run-off; particularly those constructed with local traditional material such as bamboo. A complete review of these activities is under way to assess and identify the bad and best practices and develop a plan to move forward.

84. In addition to these achievements, the project completed a gender assessment and situational analysis, which has provided an overall situation of gender related issues in the project area and in general in Timor-Leste. Based on this assessment a gender action plan has been developed, which will be integrated into project activities and annual work plan for 2018. A gender policy has also been drafted and is being reviewed for publication. Using project case studies, this gender assessment aimed to provide evidence-based information on the gender differential impact of climate change and disasters on women and men, and to identify how gender equality and women's empowerment can be strengthened across climate change and disaster risk policies, institutions and projects in Timor-Leste.

85. The assessment found that gender inequality and women's disempowerment are the determining factors behind women and girls being disproportionately affected by climate change and disasters; and at the same time their *"skills and life experiences are not identified as resources, and, therefore, are not incorporated into risk reduction and disaster preparedness, relief or recovery efforts"*. Moreover, the assessment found that the current institutional arrangements for addressing gender equality, climate change and disaster risk are not conducive for addressing gender in CCA and DRR, with most lacking knowledge and capacity to mainstream gender. It also revealed inadequate representation and participation of women at the community-based project related decision-making bodies. It found that there is a weak presence of women in power decision making structures (women make up only 2% of village chiefs, and 28% women in the village councils), which means that their needs might not been properly addressed, nor their opinions and experiences taken into consideration.

86. Furthermore, the analysis of case studies from the SSRI and DARDC projects showed women's low levels of participation in the implementation of these projects, especially in infrastructure related work and the delivery of services. It showed the underlined limited knowledge of the gender approach by both project teams, including implementing partners, both government, CSO, as well as contractors selected to carry out the physical infrastructure projects. Despite that the assessment revealed that government authorities from national to local level were generally aware of the need to address existing gender equality imbalances and to mainstream gender in CCA and DRR initiatives, limitations were noted at all levels on technical capacity to mainstream gender CCA and DRM interventions such as valuing women's participation, capacity to mainstream DRM/CCA and gender needs, and assessing gender needs, communication, monitoring and evaluation.

87. The Review Team found that one area that is particularly behind schedule is the completion of CVCAs and subsequently the development of Community Action Plans (CAPs). As discussed in Section 4.1.2 above, these are new concepts/approaches in Timor-Leste. For any long-term impact, they would first need to be demonstrated as valuable approaches, then learning from these demonstrations the project needs to ensure the institutionalization of these approaches through the respective government agencies. Additionally, as part of sustaining the use of CAPs, they would need to be integrated in the local planning (PDID) process. Considering the remaining time for implementing this project, it is important that the Project Team focuses on these actions to have sufficient time to focus on the sustainability/institutionalization of these new approaches.

88. In conclusion, the assessment of the project performance conducted for this review indicates that the progress of the project at this point in time is moderately satisfactory. Without any time extension, the

Review Team found that there is a risk that some project targets won't be fully achieved and that the sustainability of some activities/achievements may be hampered by the lack of time. However, it was also noted that the delivery of project activities has recently accelerated, and that during the next 12 months most of the key activities will be either completed or underway; the Project Team should be able to focus on the sustainability of achievements during the last few months of implementation, including a proper exit of the project. In order to ensure that the project will protect *“critical economic infrastructure for sustained human development from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor”* it is recommended to extend the project for at least 6 months while ensuring there is enough budget to cover the additional expenses for this time extension. It would give more time to the Project Team and the counterpart agencies to ensure the long-term sustainability of most achievements.

#### **4.2.2. Remaining Barriers to Achieve the Project Objective**

89. With a project starting date of November 2014, the project completed 32 months out of a total duration of 48 months, that is 67% of its elapsed time; only 16 months remain for the implementation of project activities. The Review Team noted the acceleration of the implementation of activities over the last 2 months corresponding to the arrival of the new CTA. From a management perspective, despite the project being behind schedule, no real management barriers seem to exist at this point in time, except the limited time left to implement project activities. It follows a period whereby a series of administrative difficulties to procure project services and goods delayed the implementation of activities. However, currently, most key activities, such as installation of a EWS, conduct CVCAs, procurement of drones, and develop integrated watershed management plans, are now underway and should be completed in the coming months. The major challenge ahead for the Project Team is to make sure that these activities are delivered on time and that sufficient time remains before closing the project to focus on the long-term sustainability and institutionalization of project achievements and the proper exit strategy of the project.

90. At a more strategic level, the rationale of the project is to address a series of barriers, which were identified at the outset of the project. They include: (i) limited knowledge of climate information and DRM practices; (ii) limited technical capacity for data management and application; (iii) lack of a national EWS framework and standard operating procedures; (iv) limited capacity for planning, budgeting and implementing DRM; (v) limited implementation of watershed management approaches to protect infrastructure and livelihoods; and (vi) limited financial resources for increased resilience to climate-induced disasters. These barriers, which were identified by the government, are preventing the implementation of a long-term solution that is to ensure that important economic infrastructure in Timor-Leste is more resilient to climate-induced disaster risks to secure the medium- to long-term development benefits of vulnerable and isolated local communities. The review of progress made by the DARDC project indicates a clear contribution of the project in removing these barriers. Through the support of GIS mapping and risk assessment activities and training, the installation of 6 weather stations and the development of a national online disaster database, the project has certainly been contributing to the removal of some of the above barriers. However, there is still a long way before the project and the government can claim that all these barriers are fully removed. It is particularly true for the barrier *“limited capacity for planning, budget and implementing DRM”*. The piloting of CVCAs, CAPs and the integration of these action plan in the PDID process will certainly contribute to remove this barrier but as discussed in the previous section, the project has a limited time to demonstrate fully these new approaches for assessing, planning, budgeting and implementing DRM activities at the local level.

91. Finally, with the acceleration of the implementation of activities, the Review Team found that it is somewhat “piecemeal” with lack of a clear shared vision about what the project is trying to accomplish. A EWS is being implemented with the Meteorology Directorate; watershed/forestry activities are implemented with MAF; a DRM training programme was revised by CCCB and should be institutionalized at INAP; a to-up grant mechanism has been developed with MSA and funded by the project; and CVCAs will be conducted and CAPs will be developed with MSS, the municipalities, the administrative posts and the targeted sucos. Interviews conducted during this MTR indicates that most stakeholders have a limited view on the overall strategy of the project, they are focusing mostly on their respective areas of involvement. Very few stakeholders have a complete and shared vision about what the project is trying to contribute to. Consequently, there is a lack of leadership to bring all these “pieces” together and develop a clear way

forward to complete the project, ensure the long-term sustainability of project achievements and identify “*what is next*” after the project end. It is recommended to conduct a strategic session with key stakeholders to identify and share a common vision for the remaining period of implementation of the project.

### 4.3. Project Implementation and Adaptive Management

92. This section discusses the assessment of how the project has been implemented. It assessed how efficient the management of the project has been and how conducive it is to contribute to a successful project implementation.

#### 4.3.1. Management Arrangements

93. The management arrangements of the LDCF project is as follows:

- The *GEF Agency* for this project is the UNDP;
- The *Implementing Partner* of the project is MSS. It acts as the Lead Government Agency with overall responsibility for the project and reporting to UNDP Timor-Leste according to standard DIM procedures.
- MSS assigned the *National Disaster Management Directorate (NDMD)* to undertake day-to day implementation activities including responsibility for the implementation of project components 1 and 2.
- The *Directorate for Forestry* under the Ministry of Agriculture and Fisheries (MAF) is responsible for the implementation of activities under Outcome 3, which is the development of watershed management strategies and plans and the implementation of respective resilience measures.
- The project is guided by a *Project Board (PB)* – also called *Project Steering Committee (PSC)* - that is co-chaired by the Minister of MSS and UNDP. It is responsible for making management decisions for the project in particular when guidance is required by the Chief Technical Advisor (CTA)/Project Manager (PM). It fulfils a role of quality assurance, ensuring an effective implementation of the project. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems with external bodies. The PSC also approves the appointment and responsibilities of the CTA, the Annual Work Plans (AWPs) and Budgets, and any essential deviations from the original plans. Decisions made by the PSC are made in accordance to UNDP standards, ensuring UNDP’s ultimate accountability for project results. The Board contains three distinct roles, including:
  - i. An *Executive*: MSS/NDMD with the Minister of MSS as focal point and representing the project ownership. Her/his role is to ensure that the project is focused throughout its life cycle on achieving its objective and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, and balancing the demands of beneficiaries and supplier;
  - ii. Senior Supplier: A representative of UNDP representing the interests of the party that provides funding for project activities. Its primary function within the PSC is to provide guidance regarding the technical feasibility of the project. It is also held accountable for fiduciary oversight of LDCF resources in this project;
  - iii. Senior Beneficiaries: Individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiaries’ primary function within the PSC is to ensure the realization of project results from the perspective of project beneficiaries. This group includes a representative from MAF to ensure the development of watershed management strategies and plans and the implementation of respective resilience measures. It also includes Ministry of Public Works (MPW), Ministry of State Administration (MSA), Ministry of Commerce, Industry and Environment (MCIE), and Ministry of Justice (MoJ).
- A *Technical Working Group (TWG)* was planned in the project document and consisting of technical level staff from all Ministries, NGOs and donors represented on the PSC.

- A *National Project Director (NPD)* was appointed by MSS. The NPD is the Director of NDMD. The NPD is responsible for monitoring and facilitating project implementation and ensuring coherence between plans and priorities of all Ministries (*This function is funded by the government*).
- The *Chief Technical Advisor (CTA) / Project Manager (PM)* was appointed by UNDP and was confirmed by the Project Board. The CTA/PM has the authority to run the project on a day-to-day basis on behalf of UNDP and the constraints laid down by the PSC. The CTA/PM's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The CTA/PM manages the overall budget and expenditure of the project. The CTA/PM reports jointly to the NPD and to the UNDP Country Director (*This function is funded by the LDCF funds*).
- A *Project Management Unit (PMU)* was established at the beginning of the project; it is located on the premises of NDMD building in Dili. It provides project administration, management and technical support to the CTA/PM as required by the needs of day-to-day operations. The unit is composed of the following staff (*all funded by the LCDF funds*):
  - i. Chief Technical Advisor (CTA)
  - ii. National Project Coordinator
  - iii. Finance & Administration Officer
  - iv. Procurement and Administration Officer
  - v. Communication Officer
  - vi. 2 Social/Community Mobilization Officers (based in Aileu and Ainaro)
  - vii. 2 Field Project Coordinators (based in Aileu and Ainaro)
  - viii. 4 Drivers, including one based in Aileu and one in Ainaro

It was noted by the Review Team that the first CTA started on the project in October 2014 and left the project in August 2016 (a total of 23 months). Then, after a period of almost 9 months, a second CTA was hired in May 2017.

- Two field project offices, located in Aileu and Ainaro, are used by the 2 Social/Community Mobilization Officers and the 2 field Project Coordinators (*these offices are provided by Municipal Administrators and furnished by UNDP-LCDF*)

94. As per the project document, the UNDP Country Programme in Timor-Leste requires that the Direct Implementation Modality (DIM) be used for all UNDP programmes in the country. However, as part of UNDP's capacity development strategy for Timor-Leste, UNDP has been using a National Implementation Modality (NIM) type approach under the overarching DIM management arrangements. This approach utilizes NIM advances, based on capacity assessments of the line ministries involved and assurance measures are undertaken to mitigate capacity gaps. Under this project, UNDP provides LDCF financial resources for project activities using three main modalities, namely: i) direct cash transfers; ii) direct payments; and iii) support services. Letters of Agreement (LOAs) were signed for direct cash transfers with the relevant government entities, which are "*Responsible Parties*" under UNDP rules and regulations. Purchase orders have been issued for direct payments and service contracts have been signed for support services.

95. Three agreements were signed between the project and the responsible parties implementing project activities:

- MOU with MSS: The project signed a Memorandum of Understanding with MSS to support some costs of providing technical support and oversight to the implementation of a EWS in the Dili-Ainaro road corridor. A budget of about USD 15,000 was part of this agreement.
- LOA with MSA: This LOA is an agreement between MSA and UNDP to transfer the budget portion of the LDCF grant to MSA that was allocated to the Top-Up Grant mechanism. The overall agreement is about piloting the grant mechanism to demonstrate its feasibility by integrating DRM/DRR and climate change adaptation into the annual municipal planning and budgeting system throughout the four municipalities targeted by the project. Activities include the prioritization and approval of community priority projects, the procurement process following the PDIM procedures to contract the required contractors, and the oversight and supervision of the implementation of these projects. The total budget allocated to this agreement

is about USD 400,000.

- **LOA with MAF:** This is an agreement to transfer the budget portion of the LDCF grant to MAF that was allocated to the climate resilience measures focusing on agroforestry, reforestation and watershed management activities to be implemented to reduce the impact of climate change-induced disasters related to floods, landslides and droughts. Activities include the establishment of tree nurseries, agroforestry plantations and reforestation including some terracing, building of check dams and dewponds as well as construction of organic composts. The total budget allocated to this agreement is about USD 391,000.

96. The Project Steering Committee (PSC) met four times since the inception of the project: June 15, 2015; August 17, 2016; December 19, 2016; and July 10, 2017. As planned during the formulation of the project, the PSC is the same board for both projects the DARDC and the WB-BCDRP and each meeting has included the review of both projects. The TWG met for the first time in May 2017.

97. The review indicates that the management arrangements, as planned at the outset of the project, were adequate in the context of Timor-Leste for the implementation of the project. However, as a project coordination mechanism, it is not working at its fullest; it is not fully effective in providing a good coordination among stakeholders and develop a clear vision on where the project wants to go. The PSC only met four times in 32 months, which is not enough for ensuring a good coordination of a project and guide its implementation, particularly when multiple levels of government are involved. Interviews conducted during this review indicate the need for more coordination activities and the PSC is one mechanism which would contribute to a better coordination of project activities. The PSC should also be more in the “driver seat” when it comes to guiding the implementation of the project. At least two meetings of the PSC should take place each year with at least one PSC meeting per year open to a larger group of stakeholders. The Review Team noted that the PSC met more frequently since mid-2016. These meetings should be used to communicate the progress/results of the project and the plans for the period ahead; but also to obtain feedback from stakeholders/beneficiaries and discuss the possible changes needed to make the project more effective. In addition, the recent meeting of the TWG (May 2017) will also contribute to improve the coordination among line ministries and levels of government. The Review Team fully endorsed the decision of the PSC made at the last PSC meeting (July 2017) for the TWG to meet quarterly. It also encouraged to have representatives from the Municipalities and Administrative Posts to participate to these TWG meetings.

98. Nevertheless, if the management arrangements have been adequate for implementing the project, “administrative bottlenecks” hampered the implementation of the project. It took a long time to develop and sign LOAs with key responsible parties as well as completing purchase orders with partners. The Review Team noted bottlenecks with the transfers of funds and ultimately the payments of service providers and/or the availability of funds (Top-Up Grants) at the Municipality level after transiting through national institutions. It is recommended that for the remaining implementation period, the project seeks to expedite the administration process as much as possible with direct payments, not to lose precious implementation time.

### 4.3.2. Stakeholder Engagement

99. As discussed in section 4.1.1, the project is highly relevant to national priorities. According to the project document, it was developed through extensive stakeholder consultations, including workshops, bilateral working sessions, field trips, surveys and one-to-one meetings. These consultations were held with government institutions, development partners, academic institutions, NGOs and members of potential target communities. These consultations served to align the LDCF project design with national and local priorities as well as on-going initiatives. The table below is a summary of the plan to involve stakeholders developed at the outset of the project.

**Table 6: Initial Stakeholders Involvement Plan**

	Stakeholder	Role in Project
Output	NDMD (Implementing partner)	<ul style="list-style-type: none"> <li>• Initiate and provide overall coordination of development of training facility.</li> <li>• Hire training specialist to support needs assessment and module development through the UNDP Project.</li> </ul>

	Stakeholder	Role in Project
		<ul style="list-style-type: none"> <li>• Provide technical input into content of training modules.</li> <li>• Coordinate with DRM specialists and resource persons to provide additional technical inputs into training modules.</li> <li>• Provide technical input into “training-of-trainers” courses to tailor training to national priorities.</li> <li>• Appoint multi-disciplinary trainer team based on specific criteria through a panel comprising the CTA, DRM specialist as well as training experts from MSS-NDMD, INAP and MSA.</li> </ul>
	INAP (Responsible party)	<ul style="list-style-type: none"> <li>• Coordinate needs assessment for DRM training following standard processes, including selection of representative sample group.</li> <li>• Facilitate development of additional training modules following technical inputs from NDMD and DRM specialists.</li> <li>• Review and approve additional training modules through the Review Committee.</li> <li>• Facilitate training-of-trainers as well as deconcentrated line ministry officials, district and sub-district administrators, DDMCs/DDOCs, district disaster focal points and chefs de suco.</li> <li>• Integrate, institutionalize and sustain the training facility into regular training of civil servants and ensure allocation of regular resources from the national budget</li> </ul>
	MSS, MSA, MPW, MCIE, MAF (Responsible parties), MoF	<ul style="list-style-type: none"> <li>• Participate in needs assessment to inform prioritization of training needs.</li> <li>• Provide technical input into development of training modules.</li> <li>• Coordinate training of deconcentrated line ministry officials at the district and sub-district level.</li> </ul>
	MSA and MSS district directorates (Responsible parties)	<ul style="list-style-type: none"> <li>• Coordinate training of district and sub-district administrators, DDMCs/DDOCs, district disaster focal points and chefs de suco.</li> </ul>
Output 1.2	MSS-NDMD (Implementing partner)	<ul style="list-style-type: none"> <li>• Coordinate revisions of NDRM policy in collaboration with ongoing revision under Phase I &amp; II of the MSS-UNDP-SDRM project.</li> <li>• Hire policy specialist to assist with integration of climate change adaptation into revised NDRM policy.</li> <li>• Coordinate development of CCA recommendations for sector policies in collaboration with key ministries.</li> <li>• Provide CCA technical input into policy revision, recommendations for sector policies etc.</li> <li>• Coordinate production and dissemination of knowledge products.</li> <li>• Submit and follow onto approval of the DRM Policy by the CoM and Parliament.</li> </ul>
	NDIEACC (Responsible party)	<ul style="list-style-type: none"> <li>• Provide technical inputs on climate change adaptation into revised NDRM policy.</li> <li>• Ensure alignment with NAPAs, NAPs and other relevant strategies.</li> </ul>
	MSA, MPW, MCIE, MAF, MoF (Responsible parties)	<ul style="list-style-type: none"> <li>• Provide additional technical inputs on sectoral priorities for climate change adaptation into revised policy and sectoral recommendations.</li> </ul>
Output 2.1	MSS-NDMD, MSA (Implementing partner)	<ul style="list-style-type: none"> <li>• Hire specialist to develop operational manuals and menu of options.</li> <li>• Coordinate development of operational manuals and for disaster prevention and preparedness.</li> <li>• Provide technical input into the design of measures for disaster prevention and preparedness.</li> <li>• Coordinate development of information/training materials (e.g. brochures, posters, etc).</li> </ul>

	Stakeholder	Role in Project
	MSA (Responsible party)	<ul style="list-style-type: none"> <li>• Provide technical input into menu of interventions for disaster prevention and preparedness based on experience with UNDP-SSRI project.</li> <li>• Provide technical input into design of operational manual – specifically for financial arrangements, M&amp;E and reporting – based on experience from UNDP-SSRI project.</li> <li>• Coordinate tracking of financing and implementation of selected options for disaster prevention and preparedness.</li> <li>• Integrate the manuals and menu of options with sub-national development planning process (PDID, PNDS, etc).</li> </ul>
	CARE International Timor-Leste	<ul style="list-style-type: none"> <li>• Conduct CVCAs and CAPs to identify priorities for implementation.</li> </ul>
Output 2.2	NDMD (Implementing partner)	<ul style="list-style-type: none"> <li>• Coordinate stocktaking of status quo and development of models and SOPs.</li> <li>• Hire EWS specialist to conduct assessment (stocktaking) and develop models and SOPs.</li> <li>• Provide technical input into design of community-based EWS.</li> <li>• Coordinate with testing of EWS with MSA, CVTL, NGO and communities.</li> </ul>
	CVTL (Responsible party)	<ul style="list-style-type: none"> <li>• Participate in stocktaking of current EWS operations.</li> <li>• Provide technical input into design of EWS.</li> <li>• Implement and coordinate testing of EWS with NDMD, MSA and communities.</li> <li>• Conduct awareness and training campaigns on EWS.</li> </ul>
	NDOC, DDMCs/ DDOCs, PNTL, MAF, PIG, ND Met	<ul style="list-style-type: none"> <li>• Participate in stocktaking of current EWS operations.</li> <li>• Provide technical input into potential operational models and SOPs for EWS.</li> <li>• Participate in installation and testing of EWS.</li> </ul>
Output 3.1	MAF (Responsible party)	<ul style="list-style-type: none"> <li>• Provide technical input into design of watershed management plans.</li> <li>• Provide technical input into design of GIS system.</li> </ul>
	NDMD (Implementing partner)	<ul style="list-style-type: none"> <li>• Hire specialists to design menu of interventions for watershed management approaches.</li> <li>• Coordinate activities with MAF, MPW, CARE and other NGOs.</li> </ul>
	MAF: National Directorate for Agricultural Research (NDAR); National Directorate of Forestry (NDF); National Directorate for Extension Services (NDES) (Responsible parties)	<ul style="list-style-type: none"> <li>• Participate in training sessions to build capacity to implement project activities (all directorates).</li> <li>• Provide technical input and support on conservation agriculture and permaculture interventions (NDAR).</li> <li>• Implement reforestation activities identified by the local communities through CAPs (NDF).</li> <li>• Provide advice on preventing deforestation and incentivizing local communities to change land-use practices (NDF).</li> <li>• Provide institutional support to assist the implementation of project activities (NDES).</li> <li>• Build linkages to other MAF projects conducting similar activities (NDES).</li> <li>• Implement project activities once the requisite capacity is built (NDES).</li> </ul>
Output 3.2	NGOs: RAIBEA, NaTerra	<ul style="list-style-type: none"> <li>• Implement project interventions (e.g. conservation agriculture, permaculture, reforestation, etc.).</li> <li>• Provide training to local communities on the implementation and maintenance of project interventions.</li> <li>• Provide training and skills transfer to MAF officials on the implementation and maintenance of project interventions</li> </ul>

Source: project document

100. As per the project document, a good consultation and engagement of stakeholders happened during the design/formulation of this project. The process ensured that this project respond to national priorities (*see also Section 4.1.1*). As presented in the table above, the consultation process was concluded with clear roles from each partner in implementing the various components of the project.

101. However, despite this good engagement during the formulation of the project, interviews with stakeholders during this review indicates that there is a lack of coordination/communication among lines ministries and the different levels of government. Thus, as discussed in section 4.2.2 above, there is a lack of a clear shared vision about the aim of the project; ending with the perception of a “piecemeal” approach, whereby each agency is doing its part but with a limited sense of an overall coherent approach to improve the DRM capacity in Timor-Leste. This lack of vision is partially explained with a “*corporate memory*” loss following few changes in the project leadership. On the government side, the current National Project Director (NPD) – Director of NDMD – is the third NPD to oversee the DARDC project since its inception. The first CTA stayed for about 23 months, then the project was without a CTA for about 9 months and a new CTA started 2 months ago with no continuity from the previous CTA. The current reorganization underway at UNDP Timor-Leste should also end up with a new UNDP focal point for this project. Finally, the Review Team also noted that the project team implementing the WB-BCDRP is also new. The result of these changes is a project with limited “*corporate memory*” and continuity, moving forward with a shared vision led by a coherent team. In order to address this lack of continuity, it is recommended to organize a retreat to review/define the implementation plan for the remaining period of the project.

102. Additionally, following field visits to Aileu and Ainaro, the Review Team found that the project is driven with a much top-down approach as opposed to a more bottom-up approach. It is the case, for instance, with MAF and the successful plantations in Aileu and Ainaro. When discussing with local authorities and communities, it seems that there is little ownership locally of the actions supported by the project, which could impact the long-term sustainability of project achievements. It is recommended that the project involved more local authorities on a day-to-day basis, particularly in the project decision making process and should also include representatives of sucos, beneficiaries of project supported activities.

### 4.3.3. Work Planning

103. Annual Work Plans (AWPs) were produced every year from 2015. These AWP were developed following UNDP project management guidelines. Once finalized, these AWP were reviewed and endorsed by the PSC and approved by UNDP. These AWP details the list of main activities to be conducted during the coming year following the structure of the log frame (objective, outcomes, and outputs) of the project. For each activity, they include a tentative schedule (per quarter) when each activity will be implemented and a corresponding budget from the LDCF grant.

104. The Review Team noted that the fiscal year used for these AWP was the calendar year (January to December) - the UNDP fiscal year. However, at the PSC meeting of December 19, 2016, a decision was made to align the planning cycle of the project with the government of Timor-Leste cycle that is July to June.

105. Based on the information collected by the Review Team and as presented in the table below, when comparing the budgeted annual work plans with the actual annual disbursements, there are major discrepancies.

**Table 7: Annual Work Plans versus Actual Expenditures (LDCF grant)**

Years	AWP Budgets	Actual Expenditures	% Spent
2014	(*)	70,561	n/a
2015	1,569,332	541,681	35%
2016	2,041,814	806,596	40%
2017	2,210,764	462,579 <sup>(**)</sup>	21%

Sources: Project Inception Report, AWP's and UNDP-Atlas CDR Reports

(\*) No information available for 2014.

(\*\*) Expenditures for 2017 are only to early July 2017.

106. The numbers presented in the table above reveal that so far work planning has not been very efficient; only 35 to 40% of annual plan budgets were expended in 2015 and 2016; and so far, the expenditures registered in 2017 are behind schedule with only 21% of the AWP budget expended. Nevertheless, this situation should improve during the second part of 2017 following the arrival of a new CTA in May 2017. As discussed in section 4.2.1, the Project Team indicated that about \$280,000 to \$300,000 are in the process of being contracted, in addition to regular project expenses such as staff, training activities, grants, etc. These new commitments include the installation of six weather stations; the supply of drones and associated training; the completion of Community Vulnerability Capacity Assessments (CVCA); and the development of an integrated community's watershed management plan.

107. As discussed further in the next section 4.3.4, at the time of the MTR (July 2017), there is a remaining budget of USD 3,368,583. Despite the attempt to increase the project expenditures from now on, it seems difficult to conclude that the entire LDCF grant will be expended by October 2018. In addition, considering the critical activities that still need to be implemented, the Review Team recommends that an extension of at least 6 months be planned to give more time to the Project Team to focus on the institutionalization and sustainability of project achievements.

#### 4.3.4. Finance and Co-finance

108. As discussed in Section 4.3.1, the implementation modality of the project to allocate, administer and report on project resources is the Direct Implementation Modality (DIM). However, as part of UNDP's capacity development strategy for Timor-Leste, UNDP has been using a National Implementation Modality (NIM) type approach under the overarching DIM management arrangements. This approach utilizes NIM advances, based on capacity assessments of line ministries involved in the project and assurance measures are undertaken to mitigate capacity gaps. Under this project, UNDP provides LDCF financial resources for project activities using three main modalities, namely: i) direct cash transfers; ii) direct payments; and iii) support services. Letters of Agreement (LOAs) were signed for direct cash transfers with the relevant government entities, which are "Responsible Parties" under UNDP rules and regulations. Purchase orders have been issued for direct payments and service contracts have been signed for support services.

109. At the time of this MTR, the review of financial records as recorded in the UNDP Atlas system indicates that the actual expenditures allocated against the LDCF grant for the years 2014 to July 2017 represent about 36% (USD 1,881,417) of this grant of USD 5,250,000 versus an elapsed time of 67% (32 months out of 48)<sup>9</sup>. The breakdown of project expenditures by outcome and by year is presented in the table below.

**Table 8: LDCF Project Funds Disbursement Status (in USD)**

Component	Budget (USD)	2014	2015	2016	2017(*)	Total (USD)	Total/ Budget
Outcome 1	900,000	47,313	314,885	206,285	230,232	798,716	89%
Outcome 2	1,300,000	0	39,869	104,733	39,670	184,272	14%
Outcome 3	2,800,000	885	142,903	466,585	162,267	772,640	28%
Project Management	250,000	22,363	44,024	28,993	30,410	125,790	50%
<b>TOTAL</b>	<b>5,250,000</b>	<b>70,561</b>	<b>541,681</b>	<b>806,596</b>	<b>462,579</b>	<b>1,881,417</b>	<b>36%</b>

(\*) Expenditures recorded in Atlas to early July 2017

<sup>9</sup> The Review Team did not have time to review if an audit had been conducted to review the finances of the project since its inception.

Sources: UNDP Atlas Financial Reports (Combined Delivery Reports to July 2017 (CDRs)) and information collected from the Project Team.



110. These financial figures show very slow disbursements since the inception of this project and confirmed the limited progress up to date (*see Section 4.2.1*); mostly due to administrative delays as discussed in section 4.3.1. So far, the average monthly expenditures are USD 58,794 versus an average monthly grant of USD 109,375 representing 54% of the available grant. Using this analysis as a benchmark for the remaining implementation period, the project would need to spend a monthly average of USD 210,536 that is a 358% increase over the monthly average since inception. Despite a net observable increase in commitments over the last 2 months, the review of the project finances indicates that it is doubtful that the project will have expended its LDCF grant by October 2018.

111. The table and diagrams above show that so far, most project expenditures were to support activities under outcome 1 and 3 with almost USD 800,00 spend under each of these two outcomes. However, when comparing the expenditures against the respective budgets for each outcome, it shows that almost 90% of the budget for outcome 1 is expended but only 14% and 28% for respectively outcome 2 and 3. This is consistent with the review of project progress (*Section 4.2.1*), which indicates that these two outcomes (2 & 3) should be the focus of the remaining implementation period of the project with the implementation of CVCAs, CAPs, installation of weather stations, development of an integrated community's watershed management plan, etc.



112. The review of the project management costs indicates that 50% of the budget allocated to the management of the project has been spent to date. It represents less than 7% of the total LDCF disbursements expended to date (early July 2017).

113. As of July 2017, there is a remaining budget of USD 3,368,583 representing about 64% of the LDCF grant. If we consider the original timeline with end of October 2018 as the closing date for the project, the assessment indicates that it is doubtful that the LDCF grant will be expended by this date. At the same time, when considering the overall progress of the project so far and the several critical commitments made recently such as launching CVCAs in the project area, developing CAPs, installing six weather stations, and developing a new integrated community-based watershed management planning approach, the closing date of October 2018 appears too early to close the project; particularly to ensure the sustainability and institutionalization of project's achievements. Based on the assessment of progress, remaining activities and the finances of the project, the Review Team recommends that an extension of at least 6 months be planned – and budgeted – to give more time to the Project Team to focus on the institutionalization and sustainability of project achievements.

### Co-financing

114. The co-financing commitments at the outset of the project totaled an in-kind amount of USD

37,366,780 (see table below), which represented about 88% of the total amount of the financial resources required in the project document of USD 42,616,780 (LDCF grant + co-financing) for the implementation of the project.

**Table 9: Co-financing Status**

Partner	Type	Commitments (USD)
GoTL: MSS-NDMD	In-kind	10,026,780
GoTL: MAF	In-kind	3,000,000
UNDP	In-kind	650,000
WB-BCDRP	In-kind	3,690,000
WB-Road Climate Resilience Project	In-kind	20,000,000
<b>Total (USD)</b>		<b>37,366,780</b>

Source: Project Document

115. The review of these co-financing amounts indicates that according to the GEF definition<sup>10</sup> of co-financing, the USD 20M commitment from the WB-Road Climate Resilience Project should not have been considered as co-financing but “parallel” financing that is financing from other projects that have similar objectives. Using the co-financing definition of the GEF, the co-financing amount committed at the outset of the project would have been USD 17,366,780 or about 77% of the total financial resources required.

116. At the time of the MTR, no reporting has been made on the in-kind contributions. However, despite no reporting on these co-financing commitments, the Review Team confirmed that the partners have contributed some critical resources to the implementation of this project. The WB-BCDRP is under implementation and as discussed in section 4.1.1, these two projects had similar objectives to build climate and disaster resilience of communities living in the Dili-Ainaro road corridor. The government collaborated in the implementation of the project with critical resources through its agencies such as NDMD, Forestry Directorate, Meteorology Directorate, Watershed Directorate, INAP, CCCB, etc.

#### **4.3.5. Project-level Monitoring and Evaluation Systems**

117. A comprehensive M&E plan was developed during the formulation of the project – including sex disaggregated data, information and indicators - in accordance with standard UNDP and GEF procedures, including the UNDP monitoring and evaluation practices for DIM projects. A budget of USD 112,000 was allocated to M&E, representing about 2.1% of the LDCF grant.

118. This plan listed monitoring and evaluation activities that were to be implemented during the lifetime of the project, including a mid-term evaluation and a final evaluation. For each M&E activity, the responsible party(ies) was/were identified, as well as a budget and schedule. The plan was based on the logical framework matrix that included a set of performance monitoring indicators along with their corresponding targets and means of verification.

119. The M&E plan was reviewed during the inception phase and no changes were made to the M&E plan. A summary of the operating modalities of the M&E plan are as follows:

- *Performance indicators:* A set of 10 indicators with their respective baselines and targets at the end of the project were identified and documented in the *Project Results Framework*.
- *Inception workshop:* It was conducted on October 29, 2014 and marked the official start of the DARDC project. The project design was explained in detail, as well as the results and resources framework. Intensive discussions were facilitated on roles and responsibilities of implementing Agencies, stakeholders and the Project Team and the first year work plan was reviewed.

<sup>10</sup> The GEF defines co-financing as the resources that are additional to the GEF grant and that are provided by the GEF Partner Agency itself and/or by other non-GEF sources that support the implementation of the GEF-financed project and the achievement of its objectives.

- *Inception Report*: It summarized the inception phase (4 months: November 2014 to February 2015), including the inception workshop. It concluded the inception phase.
- *Quarterly Progress Reports*: Quarterly progress were planned to monitor the progress and record it in the UNDP Enhanced Results Based Management Platform. Risks are also reviewed quarterly and updated in the Atlas system.
- *Annual Project Review/Project Implementation Review (APR/PIR)*: These annual progress reports, combining both UNDP and GEF annual reporting requirements, are submitted by the Project Manager to the PSC, using the UNDP standards for project progress reporting, including a summary of results achieved against the overall targets identified in the project document.
- *Periodic Monitoring through Site Visits*: UNDP Country Office and the UNDP Regional Coordination Unit (RCU) have been conducting visits to project sites to assess first hand project progress. Field Visit Reports/BTORs are prepared and circulated to the Project Team and PSC members.
- *External mid-term and final evaluations*: The mid-term evaluation (MTR) is underway (this report); a final evaluation is planned following UNDP and GEF practice and evaluation guidelines.
- *Learning and Knowledge Sharing*: The plan was to disseminate results of the project within and beyond the project intervention zone through existing information sharing networks and forums. It was also planned to identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Under learning and knowledge sharing, emphasis was on the need to share lessons learned from the community level climate change vulnerability and risk assessments (CVCA) and Community Action Plans (CAP), including specific reference to gender-related achievements, as well as focusing on changes in land use, agriculture practices, and stabilization of identified hotspots.
- *Audits*: Audits are conducted in accordance with UNDP Financial Regulations and Rules and applicable audit policies on UNDP projects by a legally recognized auditor of the Government, or by a commercial auditor engaged by the Government.

120. The set of indicators presented in the *Project Results Framework* was reviewed during this MTR. It includes a set of 10 indicators – each one with a baseline and a target by the end of the project - to monitor the performance of the project at the objective and outcome level. As documented in the project document, these indicators rely largely on UNDP's "*Monitoring and Evaluation Framework for Climate Change Adaptation*", and are aligned also with the LDCF Adaptation and Monitoring Tool (AMAT). The list of indicators and targets is presented in the table below:

**Table 10: List of Performance Indicators**

Project Outcomes	Indicators	Targets
<b>Project Objective:</b> Critical economic infrastructure for sustained human development protected from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor.	1. No. of target institutions with increased capacity for climate and disaster risk management planning, budgeting and delivery at the national and subnational level.	<ul style="list-style-type: none"> <li>• MSS, NDMD, DDMCs have capacity for climate and disaster risk management planning, budgeting and delivery at the national and subnational (at least Level 4: Widespread, but not comprehensive, evidence of capacity)</li> </ul>
<b>Outcome 1</b> - Knowledge and understanding of local drivers of climate-induced disasters enhanced, and consequent impacts on economic infrastructure better understood and available to policy makers, planners and technical staff  <b>Output 1.1:</b> National training facility established, providing services for at least 200 district officials, DDOC/DDMC members and community facilitators, in: climate risk and vulnerability assessment, damage and loss assessment, contingency planning, formal and informal	2. No. of targeted institutions with increased adaptive capacity to reduce risks of and response to climate variability [AMAT 2.2.1]	<ul style="list-style-type: none"> <li>• MSS, NDMD, DDMCs, MAF and other institutions have increased adaptive capacity to reduce risks and respond to climate variability</li> </ul>
	3. No. of staff trained on technical CCA and DRM themes, disaggregated by gender [AMAT 2.2.1.1]	<ul style="list-style-type: none"> <li>• 200 staff and community leaders have received technical training on CCA and DRM themes with at least 50% women benefiting</li> </ul>
	4. Type and no. of recommendations to sector	<ul style="list-style-type: none"> <li>• Recommendations for at least 3 sector policies, strategies and</li> </ul>

Project Outcomes	Indicators	Targets
<p>EWS systems, climate related planning and budget management</p> <ul style="list-style-type: none"> <li>• <b>Output 1.2:</b> National DRM policy and institutional roles extended to address climate change and disaster risk reduction measures, including assessment methods, institutional and implementation modalities, functional and technical capacities and M&amp;E systems</li> </ul>	<p>policies, strategies and plans for climate change adaptation and DRM that specifically address needs of women</p>	<p>plans that explicitly include climate change adaptation and DRM</p> <ul style="list-style-type: none"> <li>• Recommendations for at least 3 sector policies, strategies and plans specifically address the needs of women concerning climate change adaptation and DRM</li> </ul>
<p><b>Outcome 2</b> – Sub-national DRM institutions able to assess, plan, budget and deliver investments in climate change related disaster prevention, linked to critical economic infrastructure and assets in the Dili to Ainaro development corridor</p> <ul style="list-style-type: none"> <li>• <b>Output 2.1:</b> Capacities of district and sub-district Disaster Management Committees and District Disaster Operation Centers strengthened to plan, budget and deliver climate-induced disaster prevention financing in at least two districts (eg. for resilient shelter, improved grain storage and seed replacement, windbreaks, storm drains, small scale flood protection) benefitting at least 5,000 households</li> <li>• <b>Output 2.2:</b> Community to district-level EWS for climate-induced extreme events designed, tested and installed, with related capacities provided (contingency planning) for at least 5,000 vulnerable rural households, with a focus on women</li> </ul>	<p>5. Increase in amount of funds delivered on climate risk reduction measures at the subnational / district level</p>	<ul style="list-style-type: none"> <li>• Full expenditure of additional funds (\$50,000 per district per annum) on measures for community-level climate risk reduction implemented through DDMCs/district disaster focal points</li> </ul>
	<p>6. % of women benefited from community-level climate risk reduction measures.</p>	<ul style="list-style-type: none"> <li>• 50% of beneficiaries of community level measures for climate related disaster risk reduction and preparedness are women</li> </ul>
	<p>7. Risk reduction and awareness activities introduced at local level, including:</p> <ul style="list-style-type: none"> <li>○ EWS</li> <li>○ Improved resilience of agricultural systems</li> <li>○ Erosion control/sustainable land and water management [adapted from AMAT 2.3.1.1]</li> </ul>	<ul style="list-style-type: none"> <li>• At least 5,000 households will benefit from risk reduction activities and awareness activities comprising: <ul style="list-style-type: none"> <li>○ EWS</li> <li>○ Improved resilience of agricultural systems</li> <li>○ Erosion control/sustainable land and water management</li> </ul> </li> </ul>
<p><b>Outcome 3</b> – Community driven investments implemented to reduce climate change and disaster induced losses to critical infrastructure assets and the wider economy</p> <ul style="list-style-type: none"> <li>• <b>Output 3.1:</b> Output 3.1: Watershed-level climate change vulnerability and risk assessments carried out within the Dili to Ainaro road corridor covering at least 35 sucos, informing district and sub-district level planning, prioritization and budgeting (linked to WB hazard assessments)</li> <li>• <b>Output 3.2:</b> Micro-watershed management plans designed and implemented to deliver community-driven resilience measures for reducing the impacts of climate-induced disasters (flooding and landslides) in vulnerable micro-watersheds along the Dili-to- Ainaro Road Development Corridor, covering at least 50,000 hectares outside of the WB road project RoW.</li> </ul>	<p>8. No. of households engaged in climate resilient land use methods and livelihoods – disaggregated by gender</p>	<ul style="list-style-type: none"> <li>• By the end of the project, at least 50% of targeted households have engaged in climate resilient land use methods and livelihoods introduced/strengthened in the project (Score improved to 4)</li> </ul>
	<p>9. Coverage of land with changed land use conducive to landscape stability, protecting livelihoods and physical infrastructure against climate hazard risks and disasters</p>	<ul style="list-style-type: none"> <li>• At least a quarter of targeted area of degraded lands reforested or other land stabilization methods applied (e.g. agroforestry, fodder and timber production etc.) while decreasing vulnerability of the DARDC to disasters</li> </ul>
	<p>10. % of households that demonstrate an awareness between improved land use and food security/disaster mitigation through their livelihood disaggregated by gender [adapted from AMAT 2.3.1]</p>	<ul style="list-style-type: none"> <li>• At least 50% of households surveyed confirm a clear link between resource management and resilience of livelihoods and physical infrastructure assets</li> </ul>

Source: Project Document and annual progress reports

121. This set of 10 indicators and their respective targets did not change since the formulation of the project. These indicators have been used yearly to report progress made in the APRs/PIRs. The review of these indicators and their respective targets reveals that these indicators are a mix of quantitative and qualitative indicators; often mixing both in the same indicators such as “*number of target institutions* (quantity) *with increased capacity* (quality) *for climate and disaster risk management planning, budgeting*

and delivery at the national and subnational level”. They measure a quantity of achievements (number of ....) but also the quality of these achievements (increase capacity for .....).

122. Quantitative indicators give a very clear measure of things and are numerically comparable. They also provide an easy comparison of a project progress over time and are easy to monitor and do not require too much resources to collect data. However, quantitative indicators also do not depict the status of something in more qualitative terms. Degree of capacity developed are often better captured by qualitative indicators. For example, what is the increased adaptive capacity of targeted institutions to reduce risks of and response to climate variability may not be measurable in strict quantitative terms, but they can be graded based on qualitative findings. In the case of capacity development initiatives such as this project that is “*Critical economic infrastructure for sustained human development protected from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor*”, using a mix of quantitative and qualitative indicators allow the Project Team to better measure its performance.

123. The review of these indicators and targets indicates a good set of performance indicators/targets, though monitoring the progress over time may be costly. For most of these indicators, surveys are necessary to fully measure any progress. Since its inception, this project has supported numerous training events. Without surveys, it is difficult to assess the effectiveness of this training and measure the impacts on the capacity of targeted institutions/staff. Considering that surveys – including household surveys - were planned and budgeted in the project document, it is recommended to plan the necessary surveys during the last year of the project to measure its achievements in term of capacities developed.

124. Based on this review of the M&E function of the project, it is rated as satisfactory. It includes an adequate set of 10 indicators and targets, which provide a good monitoring framework to measure the performance/effectiveness of the project. It was noted that these indicators may not be easily measurable; requiring surveys as sources to verify the progress made by the project.

#### **4.3.6. Reporting**

125. Management reports have been produced according to UNDP project management guidelines. They include AWP that when finalized are endorsed by the PSC; quarterly progress reports; and annual APRs/PIRs. The Review Team was able to collect the 2015, 2016 and 2017 AWP, only one quarterly report (Q4-2016), one monthly report (May 2017), and the APR/PIR for 2016 and the draft for 2017.

126. Overall, progress made by the project is being satisfactorily reported, following UNDP project progress reporting guidelines. The quarterly reports document the progress made during the past quarters and the APRs/PIRs document the progress made against the project objective and outcomes on a yearly basis. These annual reports include also a review and update of the risks identified at the outset of the project and the steps taken to mitigate these risks.

127. The ratings given in APRs/PIRs were also reviewed. The progress made against the overall development objective has been rated as satisfactory for both years 2016 and 2017, and the implementation progress was rated as moderately satisfactory in 2016 (no rating given in 2017). The Review Team found that these ratings were not well justified, particularly when considering the progress made so far (*see Section 4.2.1*), which is confirmed by the low disbursement (*see Section 4.3.4*). However, the recent commitments made by the project for several key activities such as the CVCAs and CAPs, the installation of weather stations, the procurement of drones for disaster monitoring, and the development of an integrated community’s watershed management plan, should all contribute to improve the performance ratings of the project in the coming year.

#### **4.3.7. Communications**

128. Communication is not “embedded” in the project design (*Project Results Framework*); it is not part of the expected results/deliverables. As a result, it is not part of the performance monitoring of the project; no indicators are tracking communication activities. It is part of the M&E plan and consists of mostly a “side” activity to communicate information about project achievements with, on one hand, communicating to key

stakeholders to keep them informed about what the project has been doing and, on the other hand, communicating to the general public to disseminate lessons learned identified during the implementation of the project.

129. Nevertheless, a communication strategy and action plan was developed by the project to communicate development results and targeting the stakeholders and beneficiaries of the DARDC project. It is composed of two components: (i) enhancing the project visibility by communicating project results from the three components of the project; and (ii) strengthening and building relationship with media houses. The plan was to communicate through electronic channels through social media, website and television/radio; printed materials; interpersonal channels for remote communities; and public places such as libraries schools and suco offices. A budget of USD 55,900 were identified.

130. The project produced a 2-page factsheet at the beginning of its implementation and published two issues of a project bulletin to inform communities regarding project activities. So far, not many communication activities were conducted. It is partially explained by the fact that from a result point of view, the project is still not in a position to report many developmental results. Most achievements to date are intermediary results such as training of staff, studies, assessments, etc. which should lead to developmental results in the coming year such as an operational EWS in the Dili-Ainaro road corridor, community action plans to mitigate risks of disasters, equipment (drones) and skills to monitor disasters and the implementation of flood protection activities as well as improvements to water supply facilities through the top-up mechanism supported by the project at the municipal and administrative post levels. Once some of these initiatives will start to be completed, the project will be in a position to communicate lessons learned, and best practice throughout the project area but also throughout Timor-Leste.

131. In the meantime, the Review Team also found that the project has a low visibility at the suco level. More efforts are needed to communicate DRM to stakeholders and to beneficiaries. This visibility should also improve during the remaining period with the implementation of projects developed by communities and funded by the “top-up” grant mechanism established at the municipal level. To date, 9 suco bank account have already been opened to implement these projects. It is recommended that in parallel to the implementation of the above initiatives, the Project Team increases its communications during the remaining period.

#### 4.4. Sustainability

132. This section discusses how sustainable project achievements should be over the long-term. It includes a review of the management of risks and specific risks such as financial risk, socio-economic risks, institutional framework and governance risks, and environmental risks.

133. Project risks were identified at the formulation stage and documented in the project document; including the risk mitigation strategy for each identified risk. It is a list of 13 anticipated risks, which are presented in the table below as well as their respective management responses. The Project Team has been monitoring these risks and no risks have been reported as critical in the annual APRs/PIRs 2016 and 2017.

**Table 11: List of Risks and Mitigation Measures at Formulation Phase**

Project Risks	Rating <sup>11</sup> (Probability=P Impact=I)	Mitigation Measures
1. Technical staff and community leaders are constrained from attending training sessions	P= 2 I= 4	<ul style="list-style-type: none"> <li>Transport costs will be paid to non-Government trainees attending training sessions. DSA will be paid to Government staff only when travel outside the duty station.</li> </ul>
2. Attendance of training sessions does not translate into enhanced DRM.	P= 3 I= 4	<ul style="list-style-type: none"> <li>Pre- and post-training assessments of capacity will be conducted.</li> <li>During training courses, uptake of material will be monitored.</li> </ul>

11 The scale to rate the “impact” of a risk is from 1 (Negligible) to 5 (Critical) and to rate the “probability” of a risk the scale is from 1 (Slight) to 5 (Expected).

Project Risks	Rating <sup>11</sup> (Probability=P Impact=I)	Mitigation Measures
3. Sectoral ministries are unwilling to adopt recommendations on policies	P= 3 I= 4	<ul style="list-style-type: none"> <li>Recommendations for policy will be given after training and awareness raising activities.</li> </ul>
4. Inadequate quality of proposals mean that no community-level interventions for DRM are accepted for funding	P= 4 I= 4	<ul style="list-style-type: none"> <li>The clear guidelines provided will increase the capacity of communities to develop quality proposals.</li> </ul>
5. DDMCs/disaster focal points are unable to procure the necessary materials to implement community-level interventions for DRM.	P= 3 I= 4	<ul style="list-style-type: none"> <li>Interventions will be designed to be as simple as possible.</li> <li>Interventions will use locally available materials.</li> </ul>
6. Rugged and inaccessible terrain prevents effective installation and/or operation of EWS.	P= 2 I= 4	<ul style="list-style-type: none"> <li>EWS will be tailored to suit local contexts</li> </ul>
7. Limited capacity prevents early warnings from being disseminated or received in time or interpreted for taking necessary action	P= 3 I= 4	<ul style="list-style-type: none"> <li>The proposed LDCF project will develop capacity to enable EWS to operate.</li> <li>Capacity building will include a mentorship programme.</li> </ul>
8. Communities are unwilling to adopt new farming methods.	P= 2 I= 4	<ul style="list-style-type: none"> <li>The benefits of new farming methods will be demonstrated to farming communities.</li> <li>Consultation with communities will ensure the selection of interventions that the communities need.</li> </ul>
9. Communities not willing or able to move to settled farming	P= 3 I= 4	<ul style="list-style-type: none"> <li>As above, the benefits of conservation farming approaches will be demonstrated to communities.</li> </ul>
10. New land-use methods create a disproportionate burden of work on women.	P= 4 I= 3	<ul style="list-style-type: none"> <li>Consultations with women's groups will design interventions for women that do not take too much time and are appropriate.</li> </ul>
11. Reforested common areas become a source of dispute for resources and community leaders are unable to negotiate the equitable distribution of benefits.	P= 3 I= 4	<ul style="list-style-type: none"> <li>Community buy-in will be strengthened throughout the project through involving the community in decision making.</li> <li>Training and increased awareness of the community will improve their understanding of the benefits of the reforested forest.</li> <li>The benefits of reforestation to the community will be demonstrated to the community.</li> </ul>
12. Uptake of knowledge is low and resilience not significantly improved.	P= 3 I= 4	<ul style="list-style-type: none"> <li>Training and knowledge transfer will be conducted throughout the life of the project.</li> <li>Knowledge transfer will be conducted through mentoring as well as formal training sessions.</li> </ul>
13. The needs of women are not analyzed and addressed and they do not benefit from the project interventions	P= 3 I= 3	<ul style="list-style-type: none"> <li>The project interventions have been tailored to provide specific benefits to women.</li> <li>A gender specialist will provide guidance on and monitoring of gender sensitivity.</li> </ul>

Source: Project Document.

134. The review of these risks reveals that there are comprehensive covering most aspects of a project where issues can arise. Risks are to be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, or when impact is rated as 4 and probability is rated at 3 or higher)<sup>12</sup>. Using this definition, it is interesting to note that most risks above are rated as critical (9 out of 13). This fact would result in a “high risk” project. However, the review indicates that when considering the relevance of the project, most risk probabilities were rated “high” at the formulation stage; a rating of 2 for probability would have been adequate in all cases.

<sup>12</sup> See UNDP, 20914, *Social and Environmental Screening Procedure*.

135. Nevertheless, the analysis of this list also reveals that no management/implementation risks were identified at the outset of this project; yet it became a major risk since the inception of this project, hampering its progress. The complexity to work with multiple ministries and at different levels of government (national, municipal and administrative post) is an inherent risk of implementing this type of project. Additionally, when implementing these projects, there is always the risks linked with administration delays and staff turn-over; both ended up as being critical and delaying the implementation of this project.

136. Most of the 13 risks are somewhat related to the engagement of stakeholders in project activities and to the sustainability of project achievements. It is the case when “*sectoral ministries are unwilling to adopt recommendations on policies*”. If the ministries are fully engaged from day one, the risk for them not to adopt these recommendations would be well mitigated. The same can be said for “*communities are unwilling to adopt new farming methods*”. If these communities are fully engaged from day one, the risk for these communities not to adopt farming methods reducing the risks of climate-induced disasters would be well mitigated.

137. Overall, these risks are confirming a finding from the Review Team that a more bottom-up approach is somewhat missing; too many project activities are implemented with a top-down approach, engaging some key stakeholders too late in the process, which may hamper the long-term sustainability of some achievements. The Review Team found that communities are particularly not involved enough in the process. Consequently, they have a limited ownership of activities implemented in their communities. It is the case of plantations and watershed activities, where communities input was mostly to provide labor against money. The development of a DRM training programme by CCCB which should be delivered by INAP is another example where more engagement/participation of stakeholders is needed to ensure a better ownership and ultimately a better chance of being sustainable over the long-term.

It is a “temporary” sustainability, lasting as long as we are paid!

Comment from a Community Leader in the Aileu Municipality.

138. The sustainability strategy detailed in the project document is somewhat weak and limited; it should be more proactive. The strategy needs to go beyond the expectation that it “.... is dependent on the willingness of stakeholders to accept responsibility for supporting these interventions after completion of the project”. As stated the sustainability of the project interventions was mostly planned through strengthening the requisite capacities. At the same time, project activities – though using the DIM management arrangements – have been implemented through government partners, which is conducive to good sustainability. It is the case of the draft revised DRM policy and the related draft Law as well as the institutionalization of a DRM training programme at INAP and the development of a “Top-Up” grant mechanism at the municipal level with the involvement of MSA. At this point in time, it is recommended that the project developed an exit strategy emphasizing sustainability and replicability of project achievements.

#### **4.4.1. Financial risk to Sustainability**

139. When reviewing the sustainability of project achievements, financial risk is an area with a few questions related to the long-term sustainability of project achievements. The project has been supporting the development of an EWS in the project area. This system includes technologies such as hardware, software and communication devices and the project supports the development of capacities to operate and maintain this system, which will be housed at the Meteorological Directorate. This system will require protocols for forecasting, monitoring the risks, and disseminating early warnings. Thus, to be operational, the system will require a set of abilities but also recurrent financial resources to maintain and upgrade the system when needed. According to the Meteorological Directorate, the financial resources to sustain the system is available within the Directorate.

140. Regarding the “top-up” grant mechanism, its objective is to “*mainstream DRR and adaptation to climate change into local development, using additional resources and eligible actions, to complement and protect investment projects conducted under the Integrated Municipal Development Planning (PDIM) instrument, the Municipal Investment Plan (PIM) and the National Plan for Suco Development (PNDS)*”. The approach is to demonstrate the feasibility of this mechanism in the project area using the LDCF funds. However, the design of the mechanism did not include an emphasis on how this mechanism will be

sustained. As it stands today, it will depend mostly on the success of the projects implemented with the grant as well as the integration of this mechanism in the municipal planning system and the support from the national level, including the budgetary support to fund these types of projects after the end of the project. Considering the slow progress so far on this activity, there is a risk that this demonstration be not sufficient to be replicated throughout the project area and the country.

141. Overall, there is a certain financial risk to the sustainability of project achievements, due mostly to the fact that the delivery is behind schedule. The implementation of activities through government agencies is conducive for the sustainability of achievements, but sufficient time is necessary to pilot/demonstrate these new approaches and convince stakeholders of their effectiveness.

#### **4.4.2. Socio-economic risk to Sustainability**

142. The review indicates that there is no socio-economic risk to sustainability. In the worst-case scenario, if the project has very limited impact, it should not affect the communities and the “*business as usual*” scenario should continue. However, it is expected that the project should improve the resilience to climate-induced disasters, which should have positive socio-economic impacts on the targeted communities. By targeting the reduction of flood, drought and landslide risks, any success in these areas should improve the “*critical economic infrastructure for sustained human development*” and by extension the livelihood of communities in the project area. Women should particularly benefit from any success in implementing projects funded by the “top-up” grant mechanism seeking to improve water supply systems. Considering that collecting water is often the responsibility of women, reducing ways for collecting water and improving the access to water - particularly during drought periods – should positively benefit women.

#### **4.4.3. Institutional framework and governance risk to Sustainability**

143. When considering the objective of this project that is to improve policies and strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro road development corridor, the long-term sustainability, scaling-up and replicability of project activities to strengthen the institutional and governance capacity to be more resilient to climate-induced disasters is a critical area for the success of this project. The project has been supporting the drafting of a revised DRM policy and a Law on DRM. It has also been supporting numerous training events to strengthen government agencies at national, municipal and administrative post levels as well as community leaders in sucos. The project has also been supporting the implementation of a “top-up” grant mechanism to fund projects seeking to reduce climate-induced disasters.

132. At this point in time, the project supported some building blocks to increase the institutional and governance capacities at the national and sub-national level. However, these capacity development activities may not be enough to ensure a sustainable capacity increase over time. Only proper surveys will inform the project on the progress made in increasing the required capacities. The sustainability of the institutional capacity developed with the support of the project should be part of the recommendation to focus more on the long-term sustainability of project achievements.

#### **4.4.4. Environmental risk to Sustainability**

144. The review did not find any environmental risks to the sustainability of project outcomes. The project supports the implementation of measures to reduce climate-induced disasters, including the development of capacities of national, and sub-national stakeholders. Ultimately, the achievements of the project that is the protection from climate-induced natural hazards (flooding, landslides, wind damage) of critical economic infrastructure for sustained human development, should have a medium and long-term positive environmental impacts over the natural resources in the project area. The implementation of flood protection, soil erosion and plantation activities should strengthen the resilience of vital local ecosystems, including strengthening the resilience of agriculture land.

## 5. CONCLUSIONS AND RECOMMENDATIONS

### 5.1. Conclusions

Based on the findings detailed in chapter 4, the main conclusions of this review are presented below.

#### *Project Strategy*

#### **a) The project is very relevant for Timor-Leste, including the implementation of the Sendai Framework for Action.**

145. The DARDC project is well aligned with national DRM/DRR policies, strategies and programmes. It is a direct response to national priorities and needs to strengthen DRM in Timor-Leste, particularly at the Municipal, Administrative Post and suco level, and supports the government to reduce disaster risks. The expected results of the DARDC project are part of national priorities to strengthen the response capacity and disaster preparedness of the government and communities. It seeks to remove the critical barriers preventing important economic infrastructure to be more resilient to climate-induced disaster risks and securing the development benefits of vulnerable local communities. The project is also well aligned with the Hyogo Framework for Action and the more recent Sendai Framework for Action, despite that the project was designed prior to this latest framework; both setting priorities actions for reducing disaster risks and building resilience. A good participative approach and a review of relevant policies, strategies, frameworks and projects conducted at the formulation stage ensured this good alignment.

#### **b) The initial plan to have two complementary projects side by side has not worked as expected.**

146. The WB-BCDRP initiative and the DARDC project have similar objectives seeking to increase the resilience of communities to climate-induced disasters within the Dili-Ainaro corridor through capacity development of communities and by delivering community-based DRM measures. Despite the obvious complementarity between the two initiatives at the formulation stage, including a joint project steering committee (PSC) to optimize the leveraging of resources and interventions from both initiatives, very little complementarity between the two initiatives happened since the start of the implementation phase. The 49 sucos in the Dili-Ainaro road corridor area were divided between the two projects. Consequently, each project has conducted its own activities in its respective geographical areas with limited cooperation between the two projects.

#### **c) There are too many innovative areas in one project.**

147. Despite a good logic model, it is a complex and ambitious project focusing on many new and innovative approaches for Timor-Leste, which some of them could be stand-alone projects by themselves. It includes the realization of Community Vulnerability Capacity Assessments (CVCAs), the development of Community Action Plans (DRR-CAPs), the installation of EWS and related procedures, the development of a “Top-Up” Grant system at the municipal level, the implementation of a landscape approach to manage local natural resources, etc. When considering this complexity and a relatively short time-frame (4 years), it is not surprising to realize that the project is not performing as planned. This complexity did not provide a useful “blue print” for implementing this project. Instead, the project is pulled in many directions to implement these innovative approaches, rendering it difficult to develop a shared vision about what the project is trying to accomplish as a whole.

#### *Progress Towards Results*

#### **d) The progress of the project to date has been moderately satisfactory.**

148. The overall progress made to date by the project is limited. Due to numerous delays since the outset of this project – mostly management delays to hire staff, including a new CTA and consultants and procuring equipment and services including identifying potential service suppliers as well as establishing agreements with government agencies – project activities have been slow to be implemented. Confirming the fact that the project is behind schedule, it expended only \$1,881,400 during the first 32 months, that is 36% of the LDCF grant versus 67% of its timeline. The key results to date consist mostly of the revision of a DRM

training programme, which was initially developed with the support of the DRM-1 UNDP project; the drafting of a revised DRM policy and a Law on DRM, both submitted to the Council of Ministers; the development of a “Top-Up” grant mechanism at the municipal level to fund DRR projects at the suco level; a total of 19ha of agroforestry and reforestation planted; initial watershed activities to limit soil erosion and landslides; several training events to raise the skills and knowledge of staff involved in DRM; and initial work to develop an early warning system with risks and hazards analyses completed as well as maps. A gender assessment and situational analysis has also been completed and a gender policy has been drafted and is now under review. Following this assessment, it is difficult to see how all expected results will be achieved by project-end and state that the project met its objective; as of end of July 2017 only 15 months remain before the closure of the project.

**e) There is a noticeable acceleration in implementing key project activities since May 2017.**

149. Corresponding to the arrival of a new CTA to lead the project in May 2017, the implementation of the project has accelerated. Over the last few weeks, swift advances have been made with identifying, tendering and contracting suppliers of services and goods requested by the project. In addition to regular project expenses such as staff, training activities, grants, etc., several commitments have been made recently for a total of about USD 280,000 to USD 300,000 and are in the process of being contracted. They include the installation of 6 weather stations with associated training to establish a modern EWS; the supply of 4 drones and associated training to introduce modern technology for disaster monitoring; the realization of Community Vulnerability Capacity Assessments (CVCAs); the development of Community Action Plans (CAPs) at the suco level; and the development of an integrated community watershed management plan.

**f) There is no shared vision of where the project should go.**

150. With so many areas of intervention to be implemented and the limited time remaining for the implementation of these interventions, the project needs a renewed vision shared among stakeholders to ensure long-term impact and sustainability of project achievements. The implementation appears somewhat piecemeal, going in several directions without obvious linkages among all these areas of interventions. Most stakeholders have a limited view on the overall strategy of the project; they are focusing mostly on their respective areas of involvement. Consequently, there is a lack of a shared vision to bring all these “pieces” together and develop a clear way forward to complete the project, ensure the long-term sustainability of project achievements and identify “what is next” after the project end.

***Project Implementation and Adaptive Management***

**g) The management arrangements are adequate but the coordination is not sufficient.**

151. The management arrangements of the project are adequate for the implementation of the project. However, the coordination is not working at its fullest; the project is not fully effective in providing a good coordination among stakeholders and develop a clear vision on where the project wants to go among stakeholders. The coordination has also been hampered by staff turn-over at NDMD; the current Director of NDMD is the third NPD to oversee the DARDC project since its inception. The PSC only met four times in 32 months, which is not enough for ensuring a good coordination of a project and guide its implementation, particularly when multiple levels of government are involved. A Technical Working Group (TWG) met for the first time recently and should now meet quarterly. More coordination/communication activities are needed.

**h) Despite a good engagement of stakeholders, the project approach is too top-down.**

152. The project is driven with a very top-down approach. Decisions are made in Dili at the national level and “pushed” down to sub-national level and to suco level. There is little ownership locally of actions supported by the project, which could impact the long-term sustainability of project achievements. To date, the engagement of communities consists mostly in providing labor for pay for implementing project activities. A more bottom-up approach is needed to fully engage local authorities and communities in the project decision-making process, particularly in the context of the coming CVCAs and CAPs as well as the development of an integrated community watershed management plan.

**i) The low amount of LDCF grant expenditures to date confirms that the project is behind schedule.**

153. At the time of this MTR, the actual LDCF grant expenditures recorded in the UNDP Atlas system represent about 36% (USD 1,881,417) of the grant (USD 5,250,000) versus an elapsed time of 67% (32 months out of 48). This represents an average monthly amount of USD 58,794 to date vs. an average monthly grant of USD 109,375 (54%). Using the same benchmark approach for the remaining implementation period, the project would need to spend a monthly average of USD 210,536 that is a 358% increase over the monthly average since inception. Despite a net observable increase in commitments over the last 2 months, the review of the project finances and the remaining time indicate that it is doubtful that the project will have expended its LDCF grant by October 2018.

154. The project has been facing numerous “administrative bottlenecks”, which hampered a smooth implementation of the project. In addition to the complexity of UNDP administration, the use of the National Implementation Modality (NIM) type approach whenever possible to develop the management capacity of government entities, has been increasing the administrative burden on the Project Team. Numerous administrative “stories” since the inception of the project to source, tender, contract, administer and pay suppliers certainly contributed to the low level of disbursements to date.

**j) The M&E plan to monitor the performance of the project is satisfactory.**

155. A set of 10 indicators and their respective targets has been used to monitor the performance of the project. These indicators are a mix of quantitative and qualitative indicators; often mixing both in the same indicator. Quantitative indicators give a very clear measure of things and are numerically comparable and qualitative indicators capture the degree of capacity developed; together they measure the quantity of achievements and the quality of these achievements. However, some of these indicators may not be easily measurable since they require surveys to be conducted as sources to collect the needed information to assess the performance of the project.

**k) Communication activities are not sufficient and contribute to a lack of coordination among stakeholders.**

156. Communication is not “embedded” in the project strategy; it is not part of the expected results/deliverables, though it is included in the M&E plan. Nevertheless, the project developed a communication strategy and action plan, however, few communication activities took place to date and few project feedback mechanisms are in place to communicate with stakeholders at national, municipal, administrative post and suco levels. Consequently, and also due to few activities have been implemented to date at the suco level, the project - including the need to increase DRM - has a low visibility at the community level.

***Sustainability***

**l) Project achievements should be sustained over the long-term.**

157. Despite a limited sustainability strategy identified at the formulation stage that it “... *is dependent on the willingness of stakeholders to accept responsibility for supporting these interventions after completion of the project,*” the project achievements should be sustained over the long-term. The project is very relevant for Timor-Leste; it is well aligned with national policies and strategies and all project interventions are a direct response to identified needs. The commitments made recently should lead to key achievements to improve DRM in the Dili-Ainaro road corridor but also throughout the country; they should be sustained over the medium and long-term.

**5.2. Recommendations**

Based on the findings detailed in chapter 4 and the main conclusions presented above, the following recommendations are suggested.

**Recommendation 1: It is recommended to review the revised DRM policy (draft) and the Law on DRM to incorporate the Sendai Framework for Action and the legislation on decentralization and promote these new instruments to the new government.**

***Issue to Address***

158. The existing DRM Policy was endorsed by the government in 2008, the revised DRM policy was drafted in 2015, submitted to the Council of Ministers but no further progress was made on the adoption of this revised policy. However, in the meantime, few critical changes would need to be taken into account into this revised policy, including the provisions in the Decree-Law on the decentralization of administrative authorities (#3-2016), which will affect the future functioning and funding of municipalities, administrative posts and sucos; the endorsement of the Sendai Framework for Action at the third World Conference on Disaster Risk Reduction in March 2015; and more recently the national election held in Timor-Leste in July 2017, which led to a change of government. It is recommended to review/update the draft policy and Law considering the provisions contained in these changes. Once these drafts will be updated, they will be re-submitted to the government for its review and the project should support the promotion of this new policy and Law once the new government is in place.

**Recommendation 2: It is recommended to focus much more at the Suco level to demonstrate DRM planning (bottom-up) and local actions.**

***Issue to Address***

159. It is time for the project to focus its activities at the suco level to engage communities and local authorities in demonstrating DRM/DRR planning and actions. The project has an extensive set of activities to implement before the end of the project. It includes:

- Undertake CVCAs as soon as possible;
- Develop participative Community Action Plans (CAPs);
- Support Suco Disaster Management Committee (SDMC) and Municipal Disaster Management Committee (MDMC) processes overseeing the development of CAPs;
- Prioritize actions to be supported by the project;
- Integrate the CAPs in the municipal planning process (PDID);
- Support the implementation of DRR actions in sucos.

160. Considering the current plan to conduct CVCAs and CAPs in the coming months, it is recommended that these activities be undertaken with a strong participation of communities and local authorities demonstrating a bottom-up approach for the development of these CAPs, including the prioritization of actions to be implemented with the support of the project. This approach should be conducive to a good ownership of the supported actions. Finally, when considering the remaining time for implementing this project, it is important that the Project Team focuses on these actions as soon as possible to have sufficient time once some actions are implemented to focus on the sustainability/institutionalization of these new approaches and support the replicability throughout the country through government agencies.

**Recommendation 3: It is recommended to plan and budget a six-month extension to finalize core activities and provide more time to assess, learn and promote the replicability of achievements throughout Timor-Leste.**

***Issue to Address***

161. The overall progress made to date by the project is limited, due mostly to management/administration delays to hire staff and procuring equipment and services. To date, the project expended \$1,881,400 during the first 32 months, that is 36% of the LDCF grant versus 67% of its timeline. However, since May 2017 the implementation of the project has noticeably accelerated with several key commitments that have been made recently for a total of about USD 280,000 to USD 300,000, which is in addition to regular project activities. However, as of July 2017 there is a remaining budget of USD 3,368,583 and despite the attempt to increase project expenditures, it seems difficult to conclude that the entire LDCF grant will be expended by October 2018.

162. In the meantime, considering the critical activities that still need to be implemented such as CVCAs,

CAPs and their integration in the PDID process, the EWS, the implementation of projects to be funded by the “top-up” grant mechanism, etc., the project needs more time near its end to consolidate its achievements by focusing on the institutionalization and sustainability of project achievements. It is recommended to plan and budget for a time extension of at least 6 months (more if budget allows) to give more time to the Project Team and government counterpart to plan a proper “exit” of the project ensuring the sustainability/institutionalization of its achievements and maximizing the potential for replicating DRM/DRR best practices throughout Timor-Leste. A final budgeted work plan should be formulated at the beginning of 2018 for the entire remaining period including the possible time extension that could be budgeted within the remaining LDCF budget.

**Recommendation 4: It is recommended for UNDP-RCU in Bangkok to provide more technical support for implementing CVCAs.**

***Issue to Address***

163. This project has some similarities with other UNDP implemented projects in the region such as the Adaptation Fund funded project in PNG “*Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of PNG*” and the LDCF funded project in Lao PDR “*Effective Governance for Small-scale Rural Infrastructure and Disaster Preparedness in a Changing Climate*”. In all cases, these projects include the plan to conduct CVCAs. However, in all 3 cases, these CVCAs are implemented in the later part of each project; thus, losing the full benefits of these assessments. These CVCAs should be conducted during the early stage of implementation of any projects; including being used as an instrument to engage the participation of stakeholders/beneficiaries and be a critical source of information to plan following activities supported by the project. All 3 projects have faced difficulties in conducting these assessments, including sourcing expertise, identifying cost-effectiveness solutions and using an adequate but replicable methodology. As a result, these assessments took much longer than anticipated at the formulation of these projects and did not contribute as planned to design actions to be supported by these projects. It is recommended that UNDP-RCU in Bangkok provide more technical support to projects conducting CVCAs in the region, including support in selecting a methodology, sourcing potential expertise and monitoring these projects to ensure these CVCAs be conducted at an early stage of each project.

**Recommendation 5: It is recommended to organize a project retreat with the Project Team and key Stakeholders to review project progress to date and develop a shared vision for the remaining period.**

***Issue to Address***

164. The project intervenes in numerous areas and it has a limited time remaining for implementing these interventions. As a result, the implementation appears somewhat as “piecemeal” going in several directions without obvious linkages among all these areas of intervention. As most stakeholders are focusing mostly on their respective areas of involvement and have a limited view on the overall direction of the project, there is a lack of a clear shared vision about what the project is trying to accomplish. It is recommended to organize a retreat with the Project Team and key stakeholders to review the progress made to date and identify a shared common vision for the remaining period of implementation of the project. This retreat should be organized outside of project and ministries’ offices and be facilitated with the help of the UNDP regional office and possibly with a professional facilitator.

**Recommendation 6: It is recommended to prepare an exit strategy for the project to ensure an orderly disengagement of project support and maximize the sustainability of project achievements.**

***Issue to Address***

165. The sustainability strategy detailed in the project document is somewhat weak and limited; it should be more proactive. The focus on communities (recommendation #2) to engage them early in assessing their needs and planning DRR actions, should contribute to the sustainability of project achievements. Other project interventions with government agencies should also be sustained when considering that these actions are responding to national needs. However, it is recommended that the Project Team developed an exit strategy six months before the end of the project to prepare for the withdrawal of project resources and set some guidance for the sustainability of project achievements and the scaling-up and replication of these

achievements. This exit strategy should also include a process to document the accomplishments of the project and the way forward to replicate these results.

**Recommendation 7: It is recommended to expedite the administration process as much as possible with direct payments during the remaining period of the project.**

*Issue to Address*

166. The management arrangements are adequate for implementing the project; however, administrative bottlenecks hampered the implementation of the project and contributed to the weak efficiency of mobilizing LDCF resources. Using a National Implementation Modality (NIM) type approach to mobilize these resources, the combination of UNDP administration rules and regulations and of the government of Timor-Leste rules and regulations has increased the administrative burden on the Project Team, making it difficult and slow to source, tender, contract, administer and pay suppliers of goods and services to the project. It was the case for the establishment of the “Top-Up” Grant mechanism at the municipal level, which, between the necessary agreements to sign and the transfer of funds to make grants available at the municipal level took much longer than anticipated. It is recommended that for the remaining implementation period, the project seeks to expedite the administration process as much as possible with direct payments whenever possible, not to lose precious implementation time.

**Recommendation 8: It is recommended for the PSC to meet at least twice a year and the TWG to meet quarterly confirming the recent PSC decision.**

*Issue to Address*

167. Despite adequate management arrangements of the project, the coordination among stakeholders is not working at its fullest; preventing the sharing of a clear vision on where the project wants to go. The PSC only met four times in 32 months, which is not enough for ensuring a good coordination of a project and guide its implementation, particularly when multiple levels of government are involved. A Technical Working Group (TWG) met for the first time recently. It is recommended that the PSC meets at least twice a year (and more if needed) and, as per the recent PSC decision, the TWG should meet quarterly to review the progress and address technical issues. These meetings should be used to communicate the progress/results of the project and the plans for the period ahead; but also to obtain feedback from stakeholders/beneficiaries and discuss the possible changes needed to make the project more effective. The aim of these meetings should be to increase the coordination among stakeholders including a better coordination and involvement in project decision-making from local authorities and community leaders.

**Recommendation 9: It is recommended to plan the necessary survey(s), including a household survey during the last 6 months of the project to provide information necessary to measure the performance of the project.**

*Issue to Address*

168. There is a good set of indicators/targets to monitor the performance of the project. However, the sources of some of these indicators require the task of conducting survey(s), including a household survey to measure how well the project has been meeting its targets. Since its inception, the project has supported numerous training events. Without survey(s), it is difficult to assess the effectiveness of this training and measure the impacts on the DRM/DRR capacity of targeted institutions/staff. It is recommended to plan the necessary survey(s) during the last 6 months of the project to provide valuable information and be able to measure the actual performance of the project at the end.

**Recommendation 10: It is recommended to increase communication activities to disseminate project achievements, lessons learned and best practices, focusing on project stakeholders but also on public at large to increase awareness on how to reduce the risks of climate-induced disasters and a more effective coordination among stakeholders.**

*Issue to Address*

169. Due to the complexities to understand how to protect critical economic infrastructure for sustained human development from climate-induced natural hazards, there are large needs to communicate and make

stakeholders more aware about these complexities. Yet, not enough efforts are made to communicate information on DRM and DRR and how it can affect natural resources and economic infrastructure and by extension the livelihood of communities. As a result, stakeholders/beneficiaries are not aware enough. Their lack of knowledge about disasters risks also prevent them to be fully engaged in project activities and fully understand the need for better managing disasters risks and how to reduce these risks. It is recommended to increase communication on DRM to stakeholders, including communities/sucos benefitting from projects funded by the “top-up” grant mechanism. In addition, lessons learned and best practices should be properly documented and this information should be disseminated throughout the country to promote the replicability of best practices tested under the DARDC project. This recommendation also confirms the recent increase in communication activities supported by the project, including the hiring of a long-term communication consultant to develop communication products and raise awareness of stakeholders on DRM.

## Annex 1: Project Expected Results and Planned Activities

The table below was compiled from the list of expected results and planned activities as anticipated in the project document.

***Project Objective:*** Critical economic infrastructure for sustained human development protected from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor.

Intended Outcomes	Expected Outputs	Budget per Outcome	Indicative Activities
<b>Outcome 1 –</b> Knowledge and understanding of local drivers of climate-induced disasters enhanced, and consequent impacts on economic infrastructure better understood and available to policy makers, planners and technical staff	<b>Output 1.1:</b> National training facility established, providing services for at least 200 district officials, DDOC/DDMC members and community facilitators, in: climate risk and vulnerability assessment, damage and loss assessment, contingency planning, formal and informal EWS systems, climate related planning and budget management.	<b>LDCF: \$900,000</b> <b>Co-financing: \$4,192,003</b>	1.1.1. Assess INAP's capacity for developing and presenting training on DRM and climate change adaptation 1.1.2. Develop an organizational strategy to strengthen INAP's capacity for delivering training on DRM and climate change adaptation 1.1.3. Conduct a comprehensive needs assessment for DRM training 1.1.4. Update and extend the portfolio of training modules to include aspects that are not sufficiently covered within the current portfolio. 1.1.5. Provide training on DRM to national and district officials 1.1.6. Develop an organizational strategy for a national disaster database to coordinate the knowledge management of NDMD (under UNDP-SDRM), NDIEACC (under UNDP-SSRI) and the National Climate Change Centre. 1.1.7. Develop and disseminate knowledge and awareness products documenting good practices for DRM from the LDCF project as well as other national and international projects/initiatives.
	<b>Output 1.2:</b> National DRM policy and institutional roles extended to address climate change and disaster risk reduction measures, including assessment methods, institutional and implementation modalities, functional and technical capacities and M&E systems.		1.2.1. Integrate climate change adaptation into the ongoing revision of the NDRM Policy 1.2.2. Conduct capacity assessments of NDMD, NDIEACC, MAF and other DRM stakeholders to identify institutional and organizational capacity gaps 1.2.3. Develop gender-sensitive recommendations for relevant sector policies, plans and strategies describing institutional and implementation modalities, functional and technical capacities, assessment methods and M&E systems for DRM 1.2.4. Produce and disseminate policy briefs to government staff in relevant institutions and line ministries
<b>Outcome 2 –</b> Sub-national DRM institutions able to assess, plan, budget and deliver investments in climate change related	<b>Output 2.1:</b> Capacities of district and sub-district Disaster Management Committees and District Disaster Operation Centers strengthened to plan, budget and deliver climate-induced disaster prevention financing in at least two districts (eg. for resilient shelter,	<b>LDCF: \$1,300,000</b> <b>Co-financing: \$9,010,332</b>	2.1.1. Develop a top-up grant system to local DRM institutions and local administrations for increased finance of disaster prevention and -preparedness activities as well as general resilience measures 2.1.2. Develop guidelines and operational manuals for the top-up grant system to deliver disaster prevention and preparedness interventions 2.1.3. Support the formation of women's groups in each suco/aldeia applying for DRM

Intended Outcomes	Expected Outputs	Budget per Outcome	Indicative Activities
disaster prevention, linked to critical economic infrastructure and assets in the Dili to Ainaro development corridor	improved grain storage and seed replacement, windbreaks, storm drains, small scale flood protection) benefitting at least 5,000 households		<p>funding</p> <p><b>2.1.4.</b> Develop a menu of interventions for disaster prevention and preparedness that reduce vulnerability of communities to climate-induced disasters</p> <p><b>2.1.5.</b> Sensitize communities on the availability of financing for disaster prevention and preparedness</p> <p><b>2.1.6.</b> Conduct participatory Community Vulnerability Capacity Assessments</p> <p><b>2.1.7.</b> Develop community-driven and gender-focused Community Action Plans that prioritize measures to reduce the risks and vulnerabilities identified in CVCAs</p> <p><b>2.1.8.</b> Deliver community-level disaster prevention investments according to the operational manuals of the top-up grant system</p>
	<b>Output 2.2:</b> Community to district-level EWS for climate-induced extreme events designed, tested and installed, with related capacities provided (contingency planning) for at least 5,000 vulnerable rural households, with a focus on women.		<p><b>2.2.1.</b> Assess the current state of early warning and response systems currently operated by NDOC, DDMCs/DDOCs, CVTL, PNTL, MAF, PIG and ND Met to identify best practices, traditional knowledge, gender considerations and capacity gaps</p> <p><b>2.2.2.</b> Develop a model and SOPs for EWS through stakeholder consultation and expert analysis</p> <p><b>2.2.3.</b> Conduct public awareness and training campaigns on EWS</p>
<b>Outcome 3 –</b> Community driven investments implemented to reduce climate change and disaster induced losses to critical infrastructure assets and the wider economy	<b>Output 3.1:</b> Watershed-level climate change vulnerability and risk assessments carried out within the Dili to Ainaro road corridor covering at least 35 sucos, informing district and sub-district level planning, prioritization and budgeting (linked to WB hazard assessments).	<b>LDCF: \$2,800,000</b> <b>Co-financing: \$23,000,000</b>	<p><b>3.1.1.</b> Collate existing data from the WB-BCDRP, UNDP-SDRM and MAF-ALGIS as well as remote sensing imagery to develop a GIS-based database of geographical, geological and land use characteristics of the DARDC</p> <p><b>3.1.2.</b> Integrate the GIS-based data with the CVCAs and CAPs to develop watershed hazard and risk maps identifying risk areas posing a threat to road infrastructure as well as economic and livelihood assets</p>
	<b>Output 3.2:</b> Micro-watershed management plans designed and implemented to deliver community-driven resilience measures for reducing the impacts of climate-induced disasters (flooding and landslides) in vulnerable micro-watersheds along the Dili-to- Ainaro Road Development Corridor, covering at least 50,000 hectares outside of the WB road project RoW.		<p><b>3.2.1.</b> Support MAF to ingrate the watershed management plans at the local level into the Strategic District Plans and the PDID process</p> <p><b>3.2.2.</b> Develop watershed management plans to address the vulnerabilities of road infrastructure as well as local communities in the DARDC</p> <p><b>3.2.3.</b> Implement interventions prioritized in watershed management plans</p> <p><b>3.2.4.</b> Reforest slopes using fukuoka-style seedballs to rehabilitate larger vulnerable slopes previously damaged by slash-and-burn agriculture, erosion and other forms of ecosystem degradation</p> <p><b>3.2.5.</b> Develop and disseminate information and materials to promote public awareness on watershed management approaches to reduce hazards posed by climate-induced disasters</p>

Source: Project Document

## Annex 2: MTR Terms of Reference

### UNDP-GEF Midterm Review

#### **BASIC CONTRACT INFORMATION**

**Location:** Dili, Timor-Leste  
**Application Deadline:** 17<sup>th</sup> May 2017  
**Category:** Energy and Environment  
**Type of Contract:** Individual Contract  
**Assignment Type:** International Consultant  
**Languages Required:** English  
**Starting Date:** 5<sup>th</sup> June 2017  
**Duration of Initial Contract:** 26 working days between 5<sup>th</sup> June – 10<sup>th</sup> July 2017 (tentative)  
**Expected Duration of Assignment:** 26 working days

#### **BACKGROUND**

##### **A. Project Title**

Strengthening Community Resilience to Climate-induced disasters in the Dili to Ainaro Road Development Corridor, Timor-Leste

##### **B. Project Description**

Timor-Leste is already subjected to unpredictable extreme weather events. Furthermore, climate change projections indicate that these trends are likely to intensify in the future, increasing the frequency and severity of climate-induced disasters, such as floods and landslides. These disasters are likely to put road infrastructure and community assets at increased risk and as a consequence the vulnerability of communities will increase.

The Dili to Ainaro Road Development Corridor (DARDC) comprises a joint investment by the Government of Timor-Leste and the World Bank to upgrade and strengthen the climate resilience of the road infrastructure linking Dili to the capitals of Aileu and Ainaro Municipalities. The problem that the proposed LDCF project seeks to address is that climate change is expected to increase damage to road infrastructure in the DARDC resulting from an increased intensity of climate-induced disasters. Damage to road infrastructure is expensive to repair and restricts: i) economic development; ii) market access; iii) access to services such as education and health care; iv) evacuation during natural disasters; and v) provision of disaster relief. Furthermore, this threat of damage to road infrastructure is exacerbated by ecosystem degradation resulting from existing land-use practices. Such ecosystem degradation increases the risk of floods and landslides owing to reduced water infiltration and increased soil erosion.

The solution to this problem is to strengthen the resilience of communities living along road infrastructure in DARDC to climate-induced disasters such as floods and landslides and to reduce the risk of damage to road infrastructure. This will also safeguard associated social and economic benefits such as access to markets and essential services. Strengthening livelihoods assets on which communities depend also safeguards household income as households are less prone to – and in a better position to recover from – climate-induced disasters. The proposed project mainstreams gender considerations into its various activities and deliverables.

The project aims to achieve this by specifically targeting and strengthening institutional and technical capacities of sub-national government officials to plan for and implement disaster risk management (DRM) measures using ecosystem-based approaches. Significant barriers to achieving the implementation of DRM using ecosystem-based approaches include: i) limited knowledge and understanding of climate-induced disasters; ii) limited capacity of sub-national officials to plan for and respond to disasters; and iii) insufficient financial resources to deliver DRM measures using ecosystem-based approaches.

The project will contribute to overcoming these barriers by: i) enhancing integration of climate change into national DRM policy; ii) providing access to knowledge and training on DRM; iii) strengthening institutional capacity for planning, budgeting and delivering investments into DRM, particularly at sub-national level; iv) developing early warning systems to reduce risks posed by climate-induced disasters; and v) reducing vulnerabilities of communities

along the DARC by reducing damage to road infrastructure through implementing climate-resilient and ecosystem-based approaches to DRM. The ecosystem-based approach to DRM will support community livelihoods and restore ecosystems to reduce the risks posed by climate-induced disasters. Communities in the vicinity of the project area will be included in the selection and implementation of project activities, with a particular focus on ensuring that the interests of local women are adequately represented through implementation of a gender action plan. The project will also clarify the link between climate risk reduction and sustainable agricultural practices. Although local and international NGOs are actively promoting such practices, these programmes currently do not focus on the reduction of climate change risks, nor are they systematically used within road development corridors and other types of infrastructure to increase climate resilience.

The proposed LDCF project is part of a joint project with the World Bank. The implementing partner is the National Disaster Management Directorate within the Ministry of Social Solidarity. Other responsible parties include the National Directorate for Climate Change of the Ministry of Commerce, Industry and Environment, Ministry of State Administration, Ministry of Public Works, Ministry of Finance and the Ministry of Agriculture and Fisheries.

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled Strengthening Community Resilience to Climate-induced disasters in the Dili to Ainaro Road Development Corridor, Timor-Leste (PIMS 5108) implemented through the Ministry of Social Solidarity (MSS), Ministry of State Administration (MSA), Ministry of Agriculture and Fisheries (MAF) and Ministry of Commerce, Industry and Environment (MCIE), which is to be undertaken in 2014-2018. The project started on the 10<sup>th</sup> October 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). The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (see Annex).

## **DUTIES AND RESPONSIBILITIES**

### **C. Scope of Work and Key Tasks**

The MTR team will consist of two independent consultants that will conduct the MTR - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, usually from the country of the project.

The MTR team will first conduct a document review of project documents (i.e. PIF, UNDP Initiation Plan, Project Document, ESSP, Project Inception Report, PIRs, Finalized GEF focal area Tracking Tools, Project Appraisal Committee meeting minutes, Financial and Administration guidelines used by Project Team, project operational guidelines, manuals and systems, etc.) provided by the Project Team and Commissioning Unit. Then they will participate in a MTR inception workshop to clarify their understanding of the objectives and methods of the MTR, producing the MTR inception report thereafter. The MTR mission will then consist of interviews and site visits to:

1. Suco Madabeno, Laulara, Aileu Municipality (Water source rehabilitation, Nursery site)
2. Suco Malere, Aileu Vila, Aileu Municipality (Water source rehabilitation)
3. Suco Aisirimou, Aileu Vila, Aileu Municipality (Check dams, water harvesting, compost, nursery, Agroforestry, terracing and Reforestation)
4. Suco Bandudato, Aileu Vila, Aileu Municipality (Check dams, water harvesting and compost)
5. Suco Lahae, Aileu Vila, Aileu Municipality (Check dams, water harvesting, compost, terracing, Agroforestry and reforestation)
6. Suco Liurai, Aileu Vila, Aileu Municipality (Check dams)
7. Suco Cotolau, Laulara, Aileu Municipality (Check dams, compost, water harvesting, Water roof harvesting, water infiltration and Reforestation)
8. Suco Talimoro, Ermera Vila, Ermera Municipality (Construction of retain wall and reforestation)
9. Suco Poetete, Ermera Vila, Ermera Municipality (Water rehabilitation)
10. Suco Hilokomau, Ainaro Vila, Ainaro Municipality (Water rehabilitation)
11. Suco Horaiikiik, Maubisse, Ainaro Municipality (Check dams and nursery)
12. Suco Aitutu, Maubisse, Ainaro Municipality (Check dams, dew ponds, reforestation and terracing)
13. Suco Mulo, Hatobilico, Ainaro Municipality (Check dams, dewponds, and compost)
14. Suco Nunumogue, Hatubuilico, Ainaro Municipality (Check dams and compost)
15. Suco Bulico, Ainaro Municipality (Water rehabilitation)
16. Suco Casa, Ainaro Municipality (Nursery, Reforestation and terracing)
17. Suco Holarua, Same, Manufahi Municipality (Water rehabilitation)

The MTR team will assess the following four categories of project progress and produce a draft and final MTR report. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* [http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance Midterm%20Review%20 EN 2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance%20Midterm%20Review%20EN%202014.pdf) for requirements on ratings. No overall rating is required.

## 1. 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.
- Review how the project addresses country priorities
- Review decision-making processes

### *Results Framework/Log-frame:*

- Undertake a critical analysis of the project's log-frame 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.
- 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.

## 2. Progress Towards Results

- Review the log-frame indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in 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 the project objective and each outcome; make recommendations from the areas marked as "not on target to be achieved" (red).
- 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.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

## 3. Project Implementation and Adaptive Management

Using the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; assess the following categories of project progress:

- Management Arrangements
- Work Planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder Engagement
- Reporting
- Communications

## 4. Sustainability

Assess overall risks to sustainability factors of the project in terms of the following four categories:

- Financial risks to sustainability
- Socio-economic risks to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

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

Additionally, the MTR consultant/team is expected to make **recommendations** to the Project Team. 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. The MTR consultant/team should make no more than 15 recommendations total.

## **D. Expected Outputs and Deliverables**

The MTR consultant/team shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 2 weeks before the MTR mission. To be sent to the Commissioning Unit and project management. Approximate due date: (05 June 2017)
- Presentation: Initial Findings presented to project management and the Commissioning Unit at the end of the MTR mission. Approximate due date: (10 July 2017)
- Draft Final Report: Full report with annexes within 3 weeks of the MTR mission. Approximate due date: (26 June 2017)
- Final Report\*: Revised report with annexed audit trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Approximate due date: (3<sup>rd</sup> July 2017)

\*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

## **E. Institutional Arrangement**

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNDP Timor-Leste.

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within Timor-Leste 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.

## **F. Duration of the Work**

Identify the consultant's duty station/location for the contract duration, mentioning ALL possible locations of field works/duty travel in pursuit of other relevant activities, specially where traveling to locations at security Phase I or above will be required.

### **Travel:**

- International travel will be required to Timor -Leste and the select project sites in the municipalities outside of the capital, Dili during the MTR mission;
- The Basic Security in the Field II and Advanced Security in the Field courses must be successfully completed prior to commencement of travel;
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>
- All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

The total duration of the MTR will be approximately (8 of weeks) starting 5<sup>th</sup> June 2017), and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

- (12<sup>th</sup> May 2017): Application closes
- (19<sup>th</sup> May 2017): Selection of MTR Team
- (5<sup>th</sup> June 2017): Prep the MTR Team (handover of project documents)
- (5<sup>th</sup> – 8<sup>th</sup> June 2017) 4 -days (recommended 2-4): Document review and preparing MTR Inception Report
- (9<sup>th</sup> – 12<sup>th</sup> June 2017) 2-days: Finalization and Validation of MTR Inception Report- latest start of MTR mission
- (13<sup>th</sup> – 26<sup>th</sup> June 2017) 10- days (r: 7-15): MTR mission: stakeholder meetings, interviews, field visits
- (27<sup>th</sup> June 2017): Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
- (28<sup>th</sup> June – 4<sup>th</sup> July 2017) 5- days (r: 5-10): Preparing draft report
- (18<sup>th</sup> – 19<sup>th</sup> July 2017) 2- days (r: 1-2): Incorporating audit trail on draft report/Finalization of MTR report
- (20<sup>th</sup> – 21<sup>th</sup> July 2017): Preparation & Issue of Management Response (no working days for the consultant)
- (24<sup>th</sup> July 2017): (optional) Concluding Stakeholder Workshop (not mandatory for MTR team)
- (28<sup>th</sup> July 2017): Expected date of full MTR completion

The date start of contract is (5<sup>th</sup> June 2017).

Deliverable /output	Estimated Duration Complete	Target Due date	Review and approvals required
Document review and preparing inception workshop	4-days	5 - 8 June 2017	DARDC PM /CTA
MTR Inception report	2-days	9-12 June 2017	DARDC PM/CTA, Head of RBU
Conducting meeting with stakeholders and field trips	10 days	13-26 June 2017	DARDC PM/CTA
Integrate comments from key stakeholders	One day	29 June 2017	DARDC PM/CTA
Preparing of draft MTR report	5-days	28 June – 4 July 2017	DARDC PM/CTA
Present a final draft report (optional)	1-day	19 July 2017	DARDC PM/CTA
Submit final MTR report	3 weeks	28 July 2017	DARDC PM/CTA, Head of RBU, Regional Office Bangkok

## G. Duty Station

### REQUIRED SKILLS AND EXPERIENCE

## H. Qualifications of the Successful Applicants

<b>A. <u>Technical Criteria</u></b>	<b>Weight 70%</b>
Education: A Master's degree in environmental studies, developmental studies, climate change, or other closely related field.	20%
Years of Experience: Minimum 10 years professional experience in climate change adaptation, gender sensitive evaluation, and analysis and experience working with the GEF or GEF-evaluations.	20 %
Recent experience with result-based management evaluation methodologies, project evaluation/review within United Nations system applying SMART indicators and reconstructing or validating baseline scenarios, competence in adaptive management, as applied to climate change adaptation	15 %
Experience working in the South East Asia and experience in other relevant languages	10%
Experience in consulting with various stakeholders including government officials and community members, demonstrate in analytical skills.	10 %
<b>B. <u>Financial proposal</u></b>	<b>30%</b>

The selection of consultants will be aimed at maximizing the overall “team” qualities in the following areas:

- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART targets and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to climate change adaptation;
- Experience working with the GEF or GEF-evaluations;
- Experience working in South East Asia
- Work experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender and (*Climate change Adaptation*); experience in gender sensitive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset;
- A Master’s degree in Environmental, Climate Change or other closely related field.

**Consultant Independence:**

The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project’s related activities.

## **APPLICATION PROCESS**

### **I. Scope of Price Proposal and Schedule of Payments**

**Financial Proposal:**

- Financial proposals must be “all inclusive” and expressed in a lump-sum for the total duration of the contract. The term “all inclusive” implies all cost (professional fees, travel costs, living allowances etc.);
- For duty travels, the UN’s Daily Subsistence Allowance (DSA) rates are (fill for all travel destinations), which should provide indication of the cost of living in a duty station/destination (*Note: Individuals on this contract are not UN staff and are therefore not entitled to DSAs. All living allowances required to perform the demands of the ToR must be incorporated in the financial proposal, whether the fees are expressed as daily fees or lump sum amount.*)
- The lump sum is fixed regardless of changes in the cost components.

**Schedule of Payments:**

10% of payment upon approval of the MTR Inception Report  
30% upon submission of the draft MTR Report  
60% upon finalization of the MTR Report

Or, as otherwise agreed between the Commissioning Unit and the MTR team.

### **J. Recommended Presentation of Offer**

- a) Completed **Letter of Confirmation of Interest and Availability** using the [template](#) provided by UNDP;
- b) **Personal CV or a [P11 Personal History form](#)**, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references;
- c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP. See Letter of Confirmation of Interest template for financial proposal template.

Incomplete applications will be excluded from further consideration.

## **K. Criteria for Selection of the Best Offer**

The award of the contract will be made to the Individual Consultant who has obtained the highest Combined Score and has accepted UNDP's General Terms and Conditions. Only those applications which are responsive and compliant will be evaluated. The offers will be evaluated using the "Combined Scoring method" where:

- a) The educational background and experience on similar assignments will be weighted a max. of 70%;
- b) The price proposal will weigh as 30% of the total scoring.

## **L. Annexes to the MTR ToR**

ToR ANNEX A: List of Documents to be reviewed by the MTR Team

ToR ANNEX B: Guidelines on Contents for the Midterm Review Report

ToR ANNEX C: Midterm Review Evaluative Matrix Template

ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants

ToR ANNEX E: MTR Ratings

ToR ANNEX F: MTR Report Clearance Form

ToR ANNEX G: Audit Trail Template

### Annex 3: Code of Conduct for Evaluators and Agreement Form

#### *Reviewers / 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 imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

#### *Mid-Term Review Consultant Agreement Form*

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

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

Signed in Ottawa on June 20, 2017

Signed in Dili on June 21, 2017



Signature: \_\_\_\_\_



Signature: \_\_\_\_\_

Name of Consultant: ***Jean-Joseph Bellamy***

Name of Consultant: ***Anderias Tani***

## Annex 4: Review Matrix

The evaluation matrix below served as a general guide for the review. It provided directions for the review; particularly for the collection of relevant data. It was used as a basis for interviewing people and reviewing project documents. It also provided a basis for structuring the review report as a whole.

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
<b>Review criteria: Relevance</b> - How does the project relate to the main objectives of the GEF-LDCF, UNDP and to the adaptation to climate change priorities at the suco, district and national levels in Timor-Leste?				
<i>Is the Project relevant to GEF-LDCF objectives?</i>	<ul style="list-style-type: none"> <li>How does the Project support the related strategic priorities of the GEF-LDCF?</li> <li>Were GEF-LDCF criteria for project identification adequate in view of actual needs?</li> </ul>	<ul style="list-style-type: none"> <li>Level of coherence between project objectives and those of the GEF-LDCF</li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>GEF-LDCF policies and strategies</li> <li>GEF web site</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with government officials and other partners</li> </ul>
<i>Is the Project relevant to UNDP objectives?</i>	<ul style="list-style-type: none"> <li>How does the project support the objectives of UNDP in this sector?</li> </ul>	<ul style="list-style-type: none"> <li>Existence of a clear relationship between project objectives and country programme objectives of UNDP</li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>UNDP strategies and programme</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with government officials and other partners</li> </ul>
<i>Is the Project relevant to Timor-Leste' climate change adaptation, DRM and development objectives?</i>	<ul style="list-style-type: none"> <li>Does the project follow the government's stated priorities?</li> <li>How does the Project support the climate change adaptation, DRM and development priorities/objectives of Timor-Leste?</li> <li>Does the project address the identified problem?</li> <li>How country-driven is the Project?</li> <li>Does the Project adequately take into account national realities, both in terms of institutional framework and programming, in its design and its implementation?</li> <li>To what extent were national partners involved in the design of the Project?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which the project support national climate change adaptation, DRM and development priorities/objectives</li> <li>Degree of coherence between the project and national priorities, policies and strategies; particularly related to climate change adaptation and DRM</li> <li>Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities?</li> <li>Level of involvement of Government officials and other partners into the project</li> <li>Coherence between needs expressed by national stakeholders and UNDP criteria</li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>National policies, strategies and programmes</li> <li>Key government officials and other partners</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with government officials and other partners</li> </ul>
<i>Does the Project address the needs of target beneficiaries?</i>	<ul style="list-style-type: none"> <li>How does the project support the needs of target beneficiaries?</li> <li>Is the implementation of the project been inclusive of all relevant Stakeholders?</li> <li>Are local beneficiaries and stakeholders adequately involved in project formulation and implementation?</li> </ul>	<ul style="list-style-type: none"> <li>Strength of the link between project expected results and the needs of target beneficiaries</li> <li>Degree of involvement and inclusiveness of beneficiaries and stakeholders in project design and implementation</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiaries and stakeholders</li> <li>Needs assessment studies</li> <li>Project documents</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews with beneficiaries and stakeholders</li> </ul>
<i>Is the Project internally</i>	<ul style="list-style-type: none"> <li>Was the project sourced through a demand-driven approach?</li> <li>Is there a direct and strong link between project expected results (Result</li> </ul>	<ul style="list-style-type: none"> <li>Level of coherence between project expected results and internal project design logic</li> </ul>	<ul style="list-style-type: none"> <li>Program and project documents</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Key Interviews</li> </ul>

Mid-term Review of the UNDP-GEF-LDCF-Government of Timor-Leste Project "Strengthening Community Resilience to Climate-induced disasters in the Dili to Ainaro Road Development Corridor, Timor-Leste (DARDC)" (PIMS 5108)

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
<i>coherent in its design?</i>	and Resources Framework) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc.)? <ul style="list-style-type: none"> <li>Is the length of the project conducive to achieve project outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Level of coherence between project design and project implementation approach</li> </ul>	<ul style="list-style-type: none"> <li>Key project stakeholders</li> </ul>	
<i>How is the Project relevant in light of other donors?</i>	<ul style="list-style-type: none"> <li>With regards to Timor-Leste, does the project remain relevant in terms of areas of focus and targeting of key activities?</li> <li>How does GEF-LDCF help to fill gaps (or give additional stimulus) that are crucial but are not covered by other donors?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which the project was coherent and complementary to other donor programming in Timor-Leste</li> <li>List of programs and funds in which future developments, ideas and partnerships of the project are eligible?</li> </ul>	<ul style="list-style-type: none"> <li>Other Donors' policies and programming documents</li> <li>Other Donor representatives</li> <li>Project documents</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with other Donors</li> </ul>
<b>Future directions for similar Projects</b>	<ul style="list-style-type: none"> <li>What lessons have been learnt and what changes could have been made to the project in order to strengthen the alignment between the project and the Partners' priorities and areas of focus?</li> <li>How could the project better target and address priorities and development challenges of targeted beneficiaries?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected throughout evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> </ul>
<b>Review criteria: Effectiveness – To what extent have the expected outcomes and objectives of the project been achieved?</b>				
<i>How is the Project effective in achieving its expected outcomes?</i>	<ul style="list-style-type: none"> <li>How is the project being effective in achieving its expected outcomes? <ul style="list-style-type: none"> <li>Knowledge and understanding of local drivers of climate-induced disasters enhanced, and consequent impacts on economic infrastructure better understood and available to policy makers, planners and technical staff</li> <li>Sub-national DRM institutions able to assess, plan, budget and deliver investments in climate change related disaster prevention, linked to critical economic infrastructure and assets in the Dili to Ainaro development corridor</li> <li>Community driven investments implemented to reduce climate change and disaster induced losses to critical infrastructure assets and the wider economy</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>New methodologies, skills and knowledge</li> <li>Change in capacity for information management: knowledge acquisition and sharing; effective data gathering, methods and procedures for reporting.</li> <li>Change in capacity for awareness raising <ul style="list-style-type: none"> <li>Stakeholder involvement and government awareness</li> <li>Change in local stakeholder behavior</li> </ul> </li> <li>Change in capacity in policy making and planning to improve adaptation to climate change and DRM: <ul style="list-style-type: none"> <li>Policy reform</li> <li>Legislation/regulation change</li> <li>Development of national and local strategies and plans</li> </ul> </li> <li>Change in capacity in implementation and enforcement <ul style="list-style-type: none"> <li>Design and implementation of risk assessments</li> <li>Implementation of national and local strategies and action plans through adequate institutional frameworks and their maintenance</li> <li>Monitoring, evaluation and promotion of pilots</li> </ul> </li> <li>Change in capacity in mobilizing resources <ul style="list-style-type: none"> <li>Leverage of resources</li> <li>Human resources</li> <li>Appropriate practices</li> <li>Mobilization of advisory services</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>Key stakeholders including UNDP, Project Team, Representatives of Gov. and other Partners</li> <li>Research findings</li> </ul>	<ul style="list-style-type: none"> <li>Documents analysis</li> <li>Meetings with main Project Partners</li> <li>Interviews with project beneficiaries</li> </ul>
<i>How is risk</i>	<ul style="list-style-type: none"> <li>How well are risks and assumptions being managed?</li> <li>What is the quality of risk mitigation strategies developed? Are they</li> </ul>	<ul style="list-style-type: none"> <li>Completeness of risk identification and assumptions during project planning</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
<i>and risk mitigation being managed?</i>	sufficient? ■ Are there clear strategies for risk mitigation related with long-term sustainability of the project?	■ Quality of existing information systems in place to identify emerging risks and other issues? ■ Quality of risk mitigations strategies developed and followed	■ UNDP, Project Staff and Project Partners	
<b>Future directions for similar Projects</b>	■ What lessons have been learnt for the project to achieve its outcomes? ■ What changes could have been made (if any) to the formulation of the project in order to improve the achievement of project's expected results? ■ How could the project be more effective in achieving its results?		■ Data collected throughout evaluation	■ Data analysis
<b>Review criteria: Efficiency - Was the project implemented efficiently, cost-effectively and in-line with international and national norms and standards?</b>				
<i>Is Project support channeled in an efficient way?</i>	■ Is adaptive management used or needed to ensure efficient resource use? ■ Does the Project Results Framework and work plans and any changes made to them used as management tools during implementation? ■ Are the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? ■ How adequate is the M&E framework (indicators & targets)? ■ Are progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? ■ Is project implementation as cost effective as originally proposed (planned vs. actual) ■ Is the leveraging of funds (co-financing) happened as planned? ■ Are financial resources utilized efficiently? Could financial resources have been used more efficiently? ■ How is RBM used during project implementation? ■ Is the project decision-making effective? ■ Does the government provide continuous strategic directions to the project's formulation and implementation? ■ Have these directions provided by the government guided the activities and outcomes of the project? ■ Are there an institutionalized or informal feedback or dissemination mechanisms to ensure that findings, lessons learned and recommendations pertaining to project formulation and implementation effectiveness were shared among project stakeholders, UNDP staff and other relevant organizations for ongoing project adjustment and improvement? ■ Does the project mainstream gender considerations into its implementation?	■ Availability and quality of financial and progress reports ■ Timeliness and adequacy of reporting provided ■ Level of discrepancy between planned and utilized financial expenditures ■ Planned vs. actual funds leveraged ■ Cost in view of results achieved compared to costs of similar projects from other organizations ■ Adequacy of project choices in view of existing context, infrastructure and cost ■ Quality of RBM reporting (progress reporting, monitoring and evaluation) ■ Occurrence of change in project formulation/ implementation approach (i.e. restructuring) when needed to improve project efficiency ■ Existence, quality and use of M&E, feedback and dissemination mechanism to share findings, lessons learned and recommendation on effectiveness of project design. ■ Cost associated with delivery mechanism and management structure compare to alternatives ■ Gender disaggregated data in project documents	■ Project documents and evaluations ■ UNDP, Representatives of Gov. and Project Staff ■ Beneficiaries and Project partners	■ Document analysis ■ Key Interviews
<i>How efficient</i>	■ Is the government engaged?	■ Specific activities conducted to support the development	■ Project documents and	■ Document analysis

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
<i>are partnership arrangements for the Project?</i>	<ul style="list-style-type: none"> <li>How does the government demonstrate its ownership of the projects?</li> <li>Did the government provide a counterpart to the project?</li> <li>To what extent partnerships/linkages between institutions/ organizations are encouraged and supported?</li> <li>Which partnerships/linkages are facilitated? Which one can be considered sustainable?</li> <li>What is the level of efficiency of cooperation and collaboration arrangements? (between local actors, UNDP and relevant government entities)</li> <li>Which methods were successful or not and why?</li> </ul>	<ul style="list-style-type: none"> <li>of cooperative arrangements between partners,</li> <li>Examples of supported partnerships</li> <li>Evidence that particular partnerships/linkages will be sustained</li> <li>Types/quality of partnership cooperation methods utilized</li> </ul>	<ul style="list-style-type: none"> <li>evaluations</li> <li>Project Partners</li> <li>UNDP, Representatives of Gov. and Project Staff</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
<i>Does the Project efficiently utilize local capacity in implementation ?</i>	<ul style="list-style-type: none"> <li>Was an appropriate balance struck between utilization of international expertise as well as local capacity?</li> <li>Does the project support mutual benefits through sharing of knowledge and experiences, training, technology transfer among developing countries?</li> <li>Did the Project take into account local capacity in formulation and implementation of the project?</li> <li>Was there an effective collaboration with scientific institutions with competence in adaptation to climate change?</li> </ul>	<ul style="list-style-type: none"> <li>Proportion of total expertise utilized taken from Timor-Leste</li> <li>Number/quality of analyses done to assess local capacity potential and absorptive capacity</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>UNDP, Project Team and Project partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<b>Future directions for similar Projects</b>	<ul style="list-style-type: none"> <li>What lessons can be learnt from the project on efficiency?</li> <li>How could the project have more efficiently addressed its key priorities (in terms of management structures and procedures, partnerships arrangements etc....)?</li> <li>What changes could have been made (if any) to the project in order to improve its efficiency?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected throughout evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> </ul>
<b>Review criteria: Impacts - Are there indications that the project has contributed to adaptation to climate change and DRM in Timor-Leste?</b>				
<i>How is the Project effective in achieving its long-term objectives?</i>	<ul style="list-style-type: none"> <li>Will the project achieve its objective that is critical economic infrastructure for sustained human development are protected from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, and local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor are strengthened?</li> </ul>	<ul style="list-style-type: none"> <li>Changes in capacity: <ul style="list-style-type: none"> <li>To pool/mobilize resources</li> <li>To provide an enabling environment,</li> <li>For implementation of related strategies and programmes through adequate institutional frameworks and their maintenance,</li> </ul> </li> <li>Changes in use and implementation of sustainable alternatives</li> <li>Changes to the quantity and strength of barriers such as change in <ul style="list-style-type: none"> <li>Limited knowledge and understanding of climate-induced disasters;</li> <li>Limited capacity of sub-national officials to plan for and respond to disasters;</li> <li>Insufficient financial resources to deliver DRM measures using ecosystem-based approaches</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>Key Stakeholders</li> <li>Research findings</li> </ul>	<ul style="list-style-type: none"> <li>Documents analysis</li> <li>Meetings with UNDP, Project Team and project Partners</li> <li>Interviews with project beneficiaries and other stakeholders</li> </ul>

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
<i>How is the Project impacting the local environment?</i>	<ul style="list-style-type: none"> <li>What are the impacts or likely impacts of the project on? <ul style="list-style-type: none"> <li>Local environment;</li> <li>Poverty; and,</li> <li>Other socio-economic issues.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Provide specific examples of impacts at those three levels, as relevant</li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>Key Stakeholders</li> <li>Research findings</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> <li>Interviews with key stakeholders</li> </ul>
<b>Future directions for the Project</b>	<ul style="list-style-type: none"> <li>How could the project build on its successes and learn from its weaknesses in order to enhance the potential for impact of ongoing and future initiatives?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected throughout evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> </ul>
<b>Review criteria: Sustainability - To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>				
<i>Are sustainability issues adequately integrated in Project design?</i>	<ul style="list-style-type: none"> <li>Were sustainability issues integrated into the formulation and implementation of the project?</li> <li>Does the project employ government implementing and/or monitoring systems?</li> <li>Is the government involved in the sustainability strategy for project outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence/Quality of sustainability strategy</li> <li>Evidence/Quality of steps taken to address sustainability</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>UNDP, project staff and project Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Did the project adequately address financial and economic sustainability issues?</i>	<ul style="list-style-type: none"> <li>Did the project adequately address financial and economic sustainability issues?</li> <li>Are the recurrent costs after project completion sustainable?</li> </ul>	<ul style="list-style-type: none"> <li>Level and source of future financial support to be provided to relevant sectors and activities after project end?</li> <li>Evidence of commitments from international partners, governments or other stakeholders to financially support relevant sectors of activities after project end</li> <li>Level of recurrent costs after completion of project and funding sources for those recurrent costs</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>UNDP, project staff and project Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Organizations arrangements and continuation of activities</i>	<ul style="list-style-type: none"> <li>Are results of efforts made during the project implementation period well assimilated by organizations and their internal systems and procedures?</li> <li>Is there evidence that project partners will continue their activities beyond project support?</li> <li>Has there been a buy-in process, or was there no need to sell the project and buy support?</li> <li>What degree is there of local ownership of initiatives and results?</li> <li>Are appropriate 'champions' being identified and/or supported?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which project activities and results have been taken over by local counterparts or institutions/organizations</li> <li>Level of financial support to be provided to relevant sectors and activities by in-country actors after project end</li> <li>Number/quality of champions identified</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>UNDP, project staff and project Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Enabling</i>	<ul style="list-style-type: none"> <li>Are laws, policies and frameworks addressed through the project, in order</li> </ul>	<ul style="list-style-type: none"> <li>Efforts to support the development of relevant laws and</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> </ul>

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
<i>Environment</i>	<p>to address sustainability of key initiatives and reforms?</p> <ul style="list-style-type: none"> <li>Are the necessary related capacities for lawmaking and enforcement built?</li> <li>What is the level of political commitment to build on the results of the project?</li> </ul>	<p>policies</p> <ul style="list-style-type: none"> <li>State of enforcement and law making capacity</li> <li>Evidence of commitment by the political class through speeches, enactment of laws and resource allocation to priorities</li> </ul>	<p>evaluations</p> <ul style="list-style-type: none"> <li>UNDP, project staff and project Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
<i>Institutional and individual capacity building</i>	<ul style="list-style-type: none"> <li>Is the capacity in place at the national, district and local levels adequate to ensure sustainability of results achieved to date?</li> </ul>	<ul style="list-style-type: none"> <li>Elements in place in those different management functions, at appropriate levels (national, district, local/sucos) in terms of adequate structures, strategies, systems, skills, incentives and interrelationships with other key actors</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>UNDP, Project staff and project Partners</li> <li>Beneficiaries</li> <li>Capacity assessments available, if any</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> <li>Documentation review</li> </ul>
<i>Social and political sustainability</i>	<ul style="list-style-type: none"> <li>Did the project contribute to key building blocks for social and political sustainability?</li> <li>Did the project contribute to local Stakeholders' acceptance of the new practices?</li> </ul>	<ul style="list-style-type: none"> <li>Example of contributions to sustainable political and social change with regard to climate change adaptation and DRM</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>UNDP, project staff and project Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> <li>Documentation review</li> </ul>
<i>Replication</i>	<ul style="list-style-type: none"> <li>Were project activities and results replicated elsewhere and/or scaled up?</li> <li>What was the project contribution to replication or scaling up of innovative practices or mechanisms to improve adaptation to climate change and DRM?</li> <li>Does the project has a catalytic role?</li> </ul>	<ul style="list-style-type: none"> <li>Number/quality of replicated initiatives</li> <li>Number/quality of replicated innovative initiatives</li> <li>Volume of additional investment leveraged</li> </ul>	<ul style="list-style-type: none"> <li>Other donor programming documents</li> <li>Beneficiaries</li> <li>UNDP, project staff and project Partners</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Challenges to sustainability of the Project</i>	<ul style="list-style-type: none"> <li>What are the main challenges that may hinder sustainability of efforts?</li> <li>Have any of these been addressed through project management?</li> <li>What could be the possible measures to further contribute to the sustainability of efforts achieved with the project?</li> </ul>	<ul style="list-style-type: none"> <li>Challenges in view of building blocks of sustainability as presented above</li> <li>Recent changes which may present new challenges to the project</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>Beneficiaries</li> <li>UNDP, project staff and project Partners</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<b>Future directions for the Project</b>	<ul style="list-style-type: none"> <li>Which areas/arrangements under the project show the strongest potential for lasting long-term results?</li> <li>What are the key challenges and obstacles to the sustainability of results of project initiatives that must be directly and quickly addressed?</li> <li>How can the experience and good project practices influence the strategies for adaptation to climate change and DRM?</li> <li>Are national decision-making institutions (Parliament, Government etc.) ready to improve their measures to improve adaptation to climate change and DRM?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected throughout evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> </ul>

## **Annex 5: List of Documents Reviewed**

ADB, June 2016, Democratic Republic of Timor-Leste: Fiscal Policy for Improved Service Delivery

Antonio Arenas, Ralf Ernst, Menu of Actions and Measures to Reduce Risk of Climate Change and to Strengthening Community Resilience – Technical Criteria for Eligibility

Christian Bugnion de Moreta, Cynthia Burton, September 10, 2011, Evaluation of the IOM DRR project and DDR sector in Timor-Leste

Council of Ministers, August 26, 2012, Program of the Fifth Constitutional Government – 2012-2017 Legislature

Council of Ministers, Programme of the IV Constitutional Government (2007-2012)

DARDC, Combined Delivery Report (CDR) 2014, 2015, 2016, 2017

DARDC, Designing Gender Responsive DRM Interventions – A Policy Brief

DARDC, DRR/DRM Training Modules (14)

DARDC, GIS and Remote Sensing Component of the DARDC Project

DARDC, MAF, Letter of Agreement between UNDP and MAF on the Implementation of the DARDC Project

DARDC, March 2015, DARDC Inception Report

DARDC, March 2016, Top-Up Grant Mechanism

DARDC, March 2016, Top-Up Grants 2016

DARDC, May 2017, Monthly Reporting

DARDC, May 26, 2017, Minutes of Technical Working Group Meeting

DARDC, MSA, Letter of Agreement between UNDP and MSA on the Implementation of the DARDC Project

DARDC, MSS, Letter of Agreement between UNDP and MSS on the Implementation of the DARDC Project

DARDC, PIR 2016, 2017

DARDC, Project Organigram UNDP-DARDC/DRM-2

DARDC, PSC Meeting Minutes - June 15, 2015

DARDC, PSC Meeting Minutes - August 17, 2016

DARDC, PSC Meeting Minutes - December 19, 2016

DARDC, PSC Meeting July 10, 2017, WB Presentation

DARDC, PSC Meeting July 10, 2017, UNDP Presentation

DARDC, Top-Up Grand Application Form (Manufahi June 29, 2016; Ainaro April 27, 2016, Aileu, Ermera)

DARDC, Various procurement documents: terms of reference, contracts, proposals, etc.

DARDC, Quarter 4<sup>th</sup> Progress Report – October – December 2016

FAO, Timor-Leste and FAO – Partnering to achieve sustainable agriculture development

GEF, DARDC PIF – FSP – LDCF

GEF, DARDC Request for CEO Endorsement – FSP – LDCF

GEF, March 29, 2013, PIF

GEF, UNDP, Project-Level Monitoring – Guidance for Conducting Mid-Term Reviews of UNDP-Supported, GEF-Financed Projects

Gilles Chevalier, UNDP, DRM-2 Project Review Report

GoTL, Integrated District Development Planning – Guide for the Elaboration of District Investment Plans

GoTL, Timor-Leste Strategic Development Plan 2011-2030

GoTL, UNDP, GEF, CBD, 2011, The NBSAP of Timor-Leste (2011-2020)

Jornal da Republica Série I no. 11, March 16, 2016, Decree-Law no. 3-2016

Juan Fernandez, July 20, 2015, Fact Finding Report on Existing EWS in Timor-Leste Based on Stakeholder Consultations and a Stakeholder Workshop

Juan Fernandez, July 31, 2015, Design of a Model EWS and SOPs that can be tested in Four Sub-Districts within the DARDC Region

Karabi Baruah, Capacity Enhancement Strategy for Gender Mainstreaming in DRM and Climate Change Adaptation in Timor-Leste (SSRI-DARDC)

Karabi Baruah, Gender Assessment and Situational Analysis (SSRI-DARDC)

Kenneth Westgate, Olivio Paulo de Deus, June 2012, Functional and Organizational Review of National Directorate of Disaster Management

MED, UNDP, GEF, UNFCCC, December 2010, NAPA on Climate Change

MSS, March 2008, National Disaster Risk Management Policy

NDMD, National Progress Report on the Implementation of the Hyogo Framework for Action (2009-2011) – Interim

Petronilo, P. Munez Jr., GIS and Remote Sensing Component of the DARDC Project – Final Report

Petronilo P. Munez Jr., Output Presentation to Project Stakeholders

RMSI, June 2014, Inception and Project Kick-off Workshop Report

RMSI, WB, May 2015, Natural Hazard Risk Assessment – Synthesis Report

SSRI, April 7, 2014, SSRI Inception Report

UKAID, EU, Belun, The Asia Foundation, June 2013, Tara Bandu: Its Role and Use in Community Conflict Prevention in Timor-Leste

UNDP, 2014, Social and Environmental Screening Procedure

UNDP, 2016, DARDC AWP 2016

UNDP, 2016, DARDC AWP 2017

UNDP, August 2016, DARDC Handover Report

UNDP, CPAP for Timor-Leste 2009-2013

UNDP, DARDC Project Document

UNDP, DARDC Project Fact Sheet

UNDP, DRM-2 – Annual Progress Report 2013

UNDP, GEF, GoTL, DARDC Project – Communication Strategy and Action Plan

UNDP, Revised Budget and Action Plan Inception Phase (11/2014 – 2/2015)

United Nations, GoTL, July 2015, UNDAF 2015-2019 – Supporting Equitable and Sustainable Development in a Rising Young Nation

United Nations, GoTL, UNDAF 2009-2013

United Nations, November 20, 2011, Mission of Ms. Margareta Wahlstrom, Special Representative of Secretary General for Disaster Risk Reduction to the Democratic Republic of Timor-Leste

United Nations, Sendai Framework for Disaster Risk Reduction 2015-2030

USAID, August 1, 2016, Mid-Term Evaluation – The BA Distrito Program

WB, June 19, 2015, Timor-Leste – Country Summary Brief

WB, February 5, 2015, Letter from WB to MSS approving the WB-BCDRP

\_\_\_\_\_, Summary of Dili/Ainaro Road Project

\_\_\_\_\_, Terms of Reference – Liaison Officer

\_\_\_\_\_, Analysis of Budget of Dili to Ainaro Road Development Corridor Project, DARDC (UNDP)

\_\_\_\_\_, Comparison: World Bank vs. UNDP Project

\_\_\_\_\_, February 2014, Building Disaster Resilience in the Communities along the Dili-Ainaro and Linked Road Corridors in Timor-Leste – Project Management Outline

\_\_\_\_\_, August 16, 2011, Options for Disaster Management Institutional Arrangement in Timor-Leste

\_\_\_\_\_, Initial idea on integrating UNDP's and WB's projects along DARD corridor

\_\_\_\_\_, Draft DRM Decree Law (2015)

\_\_\_\_\_, Draft Revised National DRM Policy (2015)

\_\_\_\_\_, Training of Professionals and Farmers on Fuluoka Method

\_\_\_\_\_, Evaluation Report for the Procurement of GIS Training for MAF Staff

\_\_\_\_\_, Capacity Assessment (Financial Management) of MSS

\_\_\_\_\_, Capacity Assessment (Financial Management) of MAFF

\_\_\_\_\_, Capacity Assessment (Financial Management) of Care International in Timor-Leste

\_\_\_\_\_, Rapid Assessment of Raebia – Timor-Leste

## Annex 6: Interview Guide

*Note: This is a guide for the Review Team (a simplified version of the review matrix). Not all questions will be asked to each interviewee; it is a reminder for the interviewers about the type of information required to complete the review exercise and a guide to prepare the semi-structured interviews. Confidentiality will be guaranteed to the interviewees and the findings once “triangulated” will be incorporated in the report.*

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### **I. RELEVANCE** - *How does the project relate to the main objectives of the GEF-LDCF, UNDP and to the adaptation to climate change priorities at the local/sucos, district and national levels in Timor-Leste?*

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- I.1. Is the Project relevant to GEF-LDCF objectives?
- I.2. Is the Project relevant to UNDP objectives?
- I.3. Is the Project relevant to Timor-Leste’s climate change adaptation, DRM and development objectives?
- I.4. Does the Project address the needs of target beneficiaries?
- I.5. Is the Project internally coherent in its design?
- I.6. How is the Project relevant in light of other donors?

#### ***Future directions for similar projects***

- I.7. What lessons have been learnt and what changes could have been made to the project in order to strengthen the alignment between the project and the Partners’ priorities and areas of focus?
- I.8. How could the project better target and address priorities and development challenges of targeted beneficiaries?

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### **II. EFFECTIVENESS** – *To what extent have the expected outcomes and objectives of the project been achieved?*

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- II.1. How is the Project effective in achieving its expected outcomes?
  - Knowledge and understanding of local drivers of climate-induced disasters enhanced, and consequent impacts on economic infrastructure better understood and available to policy makers, planners and technical staff
  - Sub-national DRM institutions able to assess, plan, budget and deliver investments in climate change related disaster prevention, linked to critical economic infrastructure and assets in the Dili to Ainaro development corridor
  - Community driven investments implemented to reduce climate change and disaster induced losses to critical infrastructure assets and the wider economy
- II.2. How is risk and risk mitigation being managed?

#### ***Future directions for similar projects***

- II.3. What lessons have been learnt for the project to achieve its outcomes?
- II.4. What changes could have been made (if any) to the formulation of the project in order to improve the achievement of project’s expected results?
- II.5. How could the project be more effective in achieving its results?

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### **III. EFFICIENCY** - *Was the project implemented efficiently, cost-effectively and in-line with international and national norms and standards?*

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- III.1. Is adaptive management used or needed to ensure efficient resource use?
- III.2. Do the *Project Results Framework* and work plans and any changes made to them used as management tools during implementation?
- III.3. Are accounting and financial systems in place adequate for project management and producing accurate and timely financial information?
- III.4. How adequate is the M&E framework (indicators & targets)?
- III.5. Are progress reports produced accurately, timely and respond to reporting requirements including adaptive management changes?
- III.6. Is project implementation as cost effective as originally proposed (planned vs. actual)?
- III.7. Is the leveraging of funds (co-financing) happening as planned?
- III.8. Are financial resources utilized efficiently? Could financial resources have been used more efficiently?

- III.9. How is RBM used during project implementation?
- III.10. Are there an institutionalized or informal feedback or dissemination mechanism to ensure that findings, lessons learned and recommendations pertaining to project formulation and implementation effectiveness were shared among project stakeholders, UNDP Staff and other relevant organizations for ongoing project adjustment and improvement?
- III.11. Does the project mainstream gender considerations into its implementation?
- III.12. To what extent are partnerships/ linkages between institutions/ organizations encouraged and supported?
- III.13. Which partnerships/linkages are facilitated? Which one can be considered sustainable?
- III.14. What is the level of efficiency of cooperation and collaboration arrangements? (between local actors, UNDP, and relevant government entities)
- III.15. Is an appropriate balance struck between utilization of international expertise as well as local capacity?
- III.16. Did the project take into account local capacity in design and implementation of the project?

***Future directions for the project***

- III.17. What lessons can be learnt from the project on efficiency?
- III.18. How could the project have more efficiently addressed its key priorities (in terms of management structures and procedures, partnerships arrangements, etc., ...)?

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**IV. IMPACTS** - *Are there indications that the project has contributed to adaptation to climate change and DRM in Timor-Leste?*

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- IV.1. Will the project achieve its objective that is critical economic infrastructure for sustained human development are protected from climate-induced natural hazards (flooding, landslides, wind damage) through better policies, and local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor are strengthened?

***Future directions for the project***

- IV.2. How could the project build on its successes and learn from its weaknesses in order to enhance the potential for impact of ongoing and future initiatives?

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**V. SUSTAINABILITY** - *To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?*

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- V.1. Were sustainability issues adequately integrated in project formulation?
- V.2. Does the project adequately address financial and economic sustainability issues?
- V.3. Is there evidence that project partners will continue their activities beyond project support?
- V.4. Are laws, policies and frameworks being addressed through the project, in order to address sustainability of key initiatives and reforms?
- V.5. Is the capacity in place at the national and local levels adequate to ensure sustainability of results achieved to date?
- V.6. Does the project contribute to key building blocks for social and political sustainability?
- V.7. Are project activities and results being replicated elsewhere and/or scaled up?
- V.8. What are the main challenges that may hinder sustainability of efforts?

***Future directions for the project***

- V.9. Which areas/arrangements under the project show the strongest potential for lasting long-term results?
- V.10. What are the key challenges and obstacles to the sustainability of results of project initiatives that must be directly and quickly addressed?

## Annex 7: Review Mission Agenda

### Mission Itinerary DARDC Project Mid-Term Review, July 4-15, 2017

#### Review team

1. Mr. Jean-Joseph Bellamy (International consultant, Team leader)
2. Mr. Anderias Tani (National consultant, team member)

Date	Time	Activity	Name, Organization	Location	Contact
<b>Tue, 04 July</b>	2.15pm --	Arrival in Dili	JJ Bellamy (IC)	Comoro Airport	JJ Bellamy
	3.30pm-4.30pm	Fill out forms, take photo and issue UN ID Card	DARDC Admin Team	MSS Bemori	Admin Team
	4.30-5.30pm	Pre-briefing, incl. finalizing mission Agenda	CTA (plus PMU Team)	MSS Bemori	
<b>Wed, 05 July</b>	9-11am	Official meeting with DARDC Team	DARDC Team	MSS Bemori	Ande 7756-9551 + Admin Team
	11am-12pm	Courtesy meeting with UNDP Resident Representative	Mr. Knut Otsby, UNDP Resident Representative and UN Resident Coordinator in Timor-Leste	Office of the UNRC, Caicoli	Ande + Admin Team
	3-4pm	Meeting/Interview (National Level)	Mr. Agostinho Letêncio de Deus, DG INAP – MSA	INAP Office, Comoro	Ande + Admin Team
<b>Thu, 06 July</b>	9-10am	Meeting/Interview (National Level)	Mr. Rui Gago Exposto, DG for Corporate Services – MSS	MSS Caicoli	Ande + Admin Team
	10.30-11.30am	Meeting/Interview (National Level)	Mr. Manuel Mendes, DG for Forestry and Coffee Plants Industries.	MAF Caicoli	Ande + Admin Team
	12-1pm	Meeting/Interview (National Level)	Mr. Eugenio João A. M. Soares, DG Social Protection and National Liberation Combatants Affairs	MSS Caicoli	JJ and Ande
	2-3pm	Meeting/Interview (National Level)	Mr. Agostinho Cosme, Director, National Disaster Management Directorate, MSS	NDMD Bemori	JJ + Ande
		Meeting/Interview (National Level)	Mr. Terencio Moniz, Director, Meteorology Directorate, MPWTT	MPWTT Mercado Lama	Ande + Admin Team
	9.30-10.30	Meeting/Interview (National Level)	Ms. Delfina Pereira Parada, Program Finance Management Officer, World	WB Office, MSS Bemori	JJ and Ande

Date	Time	Activity	Name, Organization	Location	Contact
<b>Fri, 07 July</b>			Bank		
	11am-12pm	Meeting/Interview (National Level)	Mr. Adão Barbosa, CCCB Focal Point, National University.	CCCB Office at UNTL	Ande + Admin Team
	2-3pm	Meeting/Interview (National Level)	Mr. Michael Lynch, DRR Program Manager, IOM	NDOC Bemori	Ande + Admin Team
	3.30-4.30pm	Meeting/Interview (National Level)	Ms. Bernadete Fonseca, National Project Coordinator, SSRI GEF Project	SSRI Project Office, Cathedral Dili.	
<b>Mon, 10 July</b>	8am – 12pm	Project Board Meeting	Project Board Members, incl. MSS, MSA, MAF, MCIE, UNDP, WB, etc.	Maubara Room, Timor-Plaza	Ande + Admin Team
	1.30 – 3.30pm	<i>Field visits trip</i>			
	3-4pm	Meeting/Interview (Aileu Municipality)	Mr. João Tilman do Rego, Aileu Municipal Administrator	Aileu Municipal Office	Ande + Admin Team
	4.30-5.30pm	Meeting/Interview (Aileu Municipality)	Mr. Gallieni S. S. Da Costa Galhos, MAF Director, Aileu Municipality Mr. Francisco Jose Tilman, MAF Technical Staff	MAF Office, Aileu Municipality	
<b>Tue, 11 July</b>	8am – 10am	<i>Field visits trip/Interview</i>	Mr. Jose Barreto, and group leaders as well as the villagers in Fatuk-hun.	Aldeia Fatuk-hun	Ande + Admin Team
	10am-11.30am	<i>Field visits trip/Interview</i>	Visit to Solerema and talked with 2 Forestry Guards	Aldeia Solerema	Ande + Admin Team
	12 – 1.30pm	<i>Field visits trip/Interview</i>	Visit to Erlolo and talked with 2 Agro-forestry gardeners.	Aldeia Erlolo	Ande + Admin Team
	1.30-2.30pm	<i>Field visit trip/Interview</i>	Mr. Bonefacio Cireneo Ramalho, Director of MAHARU NGO.	MAHARU Office, Maubisse	
	2.30-6pm	<i>Travel to Ainaro Municipality</i>			
<b>Wed, 12 July</b>	8am – 12pm	<i>Field visits trip/Interview</i>	Mr. Bernadinho Magno, Community Group Leader.	Suco Casa, Ainaro	Ande + Admin Team
	1.30 – 5.30pm	Return to Dili??	Field Visit Team	Back to Dili	
<b>Thu, 13 July</b>	9am – 12pm	Meeting with DARDC Project Operation Team	Ms. Domingas Ferreira, Admin/ Finance Associate, UNDP	MSS Bemori	Ande + Admin Team
	1.30-3pm	Consultation meeting	Mr. Shyam K. Paudel, CTA, UNDP	MSS Bemori	
	5-6pm	Consultation meeting	Mr. Jose M.C. Belo, Head of Resilience Building Unit, UNDP	Hotel Timor	Ande + Admin Team
<b>Fri, 14 July</b>	8am-12pm	Prepare MTR De-briefing	JJ + Ande	MSS Bemori	JJ + Ande

Date	Time	Activity	Name, Organization	Location	Contact
		Presentation			
	3-4.30pm	Final meeting with DARDC Project Team ( <i>and Presentation of Findings, and/or DRAFT MTR Final Report</i> )	JJ + Ande	UN Conference Room D.	JJ + Ande
<b>Sat, 15 July</b>	12.30	Living Dili Airport	JJ	Comoro Airport	JJ Bellamy

## Annex 8: List of People Interviewed

Name	Organization
<b>National Level</b>	
Mr. Adão Barbosa	CCB Focal Point, National University
Mr. Agostinho Cosme	Director, National Disaster Management Directorate, MSS and DARDC National Project Director (NPD)
Mr. Agostinho Letêncio de Deus	DG INAP
Mr. Alipio Amaral Fernandes	Coordinator for Natural Disaster and Social Protection Affairs, MSS
Ms. Ana Maria de Carvalho	National Project Coordinator, DARDC Project
Ms. Bernadete da Fonseca	National Project Coordinator, SSRI Project (GEF)
Ms. Carolina Carlos	Consultant, World Bank
Ms. Delfina Pereira Parada	Program Finance Management Officer, World Bank
Ms. Domingas Ferreira	Finance and Administrative Officer, DARDC Project
Mr. Edwin Yunus	DARDC Project Consultant (GIS)
Mr. Eugenio João A. M. Soares	DG Social Protection and National Liberation Combatants Affairs, MSS
Ms. Flaviana Fernandes Pinto	Head of Department, Meteorology Directorate, MPWTC
Mr. Gil da Costa Naldo Rei	Head of Sustainable Development Unit, UNDP
Mr. Jose M. Cabral Belo	Head of Resilience Building Unit, UNDP
Ms. Ketí Chachibaia ( <i>skype interview</i> )	Ex. Regional Technical Advisor (RTA), UNDP Istanbul
Mr. Knut Ostby	UNDP Resident Representative in Timor-Leste
Mr. Manuel Mendes	DG for Forestry and Coffee Plants Industries, MAF
Ms. Maria Nelinha Campos Cabral	Secretary for DG Social Protection Directorate, MSS
Ms. Mariana Simoes ( <i>skype interview</i> )	Regional Technical Advisor (RTA), UNDP Bangkok
Mr. Michael Lynch	Disaster Risk Reduction Program Manager, IOM
Mr. Rui Gago Exposto	DG Corporate Services, MSS
Mr. Shyam K. Paudel	Chief Technical Advisor, DARDC Project
Mr. Terencio Moniz	Director, Meteorology Directorate, MPWTC
PSC Members	Including H.E. Ms. Isabel Amaral Guterres, Minister of Social Solidarity, Representatives from MSA, MAF, MCIE, WB, UNDP, MPWTC, Plan International, etc.
<b>Aileu Municipality</b>	
Mr. Bonefacio C. Ramalho and staff	Director of NGO MAHARU
Mr. Francisco Jose Tilman	MAF Technical Staff, Aileu Municipal
Mr. Gallieni S. S. Da Costa Galhos	MAF Director, Aileu Municipal.
Mr. João Tilman do Rego	Aileu Municipal Administrator

Name	Organization
Mr. Jose Barreto, and Group Leaders and Villagers	Fatuk-Hun Aldeia Chief (OIC)
<b>Sites visited in the municipality:</b>	<ul style="list-style-type: none"> <li>• Aldeia Solerema, Suco Madabeno</li> <li>• Aldeia Fatuk-hun, Suco Talitu</li> <li>• Aldeia Erlolo, Suco Lahae</li> </ul>
<b>Ainaro Municipality</b>	
Mr. Bernadinho Magno	Community Group Leader in Casa
<b>Sites visited in the municipality:</b>	<ul style="list-style-type: none"> <li>• Suco Casa, Ainaro.</li> </ul>

*Met 30 people (10 women and 20 men) plus villagers at 4 site visits*

## Annex 9: MTR Rating Scales

As per UNDP-GEF guidance, the MTR Team used the following scales to rate the project:

- A 6-point scale to rate the project's progress towards the objective and each project outcome as well as the Project Implementation and Adaptive Management: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), or Highly Unsatisfactory (HU).
- A 4-point scale to rate the sustainability of project achievements: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), and Unlikely (U).

<b>Ratings for Progress Towards Results: (one rating for each outcome and for the objective)</b>		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as "good practice".
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

<b>Ratings for Project Implementation &amp; Adaptive Management: (one overall rating)</b>		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as "good practice".
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

<b>Ratings for Sustainability: (one overall rating)</b>		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

## **Annex 10: GEF Tracking Tool**

The GEF Tracking Tool is presented in a separate file.

## **Annex 11: Audit Trail**

The audit trail is presented in a separate file.

## Annex 12: Evaluation Report Clearance Form

### EVALUATION REPORT CLEARANCE FORM

for the Mid-Term Evaluation Report of the UNDP-GEF-LDCF-Government of Timor-Leste Project:  
*“Strengthening Community Resilience to Climate-induced disasters in the Dili to Ainaro Road  
Development Corridor, Timor-Leste (DARDC)”*  
(PIMS 5108)

*Evaluation Report Reviewed and Cleared by*

#### ***UNDP Country Office***

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

#### ***UNDP RTA***

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_