



# Adaptation to Climate Change in the Coastal Zone of Vanuatu

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## Mid-Term Review

Project Number: 00091141

UNDP PIMS ID 4866

GEF ID 5049

## - FINAL REPORT -

Prepared by Antonio Arenas  
International Consultant  
[antarenas@me.com](mailto:antarenas@me.com)

## I. Basic Report Information

Table 1. Project Title: Adaptation to Climate Change in the Coastal Zone of Vanuatu			
Atlas Award ID:	00082063	<b>MTR TIME FRAME</b>	
Project ID:	00091141	<b>May 01, 2018</b>	<b>Start Mid-term Review</b>
PIMS #	4866	<b>May 08, 2018</b>	<b>Inception Report submitted</b>
Programme Period:	November 2014 to November 2019	<b>July 05 to 18, 2018</b>	<b>Start Field Mission</b>
Management Arrangements:	NIM	<b>August 29, 2018</b>	<b>Draft Report Submission</b>
<b>Pacific Region, Country: Vanuatu</b>		<b>Dec. 20, 2018.</b>	<b>Final Report Submission</b>
Applicable GEF Strategic Objective and Program:	<ul style="list-style-type: none"> <li>CCA-1: "Reduce vulnerability to the adverse impacts of climate change, including variability at local, national, regional and global level"</li> <li>CCA-2: "Increase adaptive capacity to respond to the impacts of climate change including variability, at local, national, regional and global level"</li> </ul>		
Applicable GEF Expected Outcomes:	<ul style="list-style-type: none"> <li>Outcome 1.1: Mainstreamed adaptation into broader development frameworks at country level and in targeted vulnerable areas</li> <li>Outcome 1.3: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas</li> <li>Outcome 2.1: Increased knowledge and understanding of climate variability and change-induced risks at country level and in targeted vulnerable areas</li> </ul>		
Applicable GEF Outcome Indicators:	<ul style="list-style-type: none"> <li>Outcome Indicator 1.1.1: Adaptation actions implemented in national/sub-regional development frameworks (no. and type)</li> <li>Outcome Indicator 1.3.1: Households and communities have more secure access to livelihood assets (Score) – Disaggregated by gender and age</li> <li>Outcome Indicator 2.1.1: Relevant risk information disseminated to stakeholders (Yes/No)</li> </ul>		
Implementing Partner/Responsible Partner:	Ministry of Climate Change Adaptation, Meteorology, Geo-hazards, Environment, Energy and Disaster Management.		
Responsible Parties:	Ministry of Agriculture, Fisheries, Forestry, Livestock and Biosecurity, Department of Local Authorities (DLA) of the Ministry of Internal Affairs, Public Works Department of the Ministry of Infrastructure and Public Utilities and the Ministry of Finance and Economic Management.		
MTR team member	Antonio Arenas Romero		
Acknowledgements	<p>Loraini Sivo, Programme Analyst UNDP Pacific Office in Fiji.  Jackson Tambe, Project Manager.  Matthew Hardwick, VCAP Technical Specialist.  Component Coordinators: Mr. Raysen Vire, Mr Noel Jacob, Ms Elena Silas, Mr Pakoa Leo and Mr Samuel Tapo.  VCAP Site Coordinators from EPI, Torres and Aniwa  Village Development Committee from Epi, Aniwa and Torres.  Observers from Automatic Weather Station.</p>		

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### III. Acronyms and Abbreviations

AWS	Automatic Weather Stations
CCA	Climate change adaptation
CDC	Community Disaster Committee
DEPC	Department of Environmental Protection and Conservation
DLA	Department of Local Authorities
NDMO	National Disaster Management Office
VFD	Vanuatu Fisheries Department
DARD	Department of Agriculture and Rural Development
EIA	Environmental Impact Assessment
EWS	Early Warning System
FAD	Fish Aggregating Device
GEF	Global Environment Facility
GoV	Government of Vanuatu
IA	Implementing Agency
ICZM	Integrated Coastal Zone Management
IPCC	Inter-governmental Panel on Climate Change
IRCCNH	Increasing Resilience to Climate Change and Natural Hazards
IWRM	Integrated Water Resource Management
JICA	Japan International Cooperation Agency
LMMA (Locally)	Marine Managed Area
M&E	Monitoring & Evaluation
MAGFF	Ministry of Agriculture, Quarantine, Forestry and Fisheries
MCCAMGEEDM	Ministry for Climate Change Adaptation, Meteorology, Geo-hazards, Environment, Energy and Disaster Management
MESCAL	Mangrove Ecosystems for Climate Change Adaptation and Livelihoods Project
MFEM	Ministry of Finance and Economic Management
MIPU	Ministry of Infrastructure and Public Utilities
MMA	Marine Managed Area
MPA	Marine Protected Area
MIPU	Ministry of Works Communications and Transport Infrastructure & Public Utilities
NAB	National Advisory Board on Climate Change and Disaster Risk Reduction
NAPA	National Adaptation Program of Action
NBSAP	National Biodiversity Strategy and Action Plan
NCCAS	National Climate Change Adaptation Strategy
NDMP	National Disaster Management Plan
NGOs	Non-Governmental Organizations
NICZMF	National Integrated Coastal Zone Management Framework
PIR	Project Implementation Review
PIU	Project Implementation Unit proposed for V-CAP
PMU	Project Management Unit of the MCCAMGEDM
RBM	Result-based Management
PWD	Public Works Department (Ministry of Public Works and Infrastructure)
R2R	Ridge to Reef
SFM	Sustainable Forest Management
SLM	Sustainable Land Management
UNDAF	United Nations Development Assistance Framework
UNDP	United National Development Program
VANGO	Vanuatu Association of NGOs
V-CAN	Vanuatu Climate Adaptation Network
V-CAP	Adaptation to Climate Change in the Coastal Zone in Vanuatu (Vanuatu- Coastal Adaptation Project)
VDC	Village Development Committee
VMGD	Vanuatu Meteorological and Geo-hazards Department VTSSP Vanuatu Transport Sector Support Program

## 1. Executive Summary

Table 2: Project Information					
Project Title: Adaptation to Climate Change in the Coastal Zone of Vanuatu					
UNDAF Outcomes.	Outcome 1.1: Improved resilience of Pacific Island Countries and Territories (PICTs), with particular focus on communities, through integrated implementation of sustainable environmental management, climate change adaptation/mitigation, and disaster risk management.				
UNDP Environment and Sustainable Development Primary Corporate Outcome:	Growth is inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded (Strategic Plan 2014-2017, Outcome 1)				
UNDP Secondary Corporate Outcome:	Countries are able to reduce the likelihood of conflict and lower the risk of natural disasters, including from climate change (Strategic Plan 2014-2017, Outcome 5)				
Expected Country Program Outcomes:	<ul style="list-style-type: none"> <li>Sub-Regional Program Outcome 4 (UNDAF Outcome 1.1): Improved resilience of PICTs, with particular focus on communities, through integrated implementation of sustainable environment management, climate change adaptation/mitigation and disaster risk management.</li> <li>Sub-Regional Program Outcome 2 (UNDAF Outcome 5.1): Regional, national, local and traditional governance systems are strengthened, respecting and upholding human rights, especially women's rights in line with international standards.</li> </ul>				
Primary applicable Key Environment and Sustainable Development Key Result Area.	Growth is inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded (Outcome 1). Scaled up action on climate change adaptation and mitigation across sectors, funded and implemented (Output).				
Project objective	To improve the resilience of the coastal zone to the impacts of climate change in order to sustain livelihoods, food production and to preserve and improve the quality of life in targeted vulnerable areas				
Project Outcomes	<p>Component 1: Integrated community approaches to climate change adaptation</p> <ul style="list-style-type: none"> <li>Outcome 1.1. Integrated CC-Adaptation plans mainstreamed in the coastal zone</li> <li>Outcome 1.2. Improved climate resilience of coastal areas through integrated approaches</li> </ul> <p>Component 2: Information and early warning systems on coastal hazards</p> <ul style="list-style-type: none"> <li>Outcome 2.1. Reduced exposure to flood-related risks and hazards in the target coastal communities.</li> </ul> <p>Component 3. Climate Change Governance</p> <ul style="list-style-type: none"> <li>Outcome 3.1 Climate change adaptation enabling policies and supportive institutions in place</li> <li>Outcome 3.2 Human resources in place at national, provincial and community levels</li> </ul> <p>Component 4. Knowledge Management</p> <ul style="list-style-type: none"> <li>Outcome 4.1. Increased awareness and ownership of climate risk reduction processes at national and local levels.</li> </ul>				
Total Resources required	Total Resources allocated	LDCF (GEF)	Co-Financing:		
\$38,927,253	\$38,927,253	\$8030,000	Government \$21,170,341	UNDP 2,731,344	Others 6,995,568

## Project Overview

From the Approved Project Document, the MTR mission understands that the project was designed to address a set of constraints related to social, institutional and ecosystem capabilities; facilitating development-based climate change adaptation strategies at village level, improving the integrated coastal management, applying the ecosystem-based adaptation approach, and working to make public conveyances climate proof.

In addition, the VCAP work is to strengthen the capacity to deliver timely climate related information to all communities in Vanuatu while also improving the quality accuracy and timeliness of weather forecasting, particularly to set up Community Disaster Committees and early warning systems. It is important to note that VACP is promoting sectoral policy, plans and strategies that explicitly recognize approaches to climate change adaptation. The corresponding personnel receive training on these approaches being endowed with resources to implement measures of adaptation and disaster risk reduction at national, provincial and community levels.

VCAP interventions related to ecosystem-based adaptation and public conveyances climate proofing follows the gender and social inclusion approach because of the concern about food security, fresh water availability and access to health, education and market facilities. In addition, VCAP has acknowledged that women also face socio-cultural and political disadvantages because of their limited access to economic assets and decision-making, posing important obstacles to climate change adaptation. During the project cycle, VCAP recognizes the importance of women getting widely involved in planning, implementing, monitoring and reporting processes.

Related to these selected local sites, VCAP proposes to intervene in 32 communities (62 villages) distributed along 18 islands exposed to flooding, coastal erosion and sea level rise. In these sites, actions are related to awareness and capacity building, planning and CCA management, taking into account specific measures for road protection through hard and soft measures, road re-alignment and road elevation raising; improvement of river crossings, re-vegetation of coastal zone, coastal stabilization and protective sea wall construction.

The project has declared that its deliveries will comply with all responsibility levels, recognizing and building on traditional knowledge and on models developed by various development agencies, and by promoting “soft infrastructure” solutions as well.

## Project Progress Summary

A definition of "taboo areas" is to protect natural resources both on land and at sea, together with agriculture diversification (by introducing new species and sustainable productive practices. Furthermore, innovative productive practices in fishery have contributed to improving the resilience of the coastal zone. Investment in roads rehabilitation, bridges, crosswalks and government facilities, and investment in water supply systems (including harvesting rain water) have provided important support for sustainable livelihoods, food production and in improving the quality of life.

On the other hand, achievements like weather forecasting improvement and public advisory protocols are establishing a strong base to support early warning and response processes at all levels. In addition, progress related to ecosystem-based adaptation, sustainable agriculture and more resilient public roads have an important impact on food security, fresh water availability and access to health, education and market facilities; these achievements are clearly related to gender and social inclusion demands identified in the Project design.

Table 3: MTR Ratings & Achievement Summary Table for VCAP		
Measure	MTR Rating	Achievement Description
Project Strategy	N/A	The mayor achievements at strategic level, has been: (i) the changes achieved in agriculture diversification; (ii) the wide availability of climate predictions, weather forecasting and public advisory to support EWS; (III) the investment in roads and their rehabilitation and new pedestrian bridges and the climate proofing of government facilities; and (iv) the investment in water supply systems and catchment systems for harvesting rain water.
Progress Towards Results	<b>Objective Achievement Rating: 3.</b>  Moderately Unsatisfactory (MU). Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptation, with most components requiring remedial action.	Sectorial prioritized activities based on VCAP's programmed interventions for 30 villages in 8 local area councils, involving agriculture, fishery, water supply, roads and pedestrian ways, government facilities and conservation areas at sea and on land. 24/7 climate and weather forecasting, including public advisory service to support EWS.

	<p><b>Outcome 1</b></p> <p><b>Achievement Rating: 4.</b> 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.</p>	<ul style="list-style-type: none"> <li>- 5 Community CC-Development Adaptation Strategies (C3ADS) have rolled out and have been endorsed by communities (other 43 are in drafts).</li> <li>- Disaster plans- not yet developed (currently in talks with Red Cross Society to assist with implementation) in 8 Area Councils &amp; 1 District and 30 CDC's to be established and trained (VDC baseline included 12 CDC's already setup prior to VCAP).</li> <li>- 9 "Taboo Areas" and 6 detailed marine ecosystem health baselines established.</li> <li>- CICZM Plans – baseline information from Fisheries, Environment, Agriculture, PWD, and other stakeholders in CICZM planning, compiled.</li> <li>- 49 Upland Management Climate Change Adaptation Plans have been developed.</li> <li>- Around 30 – 40 hotspots identified, with 7 hotspots carrying out interventions with vegetal repopulation and reforestation.</li> <li>- 8 nursery plots established with hybrid resilience crops and agroforestry demonstration plot.</li> <li>- Set up of 5-water pump for 931 persons and rain water-harvesting facilities for 5,647 persons.</li> <li>- Setting up of 8 demonstration poultry and piggery plots.</li> <li>- Climate proofing of 2 pedestrian bridges, 5 water systems rehabilitated, 4.6 km. of road rehabilitation 1 pedestrian climate proofed walking path has been completed. 5,988 community members are now enjoying better access to markets, education and health services after the rehabilitation of the road works. (9 pedestrian bridges, 8 water crossings, 23 km of road rehabilitation and 4 pedestrian climate proofed walking paths are still in work).</li> </ul>
	<p><b>Outcome 2</b></p> <p><b>Achievement Rating: 5.</b> 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.</p>	<ul style="list-style-type: none"> <li>- 6 Automatic Weather Station installed.</li> <li>- 100% of communities with mobile phone network coverage, social media and FM radio reception receive timely and accurate warnings for coastal hazards including floods, cyclones and other natural hazards.</li> <li>- Integrated Weather Forecasting System (IWFS) at the Vanuatu Meteorology and Geo-Hazard department (VMGD) has been upgraded.</li> </ul>
	<p><b>Outcome 3</b></p> <p><b>Achievement Rating: 3.</b> Moderately Unsatisfactory (MU). Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptation, with most components requiring remedial action</p>	<ul style="list-style-type: none"> <li>- Reviewed legislation and national/sector policy with impacts on climate change adaptation. <ul style="list-style-type: none"> <li>• Livestock Act</li> <li>• Fruits and Vegetables Strategy</li> <li>• Reforestation Strategy</li> <li>• National Fisheries Policy</li> <li>• Decentralization Act</li> </ul> </li> <li>- National CC Policy finalised and launched in 2016 incorporating gender inclusion and social considerations.</li> <li>- Approximately 30 staff members have been trained to implement planning and mainstreaming climate change approaches in local level planning processes. Training sessions have focused on multi-sector community planning &amp; vulnerability assessments processes.</li> <li>- Capacity building for key national and provincial government agencies conducted at provincial level.</li> <li>- Communities have been empowered to deal with climate change impacts in the coastal zone by means of regular monitoring – application of training methods and practices scaled out by community members and training / awareness of school-age children to ensure the sustainability of practices.</li> </ul>



	<b>Outcome 4</b>  <b>Achievement Rating: 4.</b> 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	<ul style="list-style-type: none"> <li>– Actions organized to increase private sector awareness: Music festival outreach – Fest’Napan – in 2016. Music video sponsorship for climate resilience in 2016. National Agriculture festival – 2018 (private sector involved as well).</li> <li>– 3 schools at site have been involved in climate awareness and capacity building actions (VMGD staff made power point presentation and a video show about climate, disaster preparedness, during disasters and post-disaster). Students participate in planting “vetiver” grass along the coastline and set up a small livestock demonstration at school.</li> <li>– A draft set of tools has been developed, for resource management and CCA, to increase awareness of CC and resource management and to encourage planning / and actions in at least 10 sites (21 targeted).</li> <li>– In order to strengthen and implement traditional conservation practices to enhance R2R resilience to CC in 10 sites, VCAP has formalized the process of registration including a management plan, technical and best practices advice, and provides technical advice on best location for conservation.</li> </ul>
Project Implementation & Adaptive Management	<b>4</b> 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	The MTR confirms that responsibilities, reporting lines, and the decision-making process were transparent and clear. UNDP support was key in pushing the project set up despite the impact of Cyclone Pam in 2015. In two and a half years of operations VCAP has had an important positive effect on support livelihoods and quality of life in targeted vulnerable areas
Sustainability	<b>2</b> Moderately Unlikely (MU). Significant risk that key outcomes will not continue on after project closure, although some outputs and activities should continue.	<p>MTR has not observed substantial facts and/or actions for the VCAP’s sustainability and in this regard, an exit strategy has not been identified yet to ensure the sustainability of the project’s benefits. The VCAP has a significant risk of key outcomes not continuing after project closure, although some outputs and activities related to agriculture and water supply will continue.</p> <p>MTR did not observe substantial facts and/or actions for the sustainability of the VCAP’s benefits that have been clearly identified, planned and executed. VCAP does not have an exit strategy. There are some signs of possible benefits continuing, especially in the agriculture sector and in water security activities, but it’s not clear to the extent to which they are moving in favour of their sustainability yet. Moderately Unlikely (MU). Significant risk that key outcomes will not continue after project closure, although some outputs and activities should continue.</p>

Note. **Ratings for Project Implementation & Adaptive Management:** (one overall rating)

- #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.

**Ratings for Sustainability:**

- #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 continue after project closure, although some outputs and activities should continue
- #1 Unlikely (U). Severe risks that project outcomes as well as key outputs will not be sustained

## Concise summary of conclusions

The project was conceived with a very high sense of responsibility with respect to the development challenges facing the people of Vanuatu, incorporating lessons from other projects, while providing a core contribution to national priorities (NAPA) and Vanuatu's international commitments. The project experience in local sites through the support of "taboo areas", practice of sustainable agriculture and fishery, improvement of public conveyances, and enhancement of water supply are very important providing a chance to mobilize impacts related to gender and social inclusion, through the creation of material conditions and facilities to increase food security, natural resources availability and improving the access to health, education and markets facilities. In the same way, the project has increased capacities to enhance weather and climate forecast and to provide public advice related to early warning to Vanuatu population.

On the other hand, the project has faced some difficulties such as: significant delays in its implementation (some as a result of the impact of cyclone PAM in March 2015 that resulted in a 10-month delay); the lack of an International Senior Technical Advisor and the absence of experienced Climate Change specialists; a project design error related to the incorrect way to conceive and describe problems that project sought to address (assuming in their description a pre-conceived solution beforehand), which have driven to define "outcomes" as provide something that "lack..."<sup>1</sup>.

In the remaining time left for the project to conclude, some of the challenges the project will face are:

- A. Overcoming the technocratic conception of planning
- B. Pay more attention to community participation in sustainable development (not making it a mere consultation about what they need).

To address these challenges, it is necessary to:

- Firstly, by clarifying what is the tangible Climate Change impact on communities for 2030 (e.g.) and how VCAP's investment is appropriate to deal with the risk of climate change by 2030 given socioeconomic, population growth and environment trends. (This is a must condition to be met for the strategic planning of climate change adaptation).
- Second, defining long-term results related to Local Sustainable Development-based Risk Reduction and Climate Change Adaptation.

On the other hand, the actions to incorporate resilience and adaptation to sectorial and cross-sectorial policy and legislation are something where VCAP is making inroads but should be fed with local experiences systematized by VCAP.

## Recommendations Summary Table

REC. #	Table 4. Recommendations	Entity responsible
Recommendations from 1 to 10	Taking in account the RBM criteria and considering the progress observed, the difficulties, challenges and the achievements, as well as the financial availability and the time remaining to close the project, MTR has considered an adjustment of indicators but especially in the "targets at end of project". At project objective level, the proposed adjustments are reflecting better those positive climate change adaptation effects that are expected from VCAP	PIU

<sup>1</sup> For more details, see findings from F.1 to F6, in section 4.

	<p>contributions to baseline sustainable development at local and community level. Important to note that these modifications are not downgraded from the original "Targets end of Project". Specifically:</p> <ul style="list-style-type: none"> <li>• Conduct VCAP implementation at community level in the framework of the recently approved Vanuatu Climate Change and Disaster Risk Reduction Policy 2016-2030;</li> <li>• Conduct VCAP's intervention aiming at a more comprehensive and strategic viewpoint of planning at local/community level;</li> <li>• Place the project on Result-based Management path Detailing of the gender approach and promotion of a specific budget for women empowerment; Increase of the total No. of hectares of new Taboo Areas (on land and sea), framed into C3ADS Definition of specific tasks for CDCs responsible for monitoring and caring for the new Taboo Areas.</li> </ul>	
R11	M&E tools need to be improved by defining suitable protocols and procedures to make them more participatory and inclusive.	
R12	Elaboration of a simple systematization tool to apply in a participative manner with stakeholders, following the corresponding concept and methodology of systematization and related to the participatory M&E process.	
R13	Link the VCAP M&E system to the national oversight system or government M&E system	
R15	Each C3ADS can be a real strategic tool needed to define a future community development target image. In short, the community's target-image is the Local version of the Vanuatu Climate Change and Disaster Risk Reduction Policy 2016-2030. In this sense, C3ADS will be more strategic and focused on community development targets.	
R16 & R17	Definition of the development target image is quite relevant to make an assessment of livelihoods sustainability and vulnerability with respect to natural and environmental hazards that can disturb or block the achievement of the target image. To do this, it is mandatory to have defined the future Climate Change impact scenarios for 2030 (as a minimum), which need to be established at local level by downscaling climate data from regional level. Otherwise, there are no specific references about why and for what define and execute measures and action framed on C3ADS.	<b>PIU</b>
R18	After target-image and related risk assessment have been analyzed and defined, in the context of defined climate change local scenario (e.g. 2030), the next step is to define the Strategic Result Framework to achieve e.g. an "3CADS Target-Image" thus endowing a strategic sense to existing 3CADS drafts.	
R19	VCAP needs to urgently prepare an exit strategy, which should have been done during the start of the project and no later than December 2018.	
R20	Co-financial information need to be reported in the PIRs and at least be considered in audit reports made by VCAP as a part of project financial implementation	

## 2. Introduction

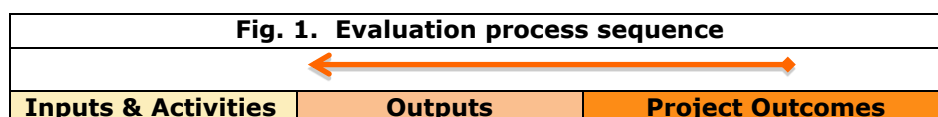
### 2.1. Purpose of the MTR and objectives

The Mid-Term Review has analysed the project progress made toward the achievement of outcomes as specified in the Project Document, and has identified various project successes, difficulties, benefits and challenges related to expected project outcomes. The review has also identified actions necessary to ensure that the project is on the road to completion and to ensure the sustainability of benefits.

Furthermore, the review has focused on analysing the effectiveness, efficiency and timeliness of the project's implementation, highlighting lessons learned about project design, implementation and management, as well as those issues that require immediate answers and actions. The findings of this review have been included as recommendations to enhance implementation during the remaining period of the project .

### 2.2. Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, and limitations to the MTR.

The result-based evaluation has used each project outcome as its starting point (fig. 1) to determine: (i) to what extent outcomes are being achieved in relation to the strategy and the factors affecting its progress, (ii) the contributions needed to achieve outcomes with respect to the implementation process and adaptive management, and (iii) the partnership strategy related to sustainability. In each point the success factors, difficulties, challenges, benefits and sustainability are systematized.



Based on the review of documents, meetings, workshops and interviews made, the MTR has collected and analysed qualitative and quantitative information, using standard evaluation criteria, to evaluate a number of selected variables that have driven or influenced the outcomes, such as project activities and "soft" assistance within and outside of project, as well as the activities of other actors related to Development.

The MTR includes four categories of analysis: the status of the outcome related to Project Strategy; factors affecting the outcome related with the progress toward results; project's contributions to the outcome, related to project implementation and adaptive management; project's partnership strategy related to sustainability.

This analysis has included everything done within the project's realm and how the context may influence the efforts made towards achieve the outcomes, taking in account the multiple levels of perceptions and the different viewpoints of all key project's stakeholder. It is important to note that the MTR also reviewed the project's strategy and the risks to its sustainability, through an evaluation question matrix (Annex 6.2). In this regard, special attention has been placed on Human Rights and Gender Equity, as defined by the UNEG guidance "Integrating Human Rights and Gender Equality in Evaluation" (United Nations Evaluation Group, 2014).

#### Key evaluation criteria:

- **Ascertaining the status of the outcome.** Given that the MTR evaluations derive their "power" from using the outcome as the point of departure, the analysis has included everything done within the project's realm and beyond it, which is perceived as a factor in achieving expected outcomes.

- **Examining the factors affecting the outcome.** A thorough understanding of the factors that influence the process to bridge the gap between “what is needed” (problems that project sought to address) and “what can be done” (the expected outcome).
- **Contributions to outcome.** The contributions to achieve the project outcomes take the form of outputs developed as part of a full range of actions and co-financing on the part of stakeholders acting within the Project’s framework. In this regard, the unit of analysis that influences the outcomes is the overall Project Strategy, which comprises the entire range of actions for partnership, project advice and dialogue, brokerage and advocacy efforts.
- **Assessing partnerships at outcome level.** A complex range of factors influence outcomes. Making change happen (achieving the outcome) invariably requires the concerted action of several stakeholders. The purpose of the review of partnerships is not to assess activities or performance of partners; rather, it is to assess the design of partnership strategy and its implementation.

### Data collection methodology

The MTR has conducted a “first cut” analysis from Project Information Package (annex 6.6), in order to prepare the inception report. In addition, MTR mission has made a “second cut” analysis immediately before and during country visit, refining some of the preliminary findings to obtain additional information from a specific area of analysis.

The qualitative data has been collected through several interviews and meetings with Project Team, government counterparts, the UNDP Pacific Office in Fiji, executing agencies, senior officials and task team/component leaders, Project Board, local governments and other key stakeholders.

### 2.3. Structure of the MTR report

This MTR report includes the following sections:

- **Project description and background section.** It includes a description of the national development context (including a description of significant socio-economic and environmental contexts from the time the project started, the policy factors relevant to the project outcomes and any other major external contributing factors identified); in this regard, this section include a summary of the problems the project sought to address and finally, it describes the project strategy and implementation arrangements, the timing and the key stakeholders involved.
- **Findings.** This section analyses the input obtained from the MTR evaluative matrix and the findings are presented on the following four key areas: Project Strategy; Progress towards Results; Project Implementation and Adaptive Management; Sustainability.
- **Conclusion and recommendations:** This section describes, in a comprehensive and balanced manner, the factors of success, strengths, weaknesses, difficulties and the achievements accomplished by the project up to the Mid-Term Review period. The conclusions respond to the questions defined on the Terms of Reference and has provide suggestion to solve important problems or issues pertinent to project stakeholders, including UNDP and GEF.

Together with the findings and conclusions, this MTR report provides practical and feasible recommendations, for project management and relevant stakeholders, about actions and decisions to be made in the short term, in order to implement the recommended corrective actions, reinforce initial benefits from the project and to show future directions underlining the expected outcomes and the mitigation of risks to sustainability.

### 3. Project Description and Background Context

#### 3.1. Development context: environmental, socio-economic, institutional, and policy factors relevant to the project's objective and scope.

With a land area of 12,189 sq km, Vanuatu includes more than 80 islands about 65 of which are inhabited. Most of these islands are mountainous of volcanic origin (highest point is Tabwemasana with 1,877 m), with narrow coastal plains and several active volcanoes on land and underwater as well. Volcanism, in addition to the related hazards, also causes minor earthquakes and tsunamis. The climate is tropical moderated by southeast trade winds from May to October, showing moderate rainfall from November to April. The islands may be affected by cyclones from December to April.

Three-quarters of the population live in rural areas; the urban populace lives primarily in two cities: Port-Vila and Loganville. Three of the largest islands - Espiritu Santo, Malakula, and Efate - accommodate over half of the populace. 55% of population is less than 24 years old. The main natural resources are hardwood forests and fish.

Table 5. Main social indicators	
<p><b>Population distribution by sex and edge</b></p> <p>Male Vanuatu - 2016 Female</p> <p>Population (in thousands) Age Group Population (in thousands)</p>	<p>Urban population: 25.3%</p> <p>Life expectancy at birth: 73.7 years.</p>
	<p><b>Drinking water source improved:</b></p> <ul style="list-style-type: none"> <li>Urban: 98.9% of population</li> <li>Rural: 92.9% of population</li> <li>Total: 94.5% of population</li> </ul> <p><b>Drinking water source unimproved:</b></p> <ul style="list-style-type: none"> <li>Urban: 1.1% of population</li> <li>Rural: 7.1% of population</li> <li>Total: 5.5% of population</li> </ul>
	<p><b>Sanitation facility access improved:</b></p> <ul style="list-style-type: none"> <li>Urban: 65.1% of population</li> <li>Rural: 55.4% of population</li> <li>Total: 57.9% of population</li> </ul> <p><b>Sanitation facility access unimproved:</b></p> <ul style="list-style-type: none"> <li>Urban: 34.9% of population</li> <li>Rural: 44.6% of population</li> <li>Total: 42.1% of population</li> </ul>
	<p><b>Telecommunications.</b> Fixed lines: total subscriptions: 4,555 (subscriptions per 100 inhabitants: 2). Mobile cellular: total: 218,603 (subscriptions per 100 inhabitants: 7). Telecommunications services have progressed significantly in recent years; mobile phones are now the primary means of communication and a mobile network covers more than 90% of population. Domestic: 2016 saw the launch of LTE services by Digicel and the introduction of rural satellite broadband services by Kacific; mobile phone use in some rural areas is constrained by electricity shortages.</p>
	<p><b>Literacy</b> (people 15 and over able to read and write)</p> <ul style="list-style-type: none"> <li>Total population: 85.2%</li> <li>Male: 86.6%</li> <li>Female: 83.8%</li> </ul> <p><b>Electricity access:</b></p> <ul style="list-style-type: none"> <li>Population without electricity: 202,614</li> <li>Electrification - total population: 27%</li> <li>Electrification - urban areas: 55%</li> <li>Electrification - rural areas: 18%</li> </ul>

The Vanuatu economy is based primarily on small-scale agriculture, which provides living for about two thirds of the population. Fishing, offshore financial services and tourism, with more than 330,000 visitors in 2017, are other mainstays of the economy. A small light industry sector caters to the local market. Tax revenues come mainly from import duties. Economic development is hindered by dependence on relatively few commodity exports, vulnerability to natural hazards, and long distances from main markets and between constituent islands. Since 2002, the government has stepped up efforts to boost tourism through improved air connections, resort development and cruise ship facilities. Agriculture, especially livestock farming, is a second growth target.

Factors like population growth, but mainly consumption patterns, land-use change or its conflicts, unbalanced, ecosystem degradation and the weaknesses of governance system, are

considered driven factors of vulnerability in the context of climate change impacts. Particularly in Vanuatu, natural resources degradation due to human activities and climate change impact on ecosystems, affecting both high and lowlands including coastal and marine areas, with concerned degrees of erosion, eutrophication, pollution and sedimentation, which definitely cause losses in the ecosystem capabilities to provide benefits such as food, fresh water, soil protection, disease regulation, flood control, drought mitigation and local warming regulation.

On the other hand, the governance system in Vanuatu, with respect to climate change and disaster risk, show important constraints to address climate change risk and limited capacities to monitor hazards, provide warnings and implement Climate Change adaptation and Disaster Risk Reduction through sustainable development approaches. Institutions and agencies are facing important barriers to plan and deliver financial and technical assistance. Accompanying these institutional constraints and insufficient capacities (described in PRODOC), low social awareness related to risk of climate change and its drivers, together with a very general approach to these topics by the education system, have limited the understanding of problems related to vulnerability and its causality chain, creating socio-institutional conditions to suffer strong losses and damages related to climate hazards and non-climate hazards.

In this context of socio/institutional and ecosystem's vulnerability, weather related hazards and extreme events have the potential of generating huge losses and damages affecting the population, infrastructure, economy and livelihoods, equal or greater than in the past. Vanuatu is recognized as being highly vulnerable to climate-related hazards and disasters as per the Commonwealth Vulnerability Index.

### **3.2. Problems that the project sought to address: threats and barriers targeted**

- a. DRR and CCA are concepts and tools that show weaknesses in social and institutional terms, creating difficulties for government and non-government organizations in terms of planning, budgeting and coordinated implementation.
- b. Absence of models and lack of capacity for the comprehensive implementation of climate change adaptation with linked financial flows to support CAA and DRR activities.
- c. Limited demonstrations of holistic and comprehensive community-level climate change adaptation planning based on comprehensive vulnerability assessments, with associated plans for coastal management, DRR and upland watershed management, water resource management, with secured funding for comprehensive implementation.
- d. Often plans are developed for individual sectors, i.e. DRR or coastal management without linkages to community development plans.
- e. Limited useful information on the health of coastal ecosystems and a monitoring system to determine the status of marine ecosystems, including coral reefs and mangroves, as basis for monitoring impacts of climate change in Vanuatu
- f. There are limited broad institutionalized models for the deployment of solutions for integrated coastal zone management (ICZM).
- g. Limited experience and capacity in linking sustainable land management in watersheds (IWRM, SLM, SFM and managing upland erosion issues) with both the marine environment and related livelihood needs of downstream coastal residents through ICZM approaches.
- h. Fragmented, single sector development efforts (including donor funded initiatives) across different landscapes and government levels often do not include needed spatial management techniques and are hindered by unclear institutional responsibilities, weak policies, communication & coordination.
- i. Limited quality of information available on early warning systems for climate related events, and a lack of distribution of this information to isolated island communities
- j. Project delivery mechanisms often bypassing, or without appropriate linkages, to provincial and local level administrations in the delivery of technical assistance and community support
- k. Severe shortage of government extension services (agriculture, fisheries and forestry workers) at the community level, especially in isolated areas has severely restricted community knowledge and use of agriculture, farming and fisheries climate change adaptation strategies
- l. Limited access to human resource development opportunities, including education and training, especially at local levels.



- m. Limited recognition of the role of “soft” engineering solutions such as erosion control, river bank management combined with “hard” engineering solutions to increase the useful life of public conveyance infrastructure while reducing long-term maintenance funding requirements of said infrastructure
- n. Lack of integration of traditional knowledge in approaches to disaster reduction, environmental management and responses to climate variability by local communities
- o. Where successful practices have been trailed, trials have often not been scaled-up or replicated because of a lack of resources.

**Described by the project team:**

- Resource management practices not sustainable in many communities
- Infrastructure threatened by climate, lack of protected complimentary measures, poor designs and materials used to construct roads and footpaths which in turn are not resilient to weather impacts
- Food, water insecurity for communities
- Lack of diversity for income security (include food security activities)
- Local governance not functioning well in some areas
- No community planning- disaster planning or climate issues considered in some communities

### **3.3. Project Description and Strategy: objective, outcomes and expected results, description of field sites.**

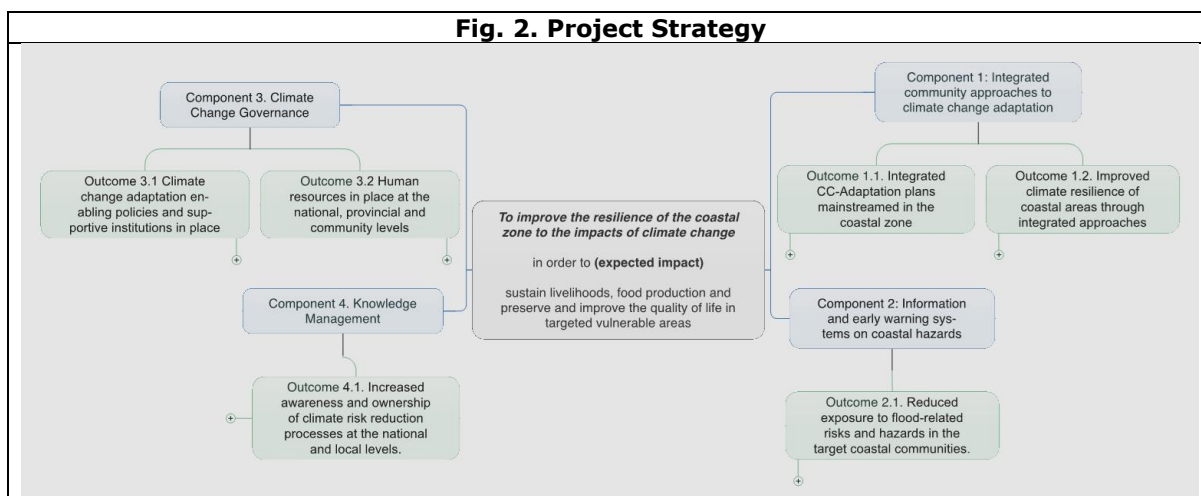
The project was designed to address a set of constraints and obstacles related to the social, institutional and ecosystem capabilities, to face climate change challenges in coastal zones. In this regard, project was conceived to facilitate climate change adaptation strategies (at community level, provincial level and national level).

VCAP is working to strengthen climate related information management capacities for all communities in Vanuatu, while also contributing to improving the accuracy and the timeliness of weather forecasting. On the other hand, VCAP is expecting to establish an early warning system at national level to support Community Disaster Committees. It's important to note that VACP is promoting sectoral policy, plans and strategies that explicitly recognise approaches to climate change adaption and the training of staff in this approach, providing them with resources to implement measures of adaptation and disaster risk reduction at national, provincial and community levels.

VCAP intervention related to ecosystem-based adaptation, sustainable agriculture and more resilient public roads, has been conceived to address the concern about food security, fresh water availability and the access to health, education and market facilities. This approach is clearly related to gender and social inclusion demands identified in project design. In addition, VCAP has acknowledged that women also face socio-cultural and political disadvantages because of their limited access to economic assets and decision-making, posing important obstacles to climate change adaptation. During the project's cycle, VCAP recognises the importance of having women widely involved in planning, implementing, monitoring and reporting.

In this regard, the project objective is in line with national priorities related to coastal management given climate change effects on the quality of life and human security in these areas. Figure 2 shows a summary of project strategy.





The strategy to achieve this objective is supported by general awareness actions and policy planning (both at national and local levels), including concrete investments to modify conditions related to EWS capacity at national and project site level and facilities to support resilient productive activities in agriculture, fishery and water supply, including actions to improve natural resources protection and controlling erosion, and important investment to improve rural roads and pedestrian bridges. All these have been planned for 32 communities distributed along 18 islands located within 12 Area Councils (table 1).

Table 6. Project sites selected											
Province	Shefa	Sanma	Penama	Tafea					Malampa	Torba	
VCAP Site	Epi	Santo	Pentecost	Tafea Outer islands					South Malekula	Torres	
Island	Epi	Santo	Pentecost	Aniwa	Futuna	Aneityum	N Erro	S Erro	Malekula	Torres	TOTALS
Area Councils (AC)	2	2	2	1	1	1	1	1	1	1	12
Target Communities	5	5	11	3	3	3	3	4	7	4	48
# of Islands within site	1	3	1	1	1	1	1 (shared)	1 (shared)	4	5	18

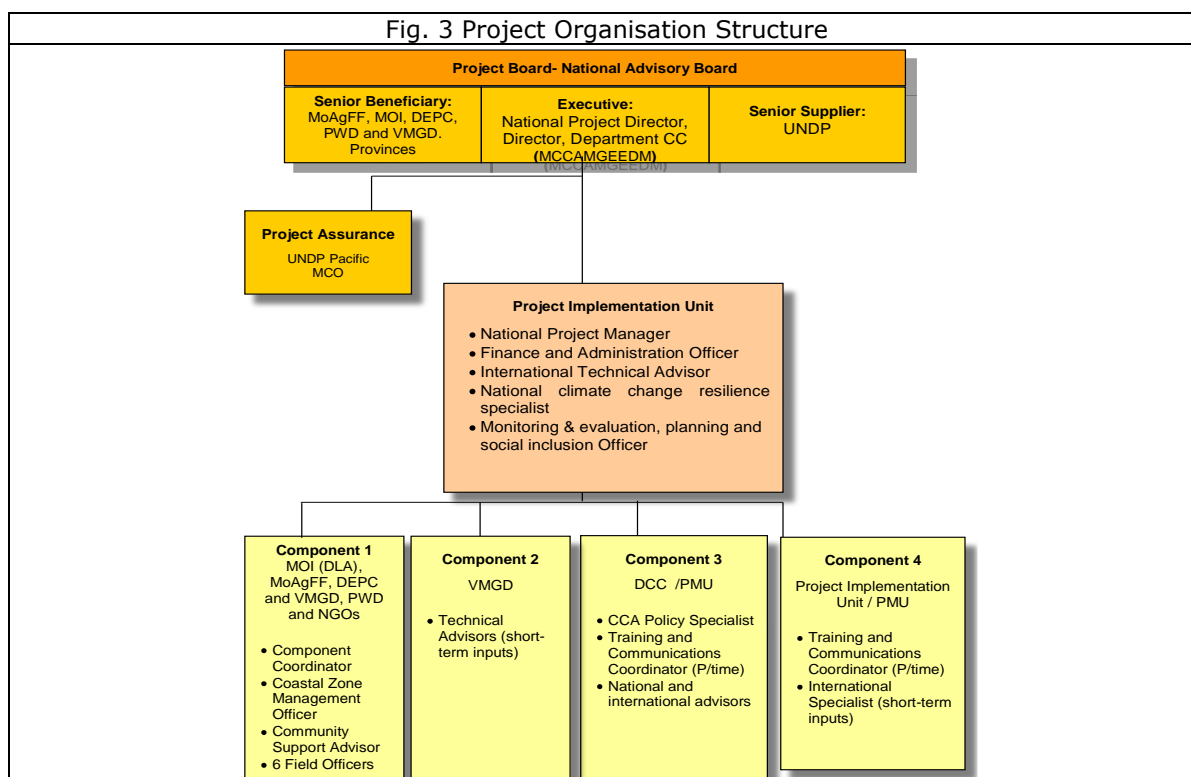
The project has declared that its deliveries will respect every level of responsibility, recognising and building on traditional knowledge and on models developed by various development agencies, and promoting “soft infrastructure” solutions as well.

### 3.4. Project Implementation Arrangements: Short description of Project Board, key implementing partner arrangements.

The Project Board has been designed to oversee project strategy and assure the quality of deliverables and benefits, and to use evaluations for performance improvement, accountability and learning. It ensures that required resources are committed and arbitrates any conflicts within the project or negotiates solutions to any problems with external bodies. In addition, it approves the appointment and responsibilities of the National Project Manager and any delegation of its Project Assurance responsibilities. Based on the approved Annual Work Plan, the PB can also approve any essential deviations from the original plans.

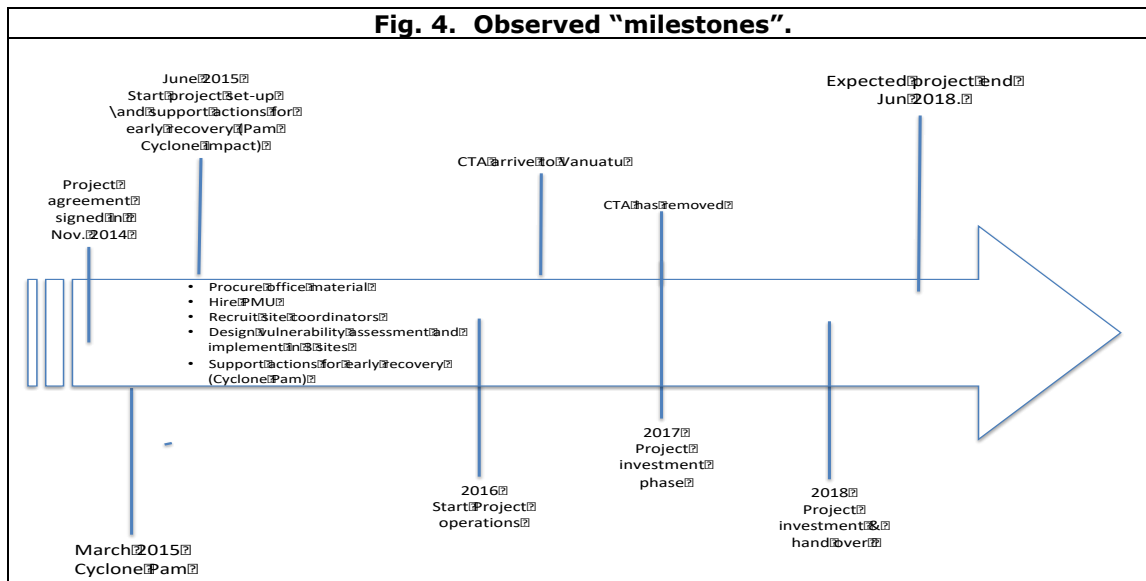
The Ministry of Climate Change Adaptation, Meteorology, Geo-hazards, Environment, Energy and Disaster Management (MCCAMGEEDM) is the implementing partner and has assigned a Project Management Unit to oversee the implementation of the V-CAP. The Project Implementation Unit (PIU) is liaising Responsible Parties with the project and other stakeholders to support the implementation. Based on a standard NIM modality, the MCCAMGEEDM is responsible for the overall project and reporting to UNDP Fiji Multi-Country Office.

The MCCAMGEEDM has designated a number of responsible parties to implement various Components of V-CAP: The Department of Local Authorities (DLA) within the Ministry of Interior (MoI) is the Responsible Party for Outcome 1 (including other implementers, such as Fisheries, Agriculture, Forestry and PWD); the Vanuatu Meteorology and Geo-hazard Department is the Responsible Party for Outcome 2. The NAB supported by the PMU is the responsible entity for Component 3 and the PIU is responsible for implementing Component 4.



### 3.5. Project timing and milestones

The VCAP project started implementation in November 2014 (date of project document signature). By end of 2015, the project was still operating with limited personnel so implementation of project activities was slow. Earlier in the year, Vanuatu was struck by a category 5 cyclone (Cyclone Pam) further affecting access and causing damages to most of the project sites. VCAP had to reprioritise its interventions for the various sites to match the priorities/agenda of national institutions responsible for implementing the project. Given the situation, project implementation started proper implementation in early 2016.



### 3.6. Main stakeholders: summary list

- Ministry for Climate Change Adaptation, Meteorology, Geo-hazards, Environment, Energy and Disaster Management (Project Management Unit to the National Advisory Board, Vanuatu Meteorology & Geo-Hazards Department, Department of Environmental Protection and Conservation).
- Ministry of Internal Affairs (Department of Local Authorities -DLA).
- National Disaster Management Office (NDMO).
- Ministry of Finance.
- Ministry of Agriculture, Forestry, Fisheries, Livestock & Bio-Security (MAFFLB) – Department of Forestry (DoF), Vanuatu Fisheries Fisheries (VFD), Department of Agriculture & Rural Development (DARD), Department of Livestock (DoL).
- Ministry of Infrastructure & Public Utilities, Public Works Department (PWD).
- Ministry of Lands & Natural Resources, Water Resource Department.
- Ministry of Education, Department of Education.
- Provincial Government institutions, Provincial Governments.
- Local government community representatives: Chiefly village councils, Ward / District councils, Area Council Representatives – in particular Area Secretaries, Island-level Community Disaster Committees.

## 4. Findings

The findings presented are focused on the following four areas outlined in the standard MTR ToR template: (A) Project Strategy, (B) Progress Towards Results, (C) Project Implementation and Adaptive Management, and (D) Sustainability.

### 4.1. Project Strategy

#### 4.1.1. Project Design

- F1. From the RBM planning’s point of view, the problems identified by the project are relevant, but some of them have been described placing or assuming the solution beforehand. E.g.:

- Absence of models, and lack of capacity, for comprehensive implementation of climate change adaptation as a fundamental part of Decentralization Act mainstreaming in Community and Area Council Plans, with linked financial flows to support CAA and DRR activities
- There are limited broad institutionalized models for the deployment of solutions to integrated coastal zone management (ICZM)
- Limited experience and capacity in linking sustainable land management in watersheds (IWRM, SLM, SFM and managing upland erosion issues) with both the marine environment and related livelihood needs of downstream coastal residents through ICZM approaches
- Fragmented, single sector development efforts (including donor funded initiatives) across different landscapes and government levels often do not include needed spatial management techniques and are hindered by unclear institutional responsibilities, weak policies, communication & coordination.

- F2. In all these examples, the highlighted text describes “a priori technical solutions” that are implicit in the problem description and have conditioned or subordinated the project strategy toward these pre-conceived solutions. What this means is: When the problem is described as a lack of something, it implicitly states that once these solutions are applied, the problem will be resolved (e.g. “the problem of climate change risk is a lack of adaptation plans...”, so if the project produces plans, the problem will be resolved). This is an incorrect underlying assumption. Experience shows that set models or plans do not necessarily resolve problems.
- F3. This incorrect assumption is a very typical technical mistake that does not recognise or know the existence of local solutions, the experiences of people that are not “technicians” and traditional knowledge/capabilities, eliminating a priori other solutions that could be most suitable to address identified problems. A real problem is a negative situation that exists; the lack of something is not a problem because it doesn’t exist.
- F4. In this regard, the error in the underlying assumption of problem description (which will guide the conception of project strategy) has an important impact on the achievement of the project’s objective. The main impact of this incorrect assumption is to think that the project’s objective (to improve the resilience of the coastal zone to the impacts of climate change) may be achieved by delivering plans, models and management techniques, beyond this, “in extremis” of the incorrect assumption of delivering equipment and works only.
- F5. Here is an “original sin” in project design that without doubt needs to be solved by rethinking what is the real change that VCAP is looking for, in order to increase the actions’ coherence with the project objective and especially with the expected impacts; or stated differently, to put the project on track toward the impacts.
- F6. In addition, VCAP managers and implementers assume that since VCAP is addressing the problems identified in the project, the changes are underway or will occur. However, VCAP should take note that addressing problems not necessarily entails solving them. In this regard, it’s important to recognize that changes in material conditions are necessary (infrastructures, equipment, materials, etc.) both at institutional and community level, but these material conditions by themselves, are not enough to start achieving the VCAP outcomes and mobilizing elements of sustainability and impacts.
- F7. The MTR has identified that the project strategy is relevant in terms of the effort to link national and local government institutions with community “needs” to address sustainable development, disaster risk reduction and climate change adaptation. Here lies the most effective route towards expected VCAP results.
- F8. However, this route requires a definition about what kind of change is needed to in order to build resilient communities in the Climate Change context that is more than just knowing prioritized community needs and how to respond to them. It is also necessary to work with communities and institutions; a definition of the kind of future development scenario they want (long-term goals in the context of Climate Change) and how the VCAP and other intervention can contribute to that “target-image”.

- F9. The VCAP team has reported that lessons learnt from other projects have been incorporated into the design of the project, e.g.:
- ✓ Previous climate project “Vanuatu Community Resilience” (VCR), joint project supported by UNDP, FAO, UNICEF and implemented by GoV.
  - ✓ PACC project – Ministry of Climate Change.
  - ✓ KFW Project (Recovery project from SPC funds).
  - ✓ PRRP – supported by UNDP, working with DLA, Ministry of Climate Change, DSPPAC.
- F10. VCAP has addressed priorities identified and defined in the NAPA: 1) community-based marine resource management, 2) integrated coastal zone management, and 3) mainstreaming of climate change into policy and national planning processes. The NAPA places particular emphasis on the need for community-based marine resource management, embracing both traditional and modern practices, and the enhancement of the resilience of vulnerable coastal communities. To address these priorities, the project activities are focused on five of the adaptation options outlined in the NAPA including: i) development of provincial / local and ICZ(?)M plans, ii) climate proofing of infrastructure design and development planning, iii) development of an efficient early warning system, iv) awareness raising and capacity building, and v) coastal re-vegetation and rehabilitation.
- F11. As describe on PRODOC and confirmed by the project team, the PPG phase of the project had involved a number of consultants at national and sub-national government level and targeted various group representatives, local organisations, development partners (INGOs) and NGOs. Extensive islands community consultations were performed and a total of 1,827 community members were surveyed (60.65% male, 39.35% female) during 33 village meetings. Consultations with donors, Council for Regional Organizations in the Pacific (CROP) agencies and other groups based in Fiji, has been performed during the PPG phase.
- F12. During the design of the VCAP project, a Gender Advisor was recruited and worked closely with Provincial Women’s Affairs Officers and female representatives from Area Councils to gather baseline data and to gain a better understanding of women’s networks and their engagement in decision-making processes at local level. National level consultations with women’s organizations and networks, CSOs, UN agencies and other development projects were also held to explore potential linkages with on-going/upcoming work on climate change issues of direct concern to women.
- F13. Discussion sessions were held with women, youth and other people with special needs ensuring a gendered assessment of climate change issues and enabling the V-CAP to identify intervention priorities. In short, VCAP project design process detected the following demands from women:
- a. Food Security: increasing population, invasive species, crop quality and increased spoilage, reduced fisheries
  - b. Clean, accessible water supply
  - c. Access to health and education services during the wet season
  - d. Access to markets and the economic viability of producing/transporting food crops to market for sale; and empowerment of women’s voices in local level decision-making processes.
- F14. The MTR did not identify a specific budget to support gender activities or initiatives, or to support women empowerment; however, gender-relevant activities were observed e.g. actions to promote women representatives in Area Councils, improved water catchment and water supply rural systems, bridge and walkways improvement for greater accessibility to education, health and market facilities.

F15. Important to note that women were invited to training sessions and workshops, but their participation were still low.

#### 4.1.2. Results Framework/Log frame

F16. The MTR had observed that the indicators at project level are just an aggregation of outcome level indicators. Using the RBM approach, indicators at project objective level should have benchmarks linking outcomes to some form of development benefits i.e. increasing income generation, gender equality and women's empowerment, and improved governance, etc.

F17. The terms used to describe some outcomes, such as "improved climate resilience", "reduced exposure" and "increased awareness", are definitions that do not indicate what is the expected change to progress toward the VCAP objective and impact. In this regard, an important part of VCAP has not been conceived under result-based management conceptual framework, whose main characteristic is to define the changes needed to remove obstacles and constrains to progress toward the defined objective and from this process, mobilize social and institutional factors to achieve impacts.

F18. As a consequence, an important part of the project was not well considered in terms of a result-based management approach. However, the following are three outcomes pointing toward change:

- Outcome 1.1. **Integrated** CC-Adaptation plans mainstreamed in the coastal zone
- Outcome 3.1 Climate change adaptation in place, **enabling** policies and supportive institutions.
- Outcome 3.2 Human resources **in place** at national, provincial and community levels.

F19. The terms "integrated", "enabling" and "in place" indicate a change of conditions in terms of transforming an existing problematic situation ("not integrated", "not enabled" and "not in place" respectively). In this regard, this part of project strategy is relevant in terms of result-based management approach and as such, it provides an effective route towards expected/intended results.

F20. In analysing how SMART was the project's outcomes, the MTR found the following:

- ✓ **Specific:** Some outcomes did not use a 'change' language or were described with enough clarity for a specific future condition. The wording was conceptually ambiguous and had lost its specificity.
- ✓ **Measurable:** Changes in material conditions quantitative indicators refer to are not enough to dent an outcome in a sustainable way, especially when some outcomes are conceptually ambiguous.
- ✓ **Achievable:** The low conceptual specificity of outcomes does not provide by itself the conditions for its achievement. It is important to improve indicators, in terms of increasing outcomes specificity and measurability, in order to have the right conditions for their achievement.
- ✓ **Relevant:** Despite its ambiguous description, the project manages to make important contributions towards national development priorities.
- ✓ **Time-bound:** All Outcomes have specified the targets at the end of project.

F21. The MTR has observed some catalysed beneficial development effects while also addressing social inclusion. This includes Fisheries outputs - FAD and solar freezer assisting income for fishermen and women; improved livestock breeds and agriculture diversification – to assist farmer's incomes; climate proofing infrastructures to facilitate women's access to markets and health centres; women included in community planning processes through their inclusion in Village Development Committees (VDC's) and in all activities and trainings; protected areas created in coastal and upland areas that provide availability of water, food and protection against climate and coastal hazards.

## 4.2. Progress Towards Results

The following progress towards results was reported by the PIU and an assessment summary is provided below focusing on achievements reported up to July 2018, avoiding specific activities or tasks.

	Reported	MTR comments
	<b>Progress toward results related to outcome 1:</b>	<b>Integrated community approaches to climate change adaptation.</b>
F22.	a. 5 Community CC-Development Adaptation Strategies (C3ADS) has rolled out and have been endorsed by communities (other 43 are in draft).	Paragraph corrected: MTR observe that is not the same to identify a list of priorities for community development investment (which is good for people needs) than to identify a "CC-Development Adaptation Strategies"; this last is a more comprehensive framework and for long-term objectives, while a list of priorities for community development investment is used to solve immediate problems but without a clear future target showing how this investments tackles a future local climate change scenario (e.g. 2030).  The "Methodology for VCAP Community Vulnerability Assessments, CCA Plans & Participatory Engagement Tools", was adopted from tools developed by Shefa Provincial Government Council 2011-2013. Some technical questions directly related to VCAP were added on to the assessment process. In this regard, it may be of interest to go further with this assessment tool and add analytical elements to it to define long-term objectives/impacts related to expected climate change risk scenario in 2030 at local level. This will allow communities and local governments to verify how the VCAP and others projects and investments, can support the "CC-Development Adaptation Strategies". Surprisingly, the VDC's interviewed by MTR, manifested that they do not have any plan designed. In addition, visited communities have reported that no one has come to explain to them the relationship between climate change and the actions and measures implemented.
F23.	b. 36 new Village Development Committees (VDC) or Community Development Committees in 8 Area Councils & 1 District (before VCAP, 12 VDC already existed).	The idea of Community Disaster Committees re-aligned and mainstreamed into VDCs seems good to approach sustainable development-based risk reduction (awareness, education, investment, etc. to reduce or avoid risk of disaster), but to be prepared and respond to disasters, it is not a good idea by itself. Each community needs a specific group of people responsible for watching warnings and warning communities with knowledge of evacuation routes to help people evacuate, care for injured people and provide first aid, manage the emergency tool-kit, search and rescue others, etc., and these people need to be trained, equipped with materials and signs, and they need to practice their knowledge about preparedness and response. For this reason, Community Disaster Committees need the guidance/leadership of VDC but should include people not directly involved in VDC. VCAP needs to re-focus this task to make progress with the indicator and outcome, as originally stated in PRODOC.
	<b>Outcome 1.2. Improved climate resilience of coastal areas through integrated approaches</b>	
F24.	c. 9 "Taboo Areas" and 6 detailed marine ecosystem health baselines have been established. d. Related to CICZM Plans – VCAP has compiled baseline information from Fisheries, Environment, Agriculture, PWD, and other stakeholders in CICZM planning.	These achievements are an important base to make progress with the indicator and the outcome; but by now, the progress made is clearly insufficient to accomplish the indicator and is clearly far from achieving the outcome.
F25.	e. 49 Upland Management Climate Change Adaptation Plans have been developed. f. Approximately 30 – 40 hotspots identified; 7 hotspots have been intervened with vegetal repopulation and reforestation. g. 8 nursery plots with hybrid resilience crops and agroforestry demonstration plot. h. 5 water pump for 931 persons and rain water-harvesting facilities for 5,647 persons. i. 8 demonstration plots for poultry and piggery.	The Up-land Management Climate Change Adaptation Plans have the same mistake as the Community CC-Development Adaptation Strategies: confusion between what is strategic planning at community level and/or local, and what is a list of priorities prepared for investment. This priority listing is a kind of planning at operation level, but does not correspond to a strategic idea of adaptation. A strategy needs to be defined by a long-term objective and thus, the priorities of investment will have to address climate change concrete context. Surprisingly the VDC's interviewed by MTR, manifested that they do not have a plan. In addition, visited communities have reported that no one has come to explain the relationship between climate change and the actions and measures implemented. However, MTR observed that the achievements made so far show important progress made towards the accomplishment of the indicator: <i>Enhanced resilience of terrestrial coastal areas to minimize erosion, provide clean water resources to both communities and ecosystems enhancing the livelihoods of coastal communities.</i> In spite of the progress made toward the indicator, the achievements made need to be further developed to fulfil the indicator and, most important, material conditions

	Reported	MTR comments
		by themselves are not enough to start achieving the VCAP outcomes and mobilizing elements of sustainability and impacts. VCAP needs to promote more erosion hot-spots and provide better evidence of how the nursery plots and demonstrative areas are contributing to decreasing erosion.
F26.	2 pedestrian bridges, 5 water systems rehabilitated, 4.6 km. of road rehabilitation completed, 1 pedestrian climate proofed walking path completed. 5,988 community members enjoying now better access to markets, education and health services after the rehabilitation of the roads. (There are still in the works 9 pedestrian bridges, 8 water crossings, 23 km of road rehabilitation and 4 pedestrian climate proofed walking paths).	<p>The current achievements are very important because of their impact on material development conditions. However, these achievements are still insufficient to fulfil the indicator: <i>Number of public conveyances climate proofed to provide long-term use by vulnerable coastal communities (10 pedestrian bridges established, 4 water crossings rehabilitated, 10 km of road rehabilitated, 6 pedestrian walking paths "climate proofed". Total of 10,000 community members with better access to markets, education and health).</i></p> <p>As reported by VCAP, the investment in road infrastructure has been made with community participation in identifying problems related to roadwork, suggesting general improvements and requesting assistance. The infrastructures have been constructed using the VDCs and the participation of community people. The project engaged the men from the villages to construct their own creek crossings and concrete hill pavements, under the supervision of the contractor in their respective villages and communities. The designs were thoroughly explained to these community men and they have constructed these infrastructures, including bridges, as a way to educate them on ownership and the future maintenance of these infrastructures. The project organized capacity building sessions in these communities, including women and children, related to the maintenance of these infrastructures.</p> <p>However, MTR was informed by visited communities, that the works were executed without community knowledge of the design and technical specifications, and that the communities were not involved in execution quality oversight. Furthermore, MTR has not found a concrete compromise or agreement between community and VCAP to perform maintenance activities. Some men were hired by contractors as workers.</p> <p>The project has to manage the community perception problem concerning project actions. In this regard, VCAP needs to pay urgent attention to this fact in order to achieve the outcomes in a suitable way and mobilize elements of sustainability and impacts.</p>
<b>Outcome 2.1 Information and early warning systems on coastal hazards</b>		
F27.	<p>a. 6 Automatic Weather Station installed.</p> <p>b. 100% of communities with mobile phone network coverage, social media and FM radio reception, are receiving timely and accurate warnings of coastal hazards including floods, cyclones and other natural hazards.</p> <p>c. The Integrated Weather Forecasting System (IWFS) at the Vanuatu Meteorology and Geo-Hazard department (VMGD) has been upgraded.</p>	<p>The VMGD has the technical conditions, training and knowledge to provide timely and accurate weather forecasting and climate predictions to Vanuatu's people. Therefore, the VCAP has contributed to creating the conditions for progress to be made toward having an Early Warning System for face Climate and Weather hazards, but this system will not be completed until the system managers can ensure that information and warnings are understood by all people and can also ensure that all people and institutions will respond with planned actions tested in simulations.</p> <p>In this regard, MTR has found that people in VCAP sites have lived through disasters and survived, but they don't know how to respond to disaster in a planned way; they do not have the necessary materials and tools; there are no specific groups organized applying a disaster preparedness criteria; people are not being trained and only in one case, some people participated in a simulation. VCAP has to place its attention on a "target to end of project": "...communities receiving timely and accurate early warnings of coastal hazards including floods, cyclones and other natural disasters <u>and responding to early warnings and taking the appropriate actions following the warning...</u>"</p> <p>The achievements made are important progress towards the indicator but are not enough to accomplish the indicator and to "dent" the outcome.</p>
<b>Outcome 3.1. Climate Change Adaptation enabling policies and supportive institutions in place.</b>		
F28.	<p>a. Legislation and national/sector policy with impacts on climate change adaptation has been reviewed.</p> <ul style="list-style-type: none"> <li>– Livestock Act</li> <li>– Fruits and Vegetables Strategy</li> <li>– Reforestation Strategy</li> <li>– National Fisheries Policy</li> <li>– Decentralization Act</li> </ul>	<p>The national and sectorial legislation reviewed are a very limited achievement. There is no report of the existence of a reform agenda established to incorporate climate change into key sectors.</p> <p>On the other hand, the NICZM Framework, the EIA policy and legislation and 1 additional sectoral policy that recognizes and incorporates CC inclusive of gender and social inclusion considerations have not been finalized yet.</p> <p>There is no evidence about how the policy process and community planning process are retro feeding each other. They appear to be separate processes.</p> <p>In this regard, the progress made to fulfil the indicator is very low and the distance</p>



	Reported	MTR comments
	b. The National CC Policy launched in 2016, incorporating gender inclusion and social considerations, was finalized	to achieve the outcome is still far.
	<b>Outcome 3.2. Human resources in place at national, provincial and community levels.</b>	
F29.	<p>a. Around 30 staff member (have been trained to implementing approaches for planning and mainstreaming climate change into the local level. Trainings have focused on multi-sector community planning &amp; vulnerability assessments processes.</p> <p>b. Capacity building for key national and provincial government agencies has been focused only on the provincial level.</p> <p>c. Communities have been empowered to deal with climate change impacts in the coastal zone through regular monitoring (application of training methods and practices scaled out by community members and training / awareness of school-age children to ensure sustainability of practices).</p>	<p>MTR considers that it's unlikely that the trainings provided enough scope to "implement CC resilience and adaptation" and that capacity building activity for "implementing approaches to planning for integration of climate change" have been achieved with enough effectiveness. This short scope issue will be resolved once VCAP designs participative strategic planning, where the community knows clearly the climate related risk specifically facing their community (e.g. for 2030 or further) and the type of community they want to build given the risk scenario. Based on these facts, they need to define the strategic objectives and impacts that they want to achieve during this time lapse, and then define the operative actions and priorities to be implemented in that long-term framework. The priorities already identified, in consequence, should be aligned with the strategy identified.</p> <p>From a quantitative viewpoint, the indicator and its target at the end of project are partially achieved. (<b>Indicator:</b> <i>Number of trained staff with sufficient resources to implement CC resilience and adaptation at the national, provincial and community levels.</i> <b>Target at the end of project:</b> <i>60 staff trained and implementing approaches to planning for integration of climate change into local level planning at provincial and community levels (gender-disaggregated data will be presented).</i></p> <p>From a qualitative viewpoint, the indicator and its target are far from accomplishment: MTR has observed that there are not sufficient resources (conceptual, methodological or financial) to implement CC resilience and adaptation (as promised), and there is no qualified staff (by VCAP) to implement approaches to planning for integration of climate change into local level planning, at provincial and community levels.</p>
	<b>Outcome 4. Knowledge Management</b>	
F30.	<p>a. Actions to increased private sector awareness: Music festival outreach – Fest'Napuan – in 2016. Music video sponsorship for climate resilience in 2016. National Agriculture festival – 2018 (private sector involved as well).</p> <p>b. 3 schools at site have been involved in climate awareness and capacity building actions (VMGD staff made power point presentation and a video show about climate, disaster preparedness, during disasters and post-disaster). Students participate in planting vertiver grass along the coastline and set up small livestock demonstration at school.</p> <p>c. A draft tool has been developed for resource management and CCA, to increase awareness and actions in 10 sites.</p> <p>d. In order to strengthen and implement the traditional conservation practices to enhance R2R resilience to CC in 10 sites, VCAP has formalized the process of registration applying a management plan, and providing advice on techniques and best practices, and on best location for conservation.</p>	<p>Taking in account the indicator and in the face of "targets at the end of project", MTR considers that VCAP achievements are important to achieve the indicator but are still insufficient (the quantitative sources of verification are much more that things achieved). Visited communities have reported that no one has come to explain the relationship between climate change and the actions and measures implemented; however VCAP hired a management support knowledge consultant to explain the relationship between CCA, resource management and project activities. The achievement of the outcome is still far away.</p> <p><b>Indicator:</b> (1) <i>Practices demonstrated and shared by the project adopted by other parties (replication) and (2) adopted by local communities and development of 10 sets of training and awareness materials.</i></p> <p><b>Targets at the end of project:</b> <i>Traditional conservation practices strengthened and implemented in climate change adaptation plans, policies and action (10 sites) to enhance R2R resilience to CC; increased awareness and action incorporating the role of "natural solutions" natural resource plans and management (10 sites); Specific exchange programs for field staff, women's and youth groups on identified climate change resilience topics; Increased private sector awareness and identification of opportunities to engage in building CCA resilience; Approaches demonstrated by V-CAP shared by and adopted by other local communities (replication); Secondary schools in V-CAP sites undertaking climate awareness and capacity building activities.</i></p>

#### 4.2.1. Progress towards outcomes analysis

**Table 7. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets).**

Project Strategy	Indicator <sup>2</sup>	Baseline Level <sup>3</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	End-of-project Target	Midterm Level & Assessment <sup>4</sup>	Achievement Rating <sup>5</sup>	Justification for Rating
<b>Objective: To improve the resilience of the coastal zone to the impacts of climate change in order to sustain livelihoods, food production and preserve and improve the quality of life in targeted vulnerable areas</b>	Number of vulnerable communities/villages /areas with enhanced resilience to climate change through effective planning and action for climate change.	Currently no comprehensive community adaptation plans supported by community adaptation action.	<ul style="list-style-type: none"> <li>• Vulnerability assessment was piloted in 32 communities</li> <li>• 32 communities have conducted CC adaptation planning</li> </ul>	30 villages in 8 Local Area councils designing and implementing effective CC adaptation plans to enhance CC resilience		<b>MS</b>	Although the visited communities and area councils were implementing actions to enhance resilience to climate change, it was observed that there was no community planning process for climate change adaptation in coherence with the project objective "enhanced resilience to climate change through effective planning and action..."; rather, MTR found a list of prioritized activities and investment framed on VCAP foreseen interventions, without community and area council counterpart compromises, and without enough training to empowered VDC or CDC in terms of participation or contribution to managing investments in a sustainable way. The "planning" process reported by VCAP is not identified as such by visited communities. Project interventions seem like a humanitarian aid rather than a development aid in coherence with climate change future local impact scenarios and consequent adaptation needs.

<sup>2</sup> Populated with data from the Log-frame and scorecards

<sup>3</sup> Populated with data from the Project Document

<sup>4</sup> Color code this column only

<sup>5</sup> Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

	Percentage of the population in target sites covered by effective 24/7 early warning system	Many communities in V- CAP sites are remote and not able to receive warnings.	2.5% of the population in targeted sites have received early warning using climate change videos, awareness and consultations in the communities during their vulnerability assessments	100% of Vanuatu population receives high quality early warning in timely manner using multiple communication lines		<p>S</p> <p>VMGD component has created conditions for 100% of Vanuatu's population to access climate predictions, weather forecasting and public advisory, as a technical/scientific support for an EWS, as long as they have access to mobile phones, national radios, national television, newspapers and internet links.</p> <p>In spite of the fact that this indicator and its goal mention an EWS, MTR understands that this indicator is not referring exactly to a EWS as understood by the international agreements about it and good practices (refers to ISDR, Hyogo and Sendai frameworks). Instead of an EWS, the indicator refers to public advisory about weather forecasting or related, which may trigger or not an Early Warning, which is normally not a competence of national weather services, and implying other types of previous actions such as a deep knowledge of hazards and vulnerability at local levels; hazards thresholds for warning and coordination protocols between institutions and communities; activated preparedness and response plans (tested in previous simulations).</p> <p>Given this peculiarity, the "Percentage of the population in target sites covered by effective 24/7 early warning system" indicator has been achieved.</p>
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	Policies in place to support Climate change adaptation enabling policies and supportive institutions in place	No approved framework for integrated coastal zone management and limited coastal planning policies to support coastal climate change adaptation	There is an approved National Integrated Coastal Management Framework. The project supports reviewing this policy soon	Integrated coastal zone management framework incorporating resilience though climate change adaptation supported by appropriate sectoral and cross sectoral policy and legislation		MU	The MTR found no evidence of having a Policy in place to support Climate Change Adaptation, to enable supportive institutions , such as an Integrated coastal zone management framework, or other appropriate sectoral and cross-sectoral policy and legislation. There were no sectorial or inter-sectorial agendas showing an appropriate participative process of Policy definitions related to climate change and/or to mainstream climate change in the Integrated Coastal Zone Management Framework.
<b>Outcome 1.1: Integrated CC-Adaptation plans mainstreamed in the coastal zone</b>	Development of Community CC-Development Adaptation Strategies (CCCADS) at the village level using common indicators across all project sites.	In most V-CAP target areas communities have not developed community adaptation strategies.	32 communities in 8 Area Councils were able to identify their climate vulnerability and adaptation actions to prioritize	30 Community CC-Development Adaptation Strategies (CCCADS) at village level applying common indicators across all project sites.		MS	MTR has found that in communities visited, people organized in VDC are participating in actions (promoted by the VCAP) to enhance some livelihoods factors (related to public works, agriculture, water, fishery, and protected areas). However, these activities are based on a participative prioritization process of investment but not on a strategic conception (long term) about community development climate change adaptation, taking into account the local impact future scenarios of climate change and their chain of impacts on livelihoods. Surprisingly, VDCs interviewed by MTR, manifested that they do not have a plan or strategy.

	Community Disaster Committees established and operational with specific plans developed in targeted communities and at Area Council level	12 of 30 villages have Community Disaster Committees. 6 disaster management plans have been finalized at community level. 0 Area Councils have Community Disaster Plans	32 CDCs or VDCs have been set up in 8 Area Council. (Community Disaster Committees will be re-aligned and mainstreamed into VDCs)	CDC established and operational in at least 30 communities, 8 Area Councils & 1 District. 8 Area Councils with operational Disaster Plans and equipped to respond to enhanced resilience to climate related natural disasters		MU	MTR has no evidence of organized CDC in visited communities; however, people have survival experiences within disaster contexts. The idea about Community Disaster Committees re-aligned and mainstreamed into VDCs seems good, but operatively it's not. Each community needs a specific person responsible for listening to warnings and warning the community to know evacuation routes and help people evacuate, care for and manage the emergency kit, search and rescue others, etc., and this people need to be trained and equipped with materials and signs, and they need to practices their knowledge about preparedness and response. For this reason, Community Disaster Committees need guidance from VDC but should be organized with different people not involved in VDC. The project remaining time is too short to organize sustainable CDCs.
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<p><b>Outcome 1.2: Improved climate resilience of coastal areas through integrated approaches</b></p>	<p>Length of coastline placed under improved integrated coastal management to improve ecosystem-based adaptation</p>	<p>No formalized management plans have been developed and approved for areas Currently a “taboo” areas are developed in “haphazard” manner without systematic measuring of coverage and without long-term management plans or monitoring Some taboo areas do exist for the purpose of managing fish harvesting on a short term basis without long term conservation measures integrated into management Small number of Marine Protected Areas in selected sites (6 in total)</p>	<p>Fisheries have conducted baseline assessment in five communities of Epi and also in Aniwa.</p>	<ul style="list-style-type: none"> <li>Community Integrated Coastal Zone Management Plans (CICZM Plans) established integrating “kustom taboo” areas to enhance ecosystem resilience food production and livelihood support for local communities in 30 locations</li> <li>Six additional Community Conservation Areas (CCAs) to national PA network.</li> <li>Taboo areas / CCAs/ MPAs linked together through Area Council ICZM Plans to ensure integration of planning processes</li> <li>Knowledge sharing and integrated development of coastal areas.</li> <li>Community, including women and youth, participating in the monitoring, evaluation and management of CICZM Plans in 30 sites.</li> <li>Improve ecosystem resilience and health.</li> </ul>		<p><b>MU</b></p>	<p>MTR has not found evidences about existence of Community Integrated Coastal Zone Management Plans (CICZM Plans) established, although there was established “kustom taboo” areas to enhance ecosystem resilience food production and livelihood support for some local communities. Neither is there evidence about how Taboo areas / CCAs/ MPAs are linked together through Area Council ICZM Plans to ensure integration of planning processes and there is not observed how VCAP has supported the integration of six additional Community Conservation Areas (CCAs) to national PA network. There are no signs of having done knowledge sharing and by the moment, there are not signs of women and youth participating in the monitoring, evaluation and management of CICZM Plans. Surprisingly the VDC's interviewed by MTR, manifested that they not have any plan.</p>

	Enhanced resilience of terrestrial coastal areas to minimize erosion, provide clean water resources to both communities and ecosystems enhancing the livelihoods of coastal communities	<p>Poor catchment management is resulting in high sediment loads, high level of nutrients. Coastal ecosystems are being degraded by poor water quality. Poor sanitation is creating health issues in some coastal communities, particularly for children. Water shortages during climate related events. Loss of food production through disease and pests.</p>	<p>Upland and water catchment baseline assessment was conducted on Epi and Pentecost to prioritize areas for management.</p> <p>Six terrestrial coastal erosion sites at Epi and 7 at Pentecost have been intervened planting local species to control erosion.</p> <p>Permanent nurseries have been constructed for trees seedlings to be planted upland.</p>	<ul style="list-style-type: none"> <li>• Development of 30 Upland Management CCA Plans (UMCCAP) for coastal catchment with actions to reduce run-off resulting in improved turbidity of rivers, streams and coastal waters and a reduction of nutrient-rich sediment reaching the coastal area</li> <li>• 20 Erosion “hotspots” with action resulting in reduced erosion</li> <li>• Reduction in cases of water borne illnesses in communities affected by improved catchments</li> <li>• Enhanced agricultural productivity</li> <li>• Increased water security for 2,000 people</li> </ul>		MS	<p>MTR has observed actions to facilitate erosion control from upland to coast line by reforestation and agroforestry practices, erosion hotspot interventions, enhance agricultural productivity and cattle rising, and provide fresh water. Nevertheless MTR not have evidence about the guarantee of "water security" (feasibility assessment) in terms of (i) sustainable water flow from selected natural source and (ii) water network management capabilities and sustainability.</p> <p>MTR has not evidence about Up-land Management CCA Plans (UMCCAP) and not have evidence on water borne illnesses reduction in communities affected. MTR found evidence that beneficiaries have not been trained to manage water systems and use water resources in sustainable way. Surprisingly the VDC's interviewed by MTR, manifested that they not have any plan available.</p>
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	Number of public conveyances climate proofed to provide long-term use by vulnerable coastal communities	<p>Current public conveyance infrastructure (including roads, bridges, pedestrian walkways, river crossings and walking tracks) in poor and deteriorating condition, due to flooding and erosion, severely limiting access to basic services. Pedestrian river crossings do not exist resulting in injury and death, especially of children, people who are ill and those with physical disabilities, during severe flooding. Erosion, water and climate related factors making public conveyance infrastructure to vehicles. Limited access to health, education and markets in extreme weather conditions.</p>	<p>Site assessments of infrastructure improvement and needs were conducted in Epi, Pentecost, Tafea Outer island, Malekula and Santo (bridges, pavement, river/creek crossings, culvert crossings, road rehabilitation, foot bridges, staircase, one airport runway rehabilitation, rivers bank protections, swampy area stabilization).</p>	<ul style="list-style-type: none"><li>• 10 pedestrian bridges built</li><li>• 4 water crossings rehabilitated</li><li>• 10 km of roads rehabilitated</li><li>• 6 pedestrian walking paths “climate proofed”</li><li>• A total of 10,000 community members with better access to markets, education and health</li></ul>		<p>U</p> <p>MTR has noted evidence that most infrastructure designed has resisted extreme conditions such as cyclones, proving that the design of these structures is weather proofed. However, MTR has observed quality problems from the point of view of good engineering practices in the road re-built in Aniwa</p> <p>Given the indicator and its targets at the end of project, and the achievements showed by VCAP. The objective/outcome is expected not to achieve most of its end-of-project targets in the remaining time.</p> <table><tr><th>End of project target.</th><th>Lack or in process</th></tr><tr><td>10 pedestrian bridges established,</td><td>2 pedestrian bridges,</td></tr><tr><td>4 water crossings rehabilitated,</td><td>4 water crossings rehabilitated.</td></tr><tr><td>6 pedestrian walking paths “climate proofed”.</td><td>1 pedestrian climate proofed walking path</td></tr><tr><td>10 km of road rehabilitated.</td><td>4.6 km. of road rehabilitated.</td></tr><tr><td>10,000 community members with better access to markets, education and health services.</td><td>5,988 community members with better access to markets, education and health services.</td></tr></table>	End of project target.	Lack or in process	10 pedestrian bridges established,	2 pedestrian bridges,	4 water crossings rehabilitated,	4 water crossings rehabilitated.	6 pedestrian walking paths “climate proofed”.	1 pedestrian climate proofed walking path	10 km of road rehabilitated.	4.6 km. of road rehabilitated.	10,000 community members with better access to markets, education and health services.	5,988 community members with better access to markets, education and health services.
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<p><b>Outcome 2.1. Reduced exposure to flood-related risks and hazards in the target coastal communities</b></p>	<p>2.1 Better quality, accuracy and timeliness of weather forecasting, particularly of extreme events, such as extreme rainfall, storm surges, tropical depressions and cyclones reported by the EWS</p> <p>2.2 Strengthened capacity within VMGD to deliver timely climate related information to all communities in Vanuatu</p>	<p>A warning system exists; however, it is limited by access to up- to-date information and high quality information, distribution networks and government's capacity to delivery timely warnings and information. Collection of weather related data is done manually, relying on 24/7 staffing and is limited during weather related events.</p> <p>There are no special provisions or considerations regarding the needs of vulnerable groups of people including children, older people and those with disabilities</p>	<p>Prior to the installation of Automatic Weather Station (AWS) site visits were conducted to identify the AWS boundaries, internet access from sites and the refurbishment of office supplies.</p> <p>An explanation was provided about how the Automatic Weather Station (AWS) will benefit productive activities, communities and PWD, to the general public of Vanuatu.</p> <p>3 screen computers were purchased to support forecasting analysis.</p>	<ul style="list-style-type: none"> <li>• By the end of the project 100% of targeted V-CAP communities receiving timely and accurate early warnings of coastal hazards including floods, cyclones and other natural disasters and respond to early warnings and take appropriate actions following warnings (disaggregated by gender and age)</li> <li>• Better quality meteorological forecasting available for all people of Vanuatu</li> <li>• Higher quality data available for meteorological forecasting available for all people of Vanuatu</li> <li>• Better quality metrological forecasting in Vanuatu, particularly in relation to extreme climate events</li> </ul>		<p><b>S</b></p>	<p>The VMDG has received technological know-how and training and have increased its knowledge to provide timely and accuracy climate predictions, weather forecasting and public advisory to the people of Vanuatu, with high percentage of certitude. In this regard, VCAP has contributed to creating the conditions to make progress toward an Early Warning System to face Climate and Weather hazards; however, this is not enough to make institutions and communities in VCAP intervention sites respond to early warnings and take appropriate actions (as described in targets at project's end). An EWS will not be completed until the system managers can ensure that information and warnings are well understood and people and institution know how to respond in a planned way tested in at least one simulation.</p>
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<p><b>Outcome 3.1: Climate change adaptation enabling policies and supportive institutions in place</b></p>	<p>Number of sectoral policies, plans and strategies explicitly recognising approaches to climate change adaptation and a reform agenda adopted</p>	<p>Currently there are a limited number of national sectoral policies, plans and strategies that incorporate climate change adaptation. Currently there is no strategic framework for developing a reform agenda for key sectors. NICZM Framework is in draft form (2010). Currently there are no written guidelines concerning incorporation of gender and social inclusion in national or sector strategic or business plans regarding climate change.</p>	<p>Supported the Fisheries National policy consultation at Shefa province, including Port Vila, for the last 3 weeks of July 2016, to get final feedback of the new policy before launching in August 2016.</p>	<ul style="list-style-type: none"> <li>• Reform agenda established to incorporate climate change into key sectors</li> <li>• NICZM Framework is finalized and approved</li> <li>• Revised EIA policy and legislation</li> <li>• 1 additional sectorial policy recognizing and incorporating CC inclusive of gender and social inclusion considerations.</li> </ul>		<p><b>U</b></p>	<p>MTR has not evidence about verifiable progress made with respect to sectoral policy, recognizing and incorporating CC with gender and social inclusion considerations. There is no reform agenda established to incorporate climate change into key sectors. MTR could not verify concrete progress made toward the indicator and outcome.</p>
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<b>Outcome 3.2: Human resources in place at national, provincial and community levels</b>	Number of trained staff with sufficient resources to implement CC resilience and adaptation at national, provincial and community levels	Currently, only a few members of the staff have the capacity to integrate CC Adaptation approaches at provincial and community levels	Support was provided to NAB for the installation of a backup server to upload VCAP data in the VMGD Portal because the current server's capacity is limited.	60 staff members trained and implementing approaches to planning the integration of climate change into local level planning at provincial and community levels (gender-disaggregated data will be presented).		MS	Around 30 staff member at provincial level were trained on multi-sector community planning & vulnerability assessments processes (12 Tafea provincial staff, 10 Area Secretaries and 8 Site Coordinators). Remains pending training on compliance and enforcement, monitoring and evaluation and mainstreaming of climate-related policies and regulations (as indicated in PRODOC). It is also pending the training of the staff member of DEPC, PWD, Department of Internal Affairs, Departments of Fisheries, Forestry and Water. On the other hand, MTR notices constraints in the quality of training as a result of shortcomings related to conceptual, methodological, human and financial resources available to implement approaches to planning for integration of climate change in local level planning, at provincial and community levels.
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<p><b>Outcome 4: Increased awareness and ownership of climate risk reduction processes at national and local levels</b></p>	<p>Practices demonstrated and shared by the project adopted by other parties (replication) and adoption by local communities</p> <p>Development of 10 sets of training sessions and awareness material.</p>	<ul style="list-style-type: none"> <li>• Few (if any) villages adopting and using climate change and risk reduction approaches incorporated into local and provincial level policies, plans and practices</li> <li>• Currently there are few opportunities for communities and local authorities who are practicing or are interested in practicing innovative CC solutions to exchange information and learn from one another</li> <li>• Links between isolated communities and private sector in CCA are limited</li> </ul>	<p>Conducted 4 days of consultations and planning activities with community, Area Council, provincial and national level stakeholders during VCAP Inception Week. Conducted training for 8 area secretaries to assist in collecting vulnerability assessments in the 32 communities that were assessed.</p> <p>Development of a documentary to showcase the focus of VCAP interventions and raise awareness about the effects of climate change. Another short video was produced to show the installation of Fish Aggregated Device at Aniwa Island and raise the awareness of communities to manage their coast resources. The project has partnered with Fest Naupan music festival and Cyclone Pam resilience music video.</p>	<ul style="list-style-type: none"> <li>• Traditional conservation practices strengthened and implemented in climate change adaptation plans, policies and action (10 sites) to enhance R2R resilience to CC</li> <li>• Increased awareness and action incorporating the role of “natural solutions”, natural resource plans and management (10 sites)</li> <li>• Specific exchange programs for field staff, women’s and youth groups on identified climate change resilience topics</li> <li>• Increased private sector awareness and identification of opportunities to engage in building CCA resilience.</li> <li>• Approaches demonstrated by V-CAP shared by and adopted by other local communities (replication)</li> <li>• Secondary schools in V-CAP sites undertaking climate awareness and capacity building activities</li> </ul>		<p>MS</p>	<p>MTR has observed an important effort being made to make visible both VCAP interventions and topics to increase the community and institutional awareness related to “natural solutions” and adaptation-based natural resource management. The engagement of secondary schools in V- CAP sites, by undertaking climate awareness, has been a key input.</p> <p>However, MTR has not evidence about how the VCAP has strengthened and implemented traditional conservation practices in climate change adaptation plans, policies and action to enhance R2R resilience to CC (at the moment it just has reported actions to identify it). On the other hand, MTR has also not detected specific exchange programs for field staff, women and youth groups on identified climate change resilience topics. Finally, MTR has observed that VCAP has no actions to target the private sector to raise its awareness and to detect opportunities to engage them in building CCA resilience (e.g. in their business plans).</p>
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### Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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#### 4.2.2. Remaining barriers to achieving the project's objective

- F31. There is still a persistent low capacity for development-based disaster risk reduction and climate change adaptation, generating difficulties for communities, governments and non-governmental organizations in terms of planning, budgeting, coordinated implementation and social accountability.
- F32. Project managers and implementers are using almost the same work approach used for standard development investment, without taking into consideration the key elements of developing and designing an adaptation initiative. This means that they cannot distinguish between investment processes for baseline needs of development and value added contribution – additionally – that the process of climate change adaptation contributes to the investment process for baseline needs of development. In this regard, one of the main value added contributions from adaptation process to the development process is the definition of current and future risks scenarios for development, given the climate change impact scenario and main socioeconomic and population trends, applying then some corrective measures and actions in order to reduce current and future risks. It is not about dressing up standard development processes with an adaptation label and expecting different results. VCAP needs to make progress from making things "as usual" toward an adaptation of development in the concrete local climate change context.
- F33. There are still limited experiences and capacity related to linking sustainable land management (by watersheds) with both the marine environment and related livelihood needs of downstream coastal residents. VCAP has replicated the identified problem in PRODOC: "Often plans are developed for individuals sectors, i.e. DRR or coastal management without linkages to community development plans", by conceiving plans for different sectors of activities (fishery, agriculture, community, etc.) without a clear integration of the R2R approach.
- F34. There is no clear action from VCAP on how it will support Policy reforms (including Plans and Strategies) to address the problem of sectorial fragmented development efforts (including donor funded initiatives) across different seascapes, landscapes and government levels.
- F35. It is not clear that early warning information of climate related events will be well understood by different types of people and nobody can ensure that they will respond in an organized and planned way, as expected by EWS international standards (<https://www.unisdr.org/2006/ppew/info-resources/ewc3/checklist/English.pdf>). It is clear that some confusion still remains about what is a weather public advisory service and what is an EWS and its components. VCAP implementers have the incorrect assumption that an EWS is established when the weather public advisory is working 24/7.
- F36. As identified by PRODOC, the problem about limited access to human resource development opportunities, including education and training, especially at local level, is still unresolved. Training methodologies should not been applied as standard presentation of contents in which some technician bring information to be transmitted (normally by power point presentation) to other people who play the receptors rol and whose maxim "participation" is asking questions, but where no exists a real capacitation o skills development understood as availability of conceptual, methodological and/or technics that people can use by itself to solve a problem; adult training requires specific methodologies (based on "learning by doing" approach), which were not detected during the MTR. The communities visited complained that the VCAP people only gave a talk and then left.
- F37. There is still low integration of traditional knowledge in approaches to disaster reduction, environmental management and response to climate variability by local communities. VCAP has not address this topic yet with certitude: it is necessary to discuss with

communities, which traditional knowledge is suitable for climate change adaptation challenges and which is not suitable. Along the same line, which aspects from modern times are suitable to deal with climate change and which are not? This discussion is the basis of integrating traditional knowledge to approaches such as disaster reduction, environmental management and response to climate variability by local communities.

F38. There are five tangible and successful achievements:

- a. Investment in road works, pedestrian crossings and local government office building.
- b. Establishment of 24/7 weather monitoring, forecasting and public advisory, including the investment in new Automatic Weather Stations.
- c. Investment in agriculture nurseries, demonstrative fields for new crops and improvement of pig livestock and poultry.
- d. Support to "taboo areas" definition in the sea, Fish Aggregating Device installation and solar freezers delivered.
- e. Investment in small scale little water supply systems and water harvesting.
- f. Climate proofing of DLA offices, training and equipment of personnel in different areas of the council office.

F39. There are some ways in which the project can further expand these benefits to achieve the outcomes and produce a movement or changes toward VCAP's objectives and impact:

- a. Organization of a training workshop, applying adult education methodologies, to explain the Climate Change impact in Vanuatu and in people's livelihoods, including an explanation about how are VCAP's intervention and benefits are framed to reduce climate change impacts in VCAP sites.
- b. Analysis of what the situation would be if VCAP's investments were not made. Also, analysis of what would happen if these investments were not taken care of and maintained by communities and government. In other words, conduct a cost-benefit analysis of investment in terms of "avoided damages" and "services provided" by the infrastructures and equipment provided. From this analysis, ideas concerning responsibility, commitments and sustainability will be extracted.
- c. Encouragement of local government institutions and communities to make commitments in order to maintain and develop the project's benefits.
- d. Adjustment of the 3CADS by applying a real process of community strategic planning, based on local climate change impact scenarios (downscaling regional scenarios for 2030 or further), defining a community development target image relate to the local CC scenario and its timeframe. Subsequently, conception of a strategic result framework to achieve the development target image (e.g. to 2030) and then, programming the implementation for every 3 years, by defining annual operative plans every year. In this way, projects like VCAP and others, either sectorial or inter-sectorial, can "marriage" their actions to this Development Community Strategy.

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

#### **4.3.1. Management Arrangements**

F40. The emphasis on results has been focused in excess over infrastructures and equipment, disregarding local and community capacity development with sufficient dedication. The incorrect assumption that once plans are made and "training workshops" are organized, based on just a content presentation, the task is done, has promoted the community's perception that they do not have plans and that no one explained the relationship between the project's investment and Climate Change Adaptation. In fact, communities visited have intuitive knowledge about climate change and they don't know what the real

impact of climate change is in their communities for the following years and how they will deal with them. A strategic vision related to "adaptation" is missed in this way.

- F41. On the other hand and in relation to the excess focus placed on infrastructures and equipment, the process to make progress on the Climate Change governance component is not well managed and with no suitable timeline. Both local/community strategic planning and Policy process should be carried out interactively the way the PRODC's strategy was programmed. However, progress in both sectors is low and disconnected.
- F42. It is important to highlight that VCAP has had significant delays in its implementation, as a result of the impact of cyclone PAM in March 2015, which resulted in a 10-month delay. In addition, at the beginning of 2017, two additional tropical cyclones caused further delays in work contracts and in the on-going activities at all project sites.
- F43. The risks identified in the Project's log-frame do not have an early risk warning tool (as part of the M&E system) to be applied appropriately and timely to avoid or reduce identified risks. This omission affects negatively the quality of risk management. The fact, as demonstrated in Table 7 Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets), is that 35% of indicators are qualified as "Not on target to be achieved".
- F44. The reports are highly optimistic about how the inputs (activities organized) becomes outputs and subsequently, comprehensive outcomes. In this regard, high-level project management support, with extensive experience on Climate Change to give more realism in reporting (in terms of conceptual scope and result-based management), will be very important to fill this void.
- F45. Management effectiveness with respect to the RBM's 5<sup>th</sup> criteria is low because of several factors. Firstly, the PRODOC's design has identified a set of problematic situations whose description place the solution beforehand -or "a priori"- determining in this way that the outcomes and indicators be described based on an assumption that is not correct in of itself. Secondly, consequently, some outcomes' descriptions are not sufficiently clear about the kind of changes they want to achieve. The incorrect assumptions related to problems' descriptions and the low clarity of some outcomes, has forced implementers to follow a difficult pathway to progress on the project's objective. A third factor explaining this low management effectiveness is related to changes in PIU's composition:
- The International Senior Technical Advisor was hired and fired/released the same year. Project Board and managers have not made the decision to replace him and the VCAP has been working without this important technical advice most of the time.
  - Under the original PIU's design, project have not hire: One full-time National Climate Change resilience specialist and one full-time Climate Change Adaptation Policy Specialist (2 years). Instead, the following were recruited: PWD coordinator, upland coordinator for agriculture/livestock and forestry, VMGD coordinator and an international technical specialist hired through a long-term contract who is at the same time, a Community Support Advisor.
- F46. It is a fact that the Climate Change input knowledge has decreased from the PIU, when the change was made.
- F47. VCAP needs to make efforts to increase local and national responsibilities related to the sustainability of project benefits. An exit strategy needs to be implemented urgently.
- F48. The MTR observed that the responsibilities and reporting lines are clear and decision-making processes are transparent.
- F49. Many conceptual, methodological and technical difficulties and challenges may have their roots in this void or absences.



- F50. The extent to which progress toward outcomes can be observed because of real project execution time (from beginning of 2016 to Jun 2018): positive changes in material conditions for resilient development, both at community and institutional level (i.e delivery of materials, equipment and infrastructures). However, a change in material conditions for resilient development doesn't necessarily imply a change in the development pathway toward adaptation. To meet these conditions, it is important that local communities increase the consciousness about what is and what will imply the climate change risk in their lives and livelihoods, at the same time they conceive the suitable actions and measures necessary to face with accuracy. It is more than just a simple information. It is a deep collective reflection on the current and future baseline development conditions given the existing patterns of development, population trends, degradation of natural resources and land use change.
- F51. In fact, this is a challenge for VCAP: the relative success of material, equipment and infrastructures deliveries is still not accompanied by a counterpart's commitments at community and institutional levels related to sustainability<sup>6</sup>. On the other hand, the project benefits at community and local level are disconnected from long-term strategic objectives to face future local climate change and risk scenarios (climate change trends at regional level and dynamic pressures related to socioeconomic trends, environment degradation and population growth).
- F52. Another way in which progress toward outcomes can be observed is by analysing if resources have been used appropriately and economically to make progress toward desired outputs. In this regard, the project quality execution, measured in terms of how finance inputs are converted to progress toward results, shows that VCAP execution is low in quality terms (currently) and specially in the outputs related to Policy, CDCs, CICZM Plans and public conveyances climate proofed, where the challenge to efficiency is evident (Table 7. Progress Towards Results Matrix).
- F53. Efficiency is important in ensuring that resources have been used appropriately and in highlighting more effective uses of resources. In this regard, corrective actions toward efficiency should be taken urgently, including the partnership and cost-sharing measures and complementary activities as proposed in section 5.
- F54. There is no doubt that UNDP's support was key in setting up the project despite cycle Pam in 2015, facilitating the inception workshop and hiring of the project management unit and helping start-up project operations at the end of 2015, once national institutions had the conditions to assume their responsibilities after post-disaster activities related to cyclone Pam.
- F55. On the other hand, given that the International Senior Technical Advisor was hired and fired / released because of internal differences, UNDP took immediately actions to mitigate the absence of this technical input by hiring a "VCAP Technical Specialist" through a long-term agreement. PIU and VCAP have provided very important support in terms of advancing project implementation in communities.
- F56. The support of UNDP in the next phase, as a pool of information and source of knowledge, will be essential to support the Executing Agency and Implementing Partners to achieve the expected outcomes in timely fashion. In this regard, it is highly recommended that UNDP increase its support efforts concerning the identification and mobilization of suitable technical assistance, as well as to work closely with the manager to provide management advice.

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<sup>6</sup> Communities during PPG consultations indicated their willingness to assist in monitoring the maintenance needs for the infrastructure and identification of suitable arrangements for the communities to play a role in the maintenance. (PRODOC, page 48, paragraph 224).

F57. Given the absence off and no replacement of an International Senior Technical Advisor, as per the original ToR for this post, UNDP reduced their influence to support PIU efforts and its negotiation capacities with national institutions, in terms to support the progress toward the outcomes. On the other hand, this has created conditions that have resulted in VCAP missing the path and walking unsteadily with respect to climate change adaptation and how "adaptation" should to be linked to post-disaster early recovery (i.e. cyclone Pam) and baseline development needs.

Recovery, Development and Adaptation, are a complex intervention trilogy and much more if it has to be managed simultaneously at national, provincial and local scale.

F58. When the project strategic responsible left PIU without the International Technical Advisor, the "candour" and realism of analysis in reporting, become limited.

F59. In spite of the environmental or social risks identified in PRODOC annex 11, MTR found that these concerns have not been monitored. A short reference was made in PIR 2016 related to cyclone PAM. The PIR 2017 and 2018 have not reported information about the project's social and environmental risks listed in the SESP.

#### **4.3.2. Work planning**

F60. The project faced a delay in implementation after the project document was signed in November 2014. Added to this were the damage to project sites caused by Cyclone Pam resulting in a re-prioritising of activities. There was a delay in recruitment of all project staff (hired in January). An assessment conducted after cyclone PAM, confirmed that many baseline conditions had changed or worsen.

F61. The MTR found no changes in log-framework since project start. Work planning is based fundamentally on activities linked to the outputs or deliverables, assuming that the indicators/targets accomplishment will lead them directly to the outcomes achievement. It is recommendable that the PIU analyse in detail how work-plan activities are contributing to the achievement of outcomes. This analysis should be performed in a participative manner with all stakeholders, ensuring that the work-plan process is the exclusive responsibility of project managers.

Any planning process need to include accountability meetings and social oversight mechanisms; and these to be constructive, need the VCAP to make a strong effort to empower local governments and communities, changing the paternalism hue that characterizes most relations with communities and local governments. Thus, any VCAP work plan needs to be design by all executors but mostly, with the final beneficiaries because they are the focus of institutional accountability and must also participate directly in the supervision of VCAP actions.

#### **4.3.3. Finance and co-finance**

F62. Given the remaining time (less than a year based on PRODOC, annex 16: Project implementation schedule 2014-2019) and given the unachieved outcomes vs. the financial execution made, it is evident that the project shows a general low performance in terms of cost-effectiveness (Table 8). It is evident that component 1 has the highest cost and less achievement, and component 3 is at the rear of the project and their processes to achieve these outcomes appears to be difficult. This trend is also true for others components if the project execution does not take corrective actions:

- Change of the relationship with final beneficiaries in terms of quality of participation (not only consultations);

- Facilitation of a definition of Development Target-Image for local/community adaptation, based on climate change future risk scenarios at local level and then, framing of all others sectorial plans within this strategic vision of adaptation (development target-image).
- Engagement of specific commitments from local, provincial and national governments but with final beneficiaries. A work plan for the care and maintenance of equipment and infrastructures handed over to VCAP. Communities need to be trained and equipped with tools and materials.
- **VCAP needs to recover the time lost because of the impact of Cyclone Pam** (almost a year), if it wants to achieve the outcomes in a satisfactory way, meaning the achievement of all outcomes with only minor shortfalls.

Table 8. Financial execution vs. rating progress toward outcomes.							
	GEF			UNDP		% Total	As defined in Progress Matrix
	Budget	Total Cost <sup>7</sup>	%	Budget	Total Cost	%	
Component 1	6,000,000	4,429,525.97	74	1,731,344	1,460,736	76	MU/MS/U
Component 2	1,000,000	897,139.05	90			90	MS
Component 3	300,000	43,650.28	15	1,000,000	377,628	32	U/MS
Component 4	350,000	152,520.65	44			44	MS
Component 5 (Management)	380,000	227,080.28	60			60	
Total	8,030,000	5,749,916.23	71	2,731,344	1,836,364	70	MS/MU

F63. MTR found no changes to the allocated funds by outcome.

F64. MTR found that VCAP has appropriate financial controls. However, financial reporting has not managed to influence cost-effective management practices to make informed decisions regarding the budget (see table 8), in spite the fact that the financial information is presented in timely fashion to the board meetings and PUI is monitoring it "day by day". In terms of financial planning, MTR found some constraints related to timely financial flow, specially linked to inexperience with the financial disbursement process and its coordination, especially during the beginning of real execution (beginning of 2016).

F65. MTR found no clear evidence of co-financing. Project financial annual reporting and audit focused on GEF/UNDP financial contributions. This reporting does not seem to account for the co-financing received from project Implementing/Responsible Partners (Project Executive) in spite the fact that PIU informed the MTR that the Provincial government pays for labour at the AC office.

F66. Table 9 (provided by the PIU), shows national and local government contributions, as well as cost-sharing with JICA & SPC for component 1. However, MTR found no evidence regarding quarterly and annual financial reports related to co-financing executed by partners. Since co-financing flow cannot be traced, it misses the opportunity to use co-financial issues strategically to help the objectives of the project.

F67. MTR found no activities or elements that indicate the Project Team having active meetings with partners or potential partners from civil society, private sector, international cooperation or NGOs, etc. At least, not as a part of the partnership strategy defined previously and clearly executed systematically, in order to achieve co-financial partnerships related to VCAP objectives and outcomes; however PIU has reported that there is a letter of agreement for cost-sharing with JICA & SPC – Component 1, of

<sup>7</sup> Including 2018 expenditures.

almost 3 millions of dollars. This co-financing is not given directly to the project but it's implemented through their respective partners that implements project directly at some of the sites where VCAP is working.

<b>Table 9. Co-financial information</b>												
<b>Item</b>	<b>GEF</b>			<b>UNDP</b>			<b>National and Local Government</b>			<b>Other partners</b>		
	<b>Budget</b>	<b>Actual</b>	<b>%</b>	<b>Budget</b>	<b>Actual</b>	<b>%</b>	<b>Budget</b>	<b>Actual</b>	<b>%</b>	<b>Budget</b>	<b>Actual</b>	<b>%</b>
Component 1	6.000.000	4.429.525	74	1.731.344	907.226	52	23.412.771	18.730.216	80	3.074.000	74.000	2
Component 2	1.000.000	897.139	90				420.000	420.000	100			
Component 3	300.000	43.650	15	1.000.000	377.628	38	168.000	84.000	50			
Component 4	350.000	152.520	44									
Component 5 (management)	380.000	227.080	60				252.000	126.000	50			
<b>Total</b>	<b>8.030.000</b>	<b>5.749.916</b>		<b>2.731.344</b>	<b>1.836.364</b>		<b>24.252.771</b>	<b>19.360.216</b>		<b>3.007.400</b>	<b>74.000</b>	

#### 4.3.4. Project-level monitoring and evaluation systems

F68. The VCAP's tracking tool provided for MTR analysis, collects some basic information for decision making but not enough. The MTR found that VCAP's tracking tool managed by the PIU does not have quarterly milestones defined and there are no performance indicators, which degree of fulfilment ideally should have been tied to the amount to be disbursed, ensuring better levels of effectiveness, efficiency, coherence and sustainability in execution.

F69. The VCAP's tracking tool managed by the PIU, has not defined failure or success thresholds (like a traffic light: red, yellow and green) or related warnings to take management decisions in timely fashion. In this regard, VCAP's tracking tool managed by the PIU shows a faulty concept design and little suitability within the RBM framework.

F70. MTR has no evidence that VCAP's tracking tool managed by the PIU, is aligned with or mainstreamed in some oversight national system or M&E; despite the fact that it was promised in the PRODOC, page 37 paragraph 151.

F71. MTR found that VCAP's tracking tool managed by the PIU, has left out the participation of institutional beneficiaries and communities in the M&E process. Given the RBM approach and from a Human Rights and Gender Equality approach (United Nations Evaluation Group, 2014), the process of Monitoring and Evaluation needs to be conducted also with the direct participation of involved beneficiaries in the following three ways: (i) data collection for monitoring and analysis, (ii) reporting and (iii) accountability. In this regard, VCAP needs to correct this urgently because it greatly impacts capacity building and empowerment.

F72. MTR found that the M&E process related to VCAP's tracking tool managed by the PIU (as a base for planning and reporting) is too focused on activities and outputs, and little focused on explaining the reasons why these activities are implemented and why the outputs are needed. This was evident at local and community level; people supposedly involved in VCAP activities have very little knowledge about VCAP and surprisingly at Torres, the person accompanying the MTR had to explain what the VCAP is.

It is important that in all quarterly reports, each activity is explained in direct relationship to the outcome (how the activity contributes to the outcome); this explanation should reflect the direct viewpoint of final beneficiaries and implementers as a matter of fact.

F73. MTR considers that the resources allocated to M&E were well calculated but are underutilized because the task of M&E has been assumed to be a technical/bureaucratic

activity, without beneficiaries and user participation. For example, given the RBM approach and from Human Rights and Gender Equity considerations, the process of Monitoring and Evaluation needs to be executed with the direct participation of involved beneficiaries, as described in F59. PRODOC has this fact described very well in many pages, just to mention some:

- "... including the requirement that **women be actively involved in activity planning and monitoring**". (PRODOC, page 31 paragraph 125).
- "V-CAP will focus on the delivery of fully integrated approaches to coastal community adaptation that build resilience to climate change in Area Councils in all six-provinces of Vanuatu. These sites will demonstrate **fully integrated planning, implementation and monitoring processes from community to Area Council level**, that are effectively linked with provincial development planning processes". Page 37, paragraph 151.
- "The taboo areas could make a much more valuable contribution to fisheries resource management and provide greater conservation value **if communities managing these areas received additional assistance in planning, training, enforcement and monitoring and evaluation**". Page 40, paragraph 173.
- **Develop and implement an overall monitoring and evaluation plans** for the roll out of works in each of the site, incorporating training and capacity building activities for local communities and provincial authorities". Page 50, third paragraph.

#### 4.3.5. Stakeholder engagement

F74. The MTR found that VCAP has developed and leveraged the necessary and appropriate partnerships with direct stakeholders, especially with national and local governmental institutions. However, MTR has noted that VCAP **has difficulties** to mobilize indirect stakeholders, such as national and international NGOs, international organizations, private sectors and community beneficiaries.

F75. MTR has observed that VCAP is a country-driven project, where local and national government stakeholders are supporting the objectives of the project and continue to have an active role in project decision-making. In this regard, a big challenge is to transform this support in a more efficient and effective project implementation, analysing and mainstreaming lessons learnt from these 2 years since the project started.

F76. The most highlighted factor related to public awareness is Project visibility, good media agenda incidence and the setup of good signage at the sites where infrastructures were built and "taboo areas" defined. On the other hand, it's important to highlight the awareness actions organized with the participation of schools and the talks held with communities during project design and even implementation of some of the activities. There is no doubt that these awareness actions are contributing to making progress toward the project objectives.

#### 4.3.6. Reporting

F77. MTR mission has found that management arrangements have not changed and still are the same as described on project document and they seem to be sufficiently clear for managers and executors. Especial mention goes to well defined multiannual programming (project implementation schedule 2014-2019), which links strategy to execution, and clearly defines key responsibilities linked to necessary collaborations to achieve each output and outcome, and planned timing with commitments as well.

- F78. However, the MTR found that the executors and managers did not define quarterly milestones and annual performance indicators, whose degree of fulfilment should have been tied to disbursed amount in order to ensure better levels of effectiveness, efficiency, coherence and sustainability in the execution (e.g. if 55% of quarterly milestones are fulfilled the corresponding disbursement is 55% of planned disbursement; in this way, managers, implementers and the project board, will work closely to fulfil 100% of milestones in order to achieve 100% disbursement).
- F79. Project Team and partners fulfil GEF reporting requirements; however, these reports have limited use in terms of adaptive management. The PIR has less effectiveness because some actions are mentioned in a repetitive way without mentioning the factors that difficult its execution. For example, the argument that referring to VCAP's support of Policy's component nº3; the arguments that refer to CDC in component 1 (just to mention some). On the other hand, PIR does not reflect the problem of sustainability. For example; some FAD (Fish Aggregating Devices) have floated away because of ocean conditions; local fishermen were taught to make FAD with locally available materials (bamboo, etc) and deployed several of these FAD with the assistance of Fisheries. When the FAD floated away, local fishermen did not organize to re-build the FAD themselves following the teachings of the workshops. In this regard, PIR is not used as a tool to learn and correct difficulties or to face challenges.
- F80. MTR found that VCAP use a "lessons learn template". However, this kind of form is used to just to add information that supposedly was previously processed using a clear concept of systematization, corresponding methodology and training to rescue experiences and lessons learn, and only then, entering the information on the form. But the essential reason to rescue experiences and lessons learn is not to fill the template; it is to apply these lessons learnt to PIU's management process and to share them with key partners to promote actively their mainstreaming in their institutional management procedures. These last applying procedures were not observed by MTR.

#### 4.3.7. Communications

- F81. Regular and effective communication implies dialogue but also, it implies a space or mechanism for common analysis, feedback and share decision making. MTR has found that communications are regular and effective, with some limitations, for those stakeholders directly involved in VCAP execution. An indicator of the limited effectiveness of project communication is the vacuum or not accountability of co-financial responsibilities of governmental institutions and of necessary community counterparts<sup>8</sup>. This limitation has a low impact on their awareness about necessary investment required for the sustainability of project results.
- F82. On the other hand, some stakeholders such as NGO's, Private Sector, International Organizations and communities, are left out of this type of regular and effective communication, using instead communications characterized by emission and reception of information. This unidirectional communication with stakeholders has low impact on their awareness of project outcomes and activities and of the investment necessary for the sustainability of project results.
- F83. External project communications are well established. MTR has found that VCAP has a good web site and makes good media incidence to express the project's progress and intended impact to the public.
- F84. VCAP has defined the so-called "Community Planning and Sector-Based Priority Setting" (fishery, agriculture, public transport, government and conservation), performing

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<sup>8</sup> E.g.: the co-financing is not being used strategically to help the objectives of the project. This does not mean that co-financing is not occurring, simply it means that Project Team communications about this essential issue, such financial to achieve outcomes, is not occurring with co-financing partners regularly in order to align financing priorities and annual work plans. This has happened because the accounting process does not include the co-financial responsibilities of governmental institutions.

investment in road works, pedestrian crossings and local government office building. Has supported to establishing the 24/7 weather forecasting and public advisory services, as an important component of National Early Warning System, upgrading weather-monitoring network with 6 new AWS.

F85. VCAP has built agriculture nurseries, demonstrative fields for new crops and improvement of pig livestock and poultry. It supported land and sea "taboo areas" definitions, installed several Fish Aggregating Device, delivered solar freezers and provided water supply systems and water harvesting facilities.

F86. In addition, VCAP has supplements and protects infrastructure outputs by means of soft measures (protecting coastlines and roadways), provides skills and resources for infrastructure strengthening, by providing opportunities for government line agencies to deliver services to community level, and supports actions to integrating income security approaches.

F87. Ratings for Project Implementation & Adaptive Management

3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to an efficient, effective and adaptive implementation, with most components requiring remedial action.
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#### 4.4. Sustainability

F88. The risks identified in the Project log-frame are important, but VCAP doesn't have an early risk warning tool (as part of M&E system) to be applied in appropriate and timely fashion to avoid or reduce identified risks.

F89. In addition, some identified risks are simply the negative restating of assumptions and are issues that clearly can be controlled by the project, both at project design level and/or during execution. The following are some examples extracted from PRODOC log-frame:

- Communication issues with outer islands interfere with effective planning and implementation.
- Project unable to identify suitable/acceptable support mechanisms for communities
- High cost of working in outer islands makes interventions uneconomic
- Unable to attract and retain suitable staff
- Ridge to reef management approaches not able to demonstrate impact in five-year time frame
- Uptake of knowledge is low and resilience not significantly improved
- Local communities are not willing to incorporate local adaptation responses into plans
- Access and communication is difficult with selected sites
- Communication materials are not able to reach target communities

F90. All PIRs have described critical facts that risk the project execution as planned. For example, it is important to highlight the factors that hindered the project from starting on time, as described from start point, PIR 2016:

- Cyclone Pam which hit Vanuatu in March 2015 delayed the implementation of project activities at the respective sites.
- There was a major delay in the recruitment of project staff, which further delayed the coordination of project activities. The project was able to fully recruit all project staff between November 2015 and March 2016, even though the project document was endorsed in November 2014.



- The interim staff was overloaded with PMU responsibilities apart from their own deliverables. The delay in staff recruitment was also due to the replacement of the General Manager of the Implementing Partner, affecting decision-making.

F91. In 2017, it is important to highlight that works delays were caused by 2 tropical cyclones, delaying work contracts, including the installations of Automatic Weather Stations and the on-going output activities at all project sites throughout the Country.

F92. In addition, in 2017 the normal financial procedures affected the project's execution expectative because of the approval time required by UNDP and the Vanuatu Government. For example, the 2017 PIR explains that once the required documentation has been approved to request new funds, it takes UNDP about 2 weeks to release quarterly funds and the Government's financial system process takes from 2 to 3 weeks to clear the funds. This process slows down the expected speed of implementation and output activities on ground.

F93. MTR found that this financial circuit is an important limitation for quarterly management times.

#### **4.4.1. Financial risks to sustainability**

F94. As a result of the lack of verifiable co-financial verifiable information, MTR has observed high uncertainty about the likelihood of financial and economic resources being available once GEF's assistance ends.

F95. On the other hand, MTR has not found evidence of the availability or potentiality of resources (from multiple sources, such as the public and private sectors, income generating activities and other funding) that could be adequate to sustaining project's outcomes and currently, the evidence indicates that there's a likelihood that it will not be available once GEF's assistance ends. It is highly recommended that VCAP works on:

- Focal groups of producers to provide training in financial management of small business and supporting the implementation by these groups of productive activities based on this approach; otherwise, it is not possible to demonstrate actions to sustain or support project's outcomes once VCAP ends.
- In addition, it is useful to demonstrate that government institutions have incorporated the maintenance of infrastructure and equipment in their plans and budgets; otherwise, it is not possible to demonstrate actions to sustain or support project's outcomes, once VCAP ends

#### **4.4.2. Socio-economic to sustainability**

F96. There are three main social risk that may jeopardize sustainability of project outcomes:

- The VCAP process for "Community Planning and Sector-Based Priority Setting", was not perceived by the community as a planning process and surprisingly, VDCs interviewed by MTR manifested that they did not have a plan.
- On the other hand, a process to identify priorities of investment, like the one that took place under the "VCAP Community Planning and Sector-Based Priority Setting", can't be equated with a strategic participative process to planning CCA and DDR. VCAP needs to correct this planning process urgently.



- VCAP shows difficulties to gain the commitment from final beneficiaries and institutions to ensure the sustainability of works, equipment and other project benefits.

F97. There is one main policy risk that may jeopardize sustainability of project outcomes. Related to Outcome 3.1, the process for mainstreaming Climate change adaptation in Policy, Strategy and Plans, inclusive of gender and social inclusion considerations and a reform agenda established to incorporate climate change into key sectors (NICZM Framework, revised EIA policy and legislation, and 1 additional sectorial policy recognizing and incorporating CC), is addressed as a technical process of definitions, which is not being nourished by the experiences of VCAP and by a participative process that involves private sectors, local governments, communities and international agencies, in terms of seeking their strong engagement to Policy reform and implementation.

F98. The MTR estimates that the level of stakeholder ownership remains low and currently is insufficient to allow for the project outcomes/benefits to be sustained. For example, local fishermen were taught to make FAD (Fish Aggregating Devices) with locally available materials (bamboo, etc.) and deployed several of these FAD with the assistance of Fisheries. When the FAD floated-away, local fishermen did not re-build the FAD following the teachings from the workshops.

F99. VCAP not only needs gratefulness. It needs real commitments from national and local institutions related to the allocation of resources (official budgets) and efforts (institutional work plan) to sustain project benefits; and from VCAP also needs some counterpart signs from the private sector and communities, in terms of specific commitments to be taken care of, maintained and to develop VCAP's benefits. These are the key challenges facing VCAP for the remaining period.

F100. It is very important that various key stakeholders generate actions and take clear measures that demonstrate their interest in having the project's benefits continue to flow. For example, institutions including in their official budget and work plan the care, maintenance and continuity of VCAP benefits. At the same time, it is quite important for VCAP to increase the media incidence to public / stakeholder awareness in support of the long-term objectives of the project and to increase their engagement to sustain project benefits.

F101. MTR found no evidence about the existence of tools and actions to systematize lessons learned and to documented on continuous basis and for these to be shared / transferred to suitable who could learn from the project and potentially replicate it and/or scale it in the future.

#### **4.4.3. Institutional framework and governance risks to sustainability**

F102. MTR found no legal frameworks, policies, governance structures and processes, which can pose risks or jeopardize the sustenance of project benefits. It is important to mention that required mechanisms for accountability, transparency, and technical knowledge transfer were not in place and this can pose risks or jeopardize sustainability of project benefits.

#### **4.4.4. Environmental risks to sustainability**

F103. MTR has not detected any environmental risks that may jeopardize sustenance of project outcomes.

#### **F104. Ratings for Sustainability**

2	Moderately Unlikely (MU)	Significant risk that key outcomes will not be carried on after project closure, although some outputs and activities should carry on
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#### 4.5. Analysis review of gender sensitivity in Mid-term Review

The MTR mission has reviewed how gender considerations have been mainstreaming into a project's design, monitoring framework, and implementation, as well as points to address the potential impact of project interventions on gender equality and women's empowerment.

##### **Points related to Project Design and Preparation:**

F105. MTR has found relevant gender issues (e.g. the impact of the project on gender equality, involvement of women's groups in project activities), reflected in a Gender Strategy for VCAP. To develop this strategy, gender specialists and more than 30 women groups throughout the project design and preparation were consulted. However, Gender strategy has not been reviewed actively during implementation and MTR has observed that project budget does not include funding for gender-relevant outcomes, outputs and activities.

##### **Points related to Project Monitoring:**

- F106. MTR observed that the project did not capture gender results, despite some indicators mentioning the need to provide an account disaggregated by sex and age.
- F107. Specific targets set up to guarantee a sufficient level of gender balance in activities (e.g. quotas for male and female participation) are not taken into consideration in the project's results framework.
- F108. The project's results framework shows an important lack of gender sensitive indicators. In this regard, VCAP missed the opportunity to provide a more contextual understanding of the needs, access conditions and potential for the empowerment of women and girls and men and boys.

##### **Points related to Project Implementation:**

- F109. The gender balance of project staff is disadvantageous. There are 3 women and 15 men. MTR did not find any actions to ensure gender balance in project staff.
- F110. The gender balance in the Project Board is not bad but may need improvement.

## 5. Conclusions and Recommendations

The four categories of analysis (status of the outcome, factors affecting the outcome, Project contributions to the outcome, and Project partnership strategy) led the evaluation mission to formulate recommendations. These recommendations include suggestions for improving stakeholder work concerning the achievement of the outcomes and the synchronization of the lessons learned that could help project stakeholder design activities in the same outcome but in different regions and activity sectors.

### 5.1. Conclusions

#### Project strategy

- C1. The project was conceived with a very high sense of responsibility with respect to the development challenges that people of Vanuatu face related to the context of climate change, incorporating lessons from other projects, while providing a core contribution to national priorities (NAPA); and to fulfil Vanuatu's international commitment toward adaptation to climate change (Paris Agreement), Disaster Risk Reduction (Sendai Framework) and SDGs.
- C2. Project benefits achieved up to now are contributing to solving some baseline sustainable development problems, pointing toward adaptation to climate change impacts, such as improve access to food security, fresh water availability, enhance local productivity, protect natural resources and improved access to health, education and market facilities by the improvement of conveyances.
- C3. Project design has two basic errors: first, believing that a problem exists when something is missing, assuming that if the project provides what's missing the problem will be resolved. Second, an unclear strategy in terms of defining clear and strong commitment to changes needed to achieve the project's objective.
- C4. VCAP strategy has been influenced by a "technocracy" approach, which assumes that models and plans are an objective or outcomes by themselves. On the other hand, the main underlying assumption to manage the project has been the idea of delivering works, equipment and materials; paying little attention to making a deep reflection with institutional teams and communities about local scenarios of climate change impacts on people's livelihoods and on population, and project investment contributing to face climate change impacts at local level.
- C5. The private sector has not been involved as a project partner to build adaptation capacities in their business actions.

#### Progress towards the results

- C6. The so called "VCAP Community Planning and Sector-Based Priority Setting" made based on the "Methodology for VCAP Community Vulnerability Assessments, CCA Plans & Participatory Engagement Tools", can't be equated to a community strategic plan for climate change adaptation. Basically because "strategy" and "Climate Change" are concepts that call for mid-to-long term planning (from 5 to 20 years or more) based on specific climate change hazard scenarios at local level related to projected future vulnerability scenarios to design a strategy of suitable adaptation.
- C7. There are still big challenges to development-based disaster risk reduction and climate change adaptation for VCAP managers and implementers. Conceptual, methodological and technical difficulties and current challenges may have their roots in the lack of an International Senior Technical Advisor and the absence of an experienced National Climate Change resilience specialist and a Community Support Advisor and Climate Change Adaptation Policy Specialist. However, it is important to

recognize in this regard the roll of "VCAP Technical Specialist", whose post has mitigated these challenges.

- C8. VCAP has had significant delays in its implementation, some of them caused by the impact of cyclone PAM in March 2015 resulting in a 10-month delay. In addition, at the beginning of 2017, two additional tropical cyclones caused further delays in work contracts and in on-going activities at all project sites. VCAP was able to recover the time lost caused by the cyclone and the project was executed.
- C9. The project shows low performance. The level of expenditure is high, the time remaining is very short and the progress to outcomes goes from moderate unsatisfactory to moderately satisfactory. Given these conditions, MTR considers that is highly probable that no targets will be achieved by June 2019.
- C10. In this context, achieving the results is massive work but it may be possible. It will be desirable for VCAP to be extended for 10 additional months (from Jun 2019 to April 2020), but given the financial situation this appears highly difficult. In this regard, managers/executors must intensify their work, transcending the technocratic and paternalist approach, and work to empower the people to make their own decisions about what kind of future they want to inherit and in consequence, what kind of changes they want now, given the current impact of climate change and future risk scenarios.
- C11. In its support, MTR has proposed some adjustments to be made to project indicators to ensure that all indicators are SMART and will contribute to conceiving outcomes as a change, in coherence with project objective and as mandated by the Result-based management approach, defined by the UNDP/GEF.

## **Gender**

- C12. MTR agrees with the project team that VCAP can include gender sensible 'development benefits' indicators, including sex-disaggregated, focused on small-scale income security and productive diversification, that women may be interested on based on the community's specific needs. For example:
- Replanting of pandanus in areas with limited supplies (for mat and basket weaving)
  - Vegetable gardens for women
  - Seamstress, repair or provision of sewing machines, etc
  - Organization of a market committee and financial training
  - Painting, handicrafts
  - Backyard ponds (aquaculture)

## **Project implementation and adaptive management**

- C13. For the MTR, there is no doubt that implementers and responsible parties have co-financed VCAP actions, but this fact has become invisible in all reports and therefore, it seems there is no fulfilment of this commitment. In this regard, it is very difficult to demonstrate to what extent the benefits of VCAP are important for national, provincial and local stakeholders (both institutional and communities), and it does not either give signs of the continuity and sustainability of project benefits, on the part of institutions and communities. VCAP needs to resolve this issue by including project co-financing in the VCAP's accounting and audit reports, and by getting concrete commitments from government institutions to include the care and maintenance of equipment and infrastructures in their work plans and budgets.
- C14. In the institutional context, the "National Implementation Modality" was a bold decision and undoubtedly the lessons to be learnt have a high value for implementers, especially in themes such as result-based management, climate

change and strategic community planning for CCA and DDR. However, PIU and stakeholders have to make an effort to systematize in a participative way the VCAP experiences and documenting them.

- C15. The sectorial coordinators generate tasks that national institutions should assume and PIU needs to deliver them as soon as possible as a part of an exit strategy. In this regard, this is an important issue to be addressed urgently by the project Board to improve capacity building and sustainability.
- C16. Given the financial situation and remaining time to close the project, it is highly recommendable for sectorial coordination responsibilities to be transferred to national institutions, gradually but continuously.
- C17. It is quite important that VCAP resolve in transparent manner the absence of an International Senior Technical Advisor to face the current challenges, ensuring the project's sustainable success and exit strategy. To this respect, it is recommendable the hiring of an International Senior Technical Advisor with more than 10 years' experience on Climate Change Adaptation and Disaster Risk Management to support PIU in facing the challenges in this field of knowledge, while designing and executing an exit strategy and including a resource mobilization strategy as well.

## **5.2. Recommendations**

### **5.2.1. Corrective actions for implementation**

Indicators at project objective level should reflect more of the positive development effects expected through implementation and achievement of project objective. On the other hand, indicators at outcome level need to be clearer about what is the change that they seek to achieve and should be more focused on Result-based Management and in summary, be SMART.

Taking in account these planning/managing criteria and considering the progress observed, the difficulties, challenges and the achievements, as well as the financial availability and the time remaining to close the project, MTR has considered to propose an adjustment in indicators but specially in the "targets at end of project", in order to put the project on track with the objective aimed at an exit strategy.

	Indicators	Targets end of project	Indicator Modified	Modified targets end of project	Comments
R1	<b>Project Objective: To improve the resilience of the coastal zone to the impacts of climate change in order to sustain livelihoods, food production, preserve, and improve the quality of life in targeted vulnerable areas.</b>				
	Number of vulnerable communities/villages/areas with enhanced resilience to climate change through effective planning and action for climate change	30 villages in 8 Local Area councils designing and implementing effective CC adaptation plans to enhance CC resilience	Number of fishery assets, small livestock breeds and new resistant crops introduced to diversify community incomes and increase food security.	At least 8 FADs, 8 solar freezers, 30 technological packages have been delivered consisting of small and improved livestock breeds and new resilient crops; including training on the use and maintenance of these assets.	This modification does not reflect a downgrade from the original "Targets end of Project"; instead, it reflect more on the positive development effects expected through implementation and will indicate both project objectives achieved and impact factors to be worked on to achieve the outcomes. On the other hand, the original indicator is not missing because it is present in project outcome 1, 2 and 3.
	Policies in place to support Climate change adaptation enabling policies and supportive institutions in place	Integrated coastal zone management framework incorporating resilience through climate change adaptation supported by appropriate sectorial and cross-sectorial policy and legislation.	Number of people benefited from having better access to markets, schools and health facilities which was provided through the resiliency of public works assets (rural roads, bridges, water crossings, etc.)	A total of 25,000 community members with better access to markets, education and health facilities	
			Number of protected areas established in the coastal and upland areas that assist to preserve water, provide for food and protection against climate and coastal hazards.	At least 8 protected areas in coastal areas and other 8 in upland areas linked by biological corridors under the R2R approach, have been established with the clear endorsement of surrounding communities	
	Percentage of population in target sites covered by an effective 24/7 early warning system	100% of Vanuatu population receives high quality early warning in timely manner through multiple communication lines	Not modification		Achieved
	Outcome 1.1. Integrated CC-Adaptation plans mainstreamed in the coastal zone				
R2	Development of Community CC-Development Adaption Strategies (CCCADS) at village level using common indicators across all project sites	30 Community CC- Development Adaption Strategies (CCCADS) at village level using common indicators across all project sites	Community CC-Development Adaptation Strategies (C3ADS) at village level using common indicators across all project sites, reflecting management actions and norms for coastal, up-lands, waters, infrastructures and disaster preparedness related to EWS.	At least 30 C3ADS at village level using common indicators across all project sites, including gender and social inclusion.  The 30 C3ADS are framed into the recently approved Vanuatu Climate Change and Disaster Risk Reduction Policy 2016-2030.  At least 30 C3ADS have defined development target-image for 2030 linked to a strategic result framework, an implementation program for 2019-2022 with performance indicators and execution action plan for 2019 with clear milestones.	These modifications are not reflecting a downgrade from the original "Targets end of Project"; on the contrary, they are driving the implementation to link project's community interventions to recently approved Vanuatu Climate Change and Disaster Risk Reduction Policy 2016-2030. On the other hand, these modifications are driving VCAP's intervention to a more comprehensive and strategic viewpoint of planning at local/community level and to focus this

	Indicators	Targets end of project	Indicator Modified	Modified targets end of project	Comments
					planning into a more Result-based Management and not just identifying intervention priorities.
<b>R3</b>	Community Disaster Committees established and operational with specific plans developed in targeted communities and at Area Council level	CDC established and operational in at least 30 communities, 8 Area Councils & 1 District.  8 Area Councils with operational Disaster Plans and equipped to respond to enhance resilience to climate related natural disasters.	No modified	At least 30 CDC has been established in VCAP sites, equipped and trained. 8 Area Councils & 1 District also equipped and trained.  8 Area Councils with operational Disaster Management Plans and are equipped.  At least 40% of trained people are women	These modifications are not reflecting a downgrade from the original "Targets end of Project". On the contrary, modifications are detailing a gender focus and others just modify the description but the numbers are the same.
<b>Outcome 1.2. Improved climate resilience of coastal areas through integrated approaches</b>					
<b>R4</b>	Length of coastline placed under improved integrated coastal management to improve ecosystem-based adaptation.	Community Integrated Coastal Zone Management Plans (CICZM Plans) established integrating "kustom taboo" areas to enhance ecosystem resilience food production and livelihood support for local communities in 30 locations.  Six additional Community Conservation Areas (CCAs) to national PA network  Taboo areas / CCAs/ MPAs linked together through Area Council ICZM Plans to ensure integration of planning processes  Knowledge sharing and integrated development of coastal area.  Community, including women and youth, participating in the monitoring, evaluation and management of CICZM Plans in 30 sites.  Improve ecosystem resilience and health	Number of ecosystem-based fisheries management actions, are clearly integrated with the Community CC-Development Adaptation Strategies (C3ADS)	30 communities have defined "Taboo Area" in the coastal areas, where there were previously no protected areas and implementing ecosystem-based fishery actions along the sea-use areas.  At least 30 Villages Development Committees (VDC) has the knowledge and suitable tools to monitoring and to evaluate successes, difficulties, benefits and challenges from ecosystem-based fishery and "taboo areas".  At least 40% of people trained are women who will be able to implement ecosystem-based fishery monitoring and evaluation.	These modifications are not reflecting a downgrade from the original "Targets end of Project". Essentially, these modifications are driving that VCAP's community interventions, toward increasing the total hectares of new Taboo Areas (in the land or sea) linked with C3ADS and with specific task for CDC responsible for monitoring and care the new Taboo Areas. In addition, modifications are detailing a gender focus.
<b>R5</b>	Enhanced resilience of terrestrial coastal areas to minimize erosion, provide	Development of 30 Upland Management CCA Plans (UMCCAP) for coastal catchment with actions	Number of communities that have defined "taboo areas" in up-lands and are implementing Land Degradation	In project-selected sites, communities are managing sustainable community water systems, increasing water security for	These modifications are not reflecting a downgrade from the original "Targets end of

	Indicators	Targets end of project	Indicator Modified	Modified targets end of project	Comments
	clean water resources to both communities and ecosystems enhancing the livelihoods of coastal communities	<p>to reduce run-off resulting in improved turbidity of rivers, streams and coastal waters and a reduction of nutrient-rich sediment reaching the coastal area</p> <p>20 Erosion “hotspots” with action resulting in reduced erosion.</p> <p>Reduction in cases of water borne illnesses in communities affected by improved catchments.</p> <p>Enhanced agricultural productivity</p> <p>Increased water security for 2,000 people</p>	Neutrality (LDN) practices in their croplands.	<p>2,000 people.</p> <p>Intervention in at least 30 erosion “hotspots”, related to hydric sustainability of community water systems.</p> <p>30 Villages Development Committees (VDC) have defined "Taboo Areas" in up-lands and implementing actions/practices to Land Degradation Neutrality (LDN) in crops lands.</p> <p>At least 30 Villages Development Committees (VDC) are monitoring and evaluating the effects of Land Degradation Neutrality and "upland Taboo Area" in agricultural productivity and fresh water.</p> <p>At least 40% of training people and in charge of implementing, monitoring and evaluation of upland "Taboo Areas" and Land Degradation Neutrality (LDN) in crops land are women</p>	<p>Project". Indicator and targets end of project, are increasing the numbers and the quality of targets, including Land Degradation Neutrality (LDN) concept and methodology, in line with Paris Agreement and the INDC.</p> <p>On the other hand, modifications are providing specific task for CDC responsible for monitoring and care the new Taboo Areas. In addition, modifications are detailing a gender focus.</p>
R6	Number of public conveyances climate proofed to provide long-term use by vulnerable coastal communities	<p>10 pedestrian bridges established</p> <p>4 water crossings rehabilitated</p> <p>10 km of road rehabilitated</p> <p>6 pedestrian walking paths “climate proofed”</p> <p>Total of 10,000 community members with better access to markets, education and health</p>	No modification		
	Outcome 2.1. Reduced exposure to flood-related risks and hazards in the target coastal communities				
R7	Better quality accuracy and timeliness in weather forecasting, particularly for extreme events such as extreme rainfall events, storm surges, tropical depressions and cyclones informing EWS	<p>By the end of the project at least 100% of targeted V-CAP communities receiving timely and accurate early warnings of coastal hazards including floods, cyclones and other natural disasters and respond to early warnings and take the appropriate actions following the warning (disaggregated by gender and age).</p> <p>Better quality meteorological forecasting available for all people</p>	No modification		



	Indicators	Targets end of project	Indicator Modified	Modified targets end of project	Comments
		of Vanuatu			
<b>R8</b>	Strengthened capacity within VMGD to deliver timely climate related information to all communities in Vanuatu	Higher quality data available for meteorological forecasting available for all people of Vanuatu.  Better quality meteorological forecasting in Vanuatu, particularly in relation to extreme climate events	VMGD has established an effective 24/7 service for monitoring, forecasting and public advisory for early warnings, able to cover all Vanuatu territory.	VMGD has real time data flow received from 6 new Automatic Weather Stations.  At least 6 VMGD's staff member has received trainings to enhance data analysis, using up-grade computer systems to display satellites data and global/regional weather and climate models.  The 24/7 weather and coastal monitoring service has been established and works 100%, including procedures for Public Advisory Service under the WMO standards, linked with an Early Warning System at national level that provide direct support at least 30 CDCs.	These modifications are not reflecting a downgrade from the original "Targets end of Project"; instead they detail the quality (SMART) of outcome's measurement.
<b>Outcome 3.1 Climate change adaptation enabling policies and supportive institutions in place</b>					
<b>R9</b>	Number of sectoral policies, plans and strategies explicitly recognizing approaches to climate change adaptation and a reform agenda adopted.	Reform agenda established to incorporate climate change into key sectors.  NICZM Framework is finalized and approved Revised EIA policy and legislation.  1 additional sectoral policy recognizing and incorporating CC inclusive of gender and social inclusion considerations	Support delivered for Vanuatu Climate Change and Disaster Risk Reduction Policy 2016-2030 definition and is being implemented in at least 30 communities through C3ADS.	Training has been implemented using "Learning by Doing" methodologies, which include a systematization exercise of C3ADS.  Area Councils will use the methodological guidelines with the support of national institutions, which can be applied at village level too.  The methodological guidelines will develop a recognized traditional conservation practices and R2R approach.	These modifications are not reflecting a downgrade from the original "Targets end of Project"; instead is focusing the project efforts to implement a recent and specific policy in the VCAP's field of actions, providing a guide to linking the project's effort in communities and local government.
<b>Outcome 3.2 Human resources in place at the national, provincial and community levels</b>					
<b>R10</b>	Number of trained staff with sufficient resources to implement CC resilience and adaptation at the national, provincial and community levels	60 staff trained and implementing approaches to planning for integration of climate change into local level planning at provincial and community levels (gender-disaggregated data will be presented)	Number of trained staff in applying methodological guideline, to implement the Vanuatu Climate Change and Disaster Risk Reduction Policy 2016-2030 at village level.	60 staff trained at Provincial and Area Council level.  Training has been implemented using "Learning by Doing" methodologies, which include a systematization exercise of C3ADS.  The VCAP board approves the methodological guideline.	

### 5.2.2. Corrective actions for monitoring and evaluation

R11 The M&E tool needs to be improved, defining suitable protocols and procedures to be more participatory and inclusive for national, provincial and local stakeholders, and in this way increase the incidence of M&E tool for timely decision making. As described by SES, monitoring activities should involve the direct participation of affected stakeholders. Among others, monitoring activities should:

- Serve the purpose of lessons taught for future improvement and be flexible and adaptable.
- Use participatory tools that include target group narratives, especially women's narratives that are crucial.
- Track and assess reversals (a change to an opposite direction, position, or course of action) and capture impacts of Project actions.
- Assess contribution to change instead of attribution-based or responsibilities.
- Be tailored to timeframes to ensure realistic measurement and reporting.

How do you involve stakeholders in M&E?<sup>9</sup> Once key stakeholders, who in some significant way are involved in the programme or project during its lifetime and beyond, participatory evaluation, as a methodology, allows stakeholders to be the question-makers and not simply the objects or targets of evaluations. Participatory Evaluation and its main characteristics are:

#### Purpose/Function

- To help to build the capacity of stakeholders to reflect, analyze and act
- To contribute to the development and feedback of lessons learned that can lead to corrective actions
- To help to ensure accountability to stakeholders

#### Selection Criteria/Timing

- Projects or programmes that have a clearly identified group of end-users and beneficiaries
- Timing: usually mid-term but also towards or at the end; ex-post, too, but since not all stakeholders may be involved after project completion, the level of participation may vary considerably

#### Focus

- Relevance, performance and success, specific elements which depend on the timing and scope of the evaluation
- The process itself to involve stakeholders actively and directly in the evaluation

#### Agents/Participants

- Project or programme stakeholders
- Participatory evaluation facilitator acting as a catalyst or stimulator, managing but not directing the evaluation

#### Outputs

- Depend on the scope and timing of the evaluation
- Generally, these should include stakeholder views as reflected in the analysis of issues and in recommendations to resolve them

R12 Elaborate a simple systematization tool to be applied in participative fashion with stakeholders and the same time in a participatory M&E process. While these concepts and

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<sup>9</sup> Source: Adapted from UNDP, OESP, Who Are the Question-makers? A Participatory Evaluation Handbook, 1997. <http://web.undp.org/evaluation/documents/who.htm>

tools are different, they are closely related; the M&E is for the quantitative follow up of the project's implementation and systematization. It is a learning process based on experiences arising from project implementation process. The systematic approach towards M&E will answer 4 main questions: What did you want to do? How was it done? What resulted from it? Why did it turn out that way? Systematization is a methodology that facilitates description, reflection, analysis and documentation, in continuous and participatory manner, of processes and results of a development project. It allows us to learn from practical experience and to make better decisions. The lessons learned must be subsequently shared to generate new ideas<sup>10</sup>.

- R13 Link the VCAP M&E system to the oversight national system or government M&E system. As a key part of an exit strategy, VCAP needs to link its M&E system to the oversight national system or government M&E system. How to do this? The government counterpart committed to the project, has to be reflected on national/sectorial and institutional annual planning and budgets; and it also has to be monitored by a responsible national party. The way in which this national oversight system should be fed by progress information of activities is based on VCAP's M&E system and this is not taking place. Therefore, as a part of the exit strategy, VCAP's actions and benefits need to be incorporated into the National Planning System. This needs to be reflected in sectorial and institutional work plans and budgets. This is a clear demonstration of responsibility, sustainability and development of the VCAP benefits to the project implementing and responsible partners.

### 5.2.3. Actions to follow up or reinforce initial benefits from the project

- R14 In order for each C3ADS to be a real strategic tool, we need to define a future community development target image, which serves to guide the conception and prioritization of resilient actions. A Sustainable Community Development Target-Image is a vision about welfare and the harmony that a community wants to achieve as the main legacy they will leave for their children and grandchildren. The Target-Image is described in words as ideas, and these ideas are depicted in a drawing and/or map representing the future which people and local authorities will aspire to achieve together. In a few words, the community's target-image is the Local version of the Vanuatu Climate Change and Disaster Risk Reduction Policy 2016-2030.
- R15 Once a target image has been defined, the next step is to analyse and define the obstacles and risks on the road to achieving the target image.
- R16 At this point, related to target image definition, the assessment of livelihoods sustainability and vulnerability is quite relevant in relation to natural and environmental hazards that can disturb, divert or block the achievement of the target image. For this purpose, it is compulsory to have defined the future Climate Change impact scenarios for 2030 (at least), established at local level by downscaling climate data from regional level. If the VCAP is not doing this, it is quite difficult to refer "appropriate adaptation actions" in the project framework. Therefore, the recommendation is: The target image needs to be contextualized with current and future Climate Change Risk at local level, expressed on maps no bigger than a pixel of 5x5 km. It means that VCAP needs to downscale global and regional climate models to local scale. This knowledge is currently in the national weather services; and if they have or can develop these capacities in Vanuatu VMGD, it will be a very good demonstration of their capacities having improved through the VCAP. If the VMGD cannot participate in this process, there are several internet sites to do so. We recommend the World Bank's site, which is very user friendly and a person with middle knowledge of climate change, can learn to do it very fast. Therefore, use this site only in case the VMGD has difficulties downscaling or better yet if the VMGD can participate also:

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<sup>10</sup> For more information: <http://educacionglobalresearch.net/wp-content/uploads/02B-lara-Ing1%C3%A9s2.pdf>, <http://educacionglobalresearch.net/wp-content/uploads/06-lara-1-English.pdf> and <http://www.kstoolkit.org/Systematization>

[http://sdwebx.worldbank.org/climateportal/index.cfm?page=country\\_historical\\_climate&ThisRegion=Australia&ThisCCCode=VUT](http://sdwebx.worldbank.org/climateportal/index.cfm?page=country_historical_climate&ThisRegion=Australia&ThisCCCode=VUT)

- R17 When target-image and related risk assessment have been analysed and defined contextualized with climate change local scenario for at least 2030, the next step is to define the Strategic Result Framework and achieve the "3CADS Target-Image". Only then, the draft of 30 Community Climate Change Adaptation Development Strategy (C3ADS) can acquire a real strategic dimension for resilient development and adapted to climate change.

#### **5.2.4. Proposals for future directions underlining main objectives**

- R18 VCAP needs to prepare urgently an exit strategy which should have been done during the start of the project and no later than December 2018. This exit strategy has to consider that sectorial coordinators' responsibilities must be shifted progressively to or be under national institutions responsibility (in technical, financial and contractual terms)
- R19 It is important that co-financial information needs to be reported in the PIRs and at least considered in audit reports made by VCAP, as part of project financial implementation.

## 6. Annexes

### 6.1. MTR ToR (excluding ToR annexes)

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled Adaptation to Climate Change in the Coastal Zone in Vanuatu – VCAP (PIMS# 4866) (Atlast#00082472) implemented through Ministry for Climate Change Adaptation, Meteorology, Geo-hazards, Environment, Energy and Disaster Management (MCCMGEEDM) which is to be undertaken in March 21st 2018. The project started on the 17 November 2014 and is in its 4th year of implementation. This ToR follows the UNDP-GEF Guidance on MTRs.

This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects.

#### 1. PROJECT BACKGROUND INFORMATION

The Government of Vanuatu has been proactive in global and regional dialogues on climate change and finalised its National Adaptation Programme of Action (NAPA) in 2007. For this reason, the VCAP project was developed to explicitly address three of eleven priorities identified in the NAPA including: 1) community-based marine resource management, 2) integrated coastal zone management, and 3) mainstreaming climate change into policy and national planning processes.

The Vanuatu Coastal Adaptation (VCAP) project is providing valuable opportunities to the Vanuatu Government to increase the resilience of its communities to future climate change induced risks such as declining coastal and marine resources and intensifying climate related hazards. To address the priorities of NAPA, VCAP is focusing on five of the adaptation options including: i) development of provincial / local adaptation and ICM plans, ii) climate proofing of infrastructure design and development planning, iii) development of an efficient early warning system, iv) awareness raising and capacity building, and v) coastal re-vegetation and rehabilitation.

The overall objective of VCAP is improve the resilience of the coastal zone and its communities to the impacts of climate change to sustain livelihoods, food production and preserve and improve the quality of life in targeted vulnerable areas.

VCAP has been focusing on improving community level adaptation to climate change to address major environmental and associated socio-economic problems facing coastal communities impacts by climate change such as land degradation, biodiversity loss and reef destruction, all of which severely undermines prospects for sustainable development and threaten the food security of communities.

VCAP has supported information and early warning systems on coastal hazards to address the current lack of systematic analysis and predictions of climate-related events. This is to allow coastal communities to be less vulnerable to the effects of climate change with improved information management and data dissemination systems in place.

#### 2. OBJECTIVES OF THE MTR

The modified MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document<sup>2</sup>, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

### 3. MTR APPROACH & METHODOLOGY

The MTR should provide evidence-based information that is credible, reliable and useful. The MTR reviewer will review relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the reviewer considers useful for this evidence-based review). The MTR reviewer will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed by the Project Team before the MTR field mission begins.

The MTR reviewer is expected to follow a collaborative and participatory approach<sup>3</sup> ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.<sup>4</sup> Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to Annex 1 list provided; executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR reviewer is expected to conduct field missions to Vanuatu to meet with those key stakeholders involved in the project and visit at least 3 project sites (Epi, Torres and Aniwa) as selected by Vanuatu government where project activities are currently being implemented. The consultant will also be expected to present initial findings and draft report during the Board meeting in June 2018.

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

### 6.2. MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)

Evaluative Questions	Indicators	Sources	Methodology
<b>Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?</b>			
What are the Development problems where the project seeks to impact?	<b>Target development problems.</b>	Project documents, national policies/strategies, UNDAF, websites.	Document analysis.
Have you observed some change in this problematic situation?	<b>Change in problems addressed by the project.</b>	National level stakeholders, UNDP CO.	Interviews and/or meetings.
How the project can contribute to solve this Development problem?	<b>Project contributions</b>	National stakeholders, Project documents, national policies or strategies, UNDAF.	Interviews and/or meetings. Document analysis.
Which is the most effective route towards expected results?	<b>Critical path toward results.</b>	National level stakeholders.	Interviews and/or meetings.
Were lessons from other relevant projects properly incorporated into the project design?	<b>Lesson incorporated in project design.</b>	National level stakeholders, Project documents.	Interviews, meetings or workshop. Document analysis.
How the project outcomes are fitting into National and/or Sectorial priorities and Plans?	<b>Actions-bridging to development.</b>	National level stakeholders, Project documents.	Interviews, meetings or workshop. Document analysis.
Who could affect the outcome and how?	<b>Actors and affections on outcomes.</b>	National level stakeholders, Project documents.	Interviews, meetings or workshop. Document analysis.
Who is contributing with	<b>Stakeholder contributions.</b>	National level stakeholders,	Interviews, meetings or

<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
information and/or resources to achieve outcomes?		Project documents.	workshop. Document analysis.
How were they integrated on project?	Level of responsibility.	National level stakeholders, Project documents.	Interviews, meetings or workshop. Document analysis.
The progress to achieve outcomes, have catalysed beneficial development effects? (i.e. income generation, gender equality and women's empowerment, improved governance, etc...)	Beneficial development effects	Local and National stakeholders, project team, community groups.	Interviews, meetings or workshop.
The catalysed beneficial development effects should be included in the project results framework and monitored on an annual basis?	Beneficial development effect indicators.	National stakeholders, project team.	Interviews, meetings or workshop.
<b>Gender equity</b>			
Were relevant gender issues raised in the Project Document?	Relevant gender issues.	Project documents.	Document analysis.
Does the project budget include funding for gender-relevant outcomes, outputs and activities?	Budget gender-relevant.	Project documents.	Document analysis.
Were gender specialists and representatives of women at different levels consulted throughout the project design and preparation process?	Number of gender specialist and/or women's groups in the project.	Project team, national and local stakeholders, UNDP gender focal point.	Interviews, meetings or workshop.
The broader development and gender aspects of the project are being monitored effectively?	Comprehensive adaptation Monitoring and Assessment Tool.	Project team, project document, Tracking Tool.	Interviews, meetings or workshop. Document analysis.
Which 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits, can be included in the project?	Sex-disaggregated indicators of development benefits.	Project document, project team.	Interviews, meetings, document analysis.
<b>Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?</b>			
Are the project's objectives, outcomes and outputs clear, practical, and feasible within its time frame?	SMART rate.	Project documents.	Document analysis.
Are the project indicators enough SMART to guide the process toward outcome achievement and to allow monitoring & evaluation with suitable accuracy?	SMART rate	Project documents	
Do the Indicators System need to be adjusted by modify existing indicators or replacement some of them or added new others?	SMART rate	Project documents	
How many villages and/or Councils have design CCA plans to enhance resilience?	Number of plans	Documents, community groups.	
Are the CCA actions based on these plans?	Actions linked to plan	Documents, community groups.	
How many villages and/or councils are in process of implementation?	Number of villages and/or councils	Documents, community groups, local stakeholders.	
How is expressed the "Integrated coastal zone	Resilience criteria related to coastal zone management.	Documents, national stakeholders, project team	

<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
management framework incorporating resilience though climate change adaptation"? Please give some examples.			
How these expressions of "resilience though climate change adaptation" have been supported by appropriate sectoral and cross sectoral policy and legislations? Please give some examples.	<b>Policy update supported.</b>	<b>Documents, national stakeholders, project team.</b>	
<b>Which is the state of outcome 1.1: Integrated CC-Adaptation plans mainstreamed in the coastal zone.</b>			
It has been made 30 Community CC-Development Adaptation Strategies (CCCADS) at the village level using common indicators across all project sites?	<b>Number of CCCADS</b>	National Stakeholders, field visit.	<b>Interviews, meetings or workshop. Data and document analysis.</b>
It has been established at least 30 communities CDCs, 8 Area Councils & 1 District?	<b>Number of CDC</b>	Field visit, project documents.	<b>Interviews, meetings or workshop. Data and document analysis.</b>
Has been defined the 8 Area Councils with operational Disaster Plans and equipped to respond to enhance resilience to climate related natural disasters?	<b>Number of Area Councils, Plans and equipment.</b>	Project documents, project documents.	<b>Data and document analysis.</b>
Has been established field capability office facilities, transport and communication including a Full time Field Officer in each site to support Area Secretaries?	<b>Number office facilities.</b>	project documents, field visit.	<b>Interviews, data and document analysis.</b>
Has been made CC Vulnerability Assessments and climate change adaptation planning processes in selected communities?	<b>Number of Assessments.</b>	project documents, field visit.	<b>Interviews, data and document analysis.</b>
How is ensured that government officials, traditional leaders community members are able to fully engaged in the process at each site?	<b>Number of stakeholders engaged.</b>	project documents, field visit, web sites.	<b>Interviews, data and document analysis.</b>
Has been a developed Coastal Climate Change Adaptation strategy in each community or in each of largest sites and at the Area Council?	<b>Number of strategies.</b>	project documents, field visit, data hub visit, web sites.	<b>Interviews, data and document analysis.</b>
Have been those Coastal Climate Change Adaptation strategies linking to specific plans for DRR in all six provinces?	<b>Number of related DRR</b>	Local stakeholders, project documents.	<b>Interviews, data and document analysis.</b>
Have been implemented those CCCAD strategies at community and Area Council Levels supported by the Appropriate funding, monitoring and evaluation and following the lessons learnt?	<b>Number of CCCADS in execution</b>	project documents.	<b>Interviews, data and document analysis.</b>
<b>Which is the state of outcome 1.2: Improved climate resilience of coastal areas through integrated approaches.</b>			
Have been defined 30 Upland Management CCA Plans (UMCCAP) to reduce run-off,	<b>Number UMCCAP.</b>	Local stakeholders reports and/or public advisories, PIRs.	<b>Interviews, meetings data and document analysis.</b>



<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
the turbidity of rivers and sediment reaching the coastal area?			
Have been identified/intervened 20 erosion "hotspots" with action resulting in reduced erosion?	<b>Number of erosion hotspots.</b>	TMA-MoW and/or DMD, PIRs.	<b>Interviews, data and document analysis.</b>
How can demonstrate that has been enhanced agricultural productivity?	<b>% Of productivity.</b>	Local authorities, community group.	<b>Interviews, meetings or workshop and document analysis.</b>
How can demonstrate that has been increased water security for 2,000 people?	<b>% Of beneficiaries.</b>	Local residents, local groups, local authorities.	<b>Interviews, meetings or workshop and document analysis.</b>
Have been established the "kustom taboo" areas in 30 locations? Have been defined based on Community Integrated Coastal Zone Management Plans?	<b>Number of Taboo Areas.</b>	PIRs, local groups, local authorities.	<b>Interviews, meetings or workshop and document analysis.</b>
Have been incorporated Six Community Conservation Areas (CCAs) to national PA network?	<b>Number of CCAs.</b>	Local authorities, project documentation, community group.	<b>Interviews, meetings or workshop and document analysis.</b>
Have been linked the Taboo areas/CCAs/MPAs through Area Council ICZM Plans to ensure integration of planning processes?	<b>Number of Taboo areas/CCAs/MPAs officialised.</b>	Local authorities, project documentation, community group.	<b>Interviews, meetings or workshop and document analysis.</b>
How have been included the communities and specifically, women and youth, in monitoring, evaluation and management of ICZM Plans in 30 sites?	<b>Number of women.</b>	Local authorities, project documentation, community group	<b>Interviews, meetings or workshop and document analysis.</b>
<b>Which is the state of outcome 2.1: Reduced exposure to flood-related risks and hazards in the target coastal communities.</b>			
Have the targeted V-CAP communities receiving timely and accurate early warnings of coastal hazards including floods, cyclones and other natural hazards?	<b>Public media coverage and mobile phone.</b>	National and local stakeholders, community group, project documents.	<b>Interviews, meetings or workshop and document analysis.</b>
Have the targeted V-CAP communities the capacities to respond to early warnings and take the appropriate actions following the warning?	<b>Number of trained CDC</b>	National and local stakeholders, community group, project documents	<b>Interviews, meetings or workshop and document analysis.</b>
<b>Which is the state of outcome 3.1: Climate change adaptation enabling policies and supportive institutions in place.</b>			
What legislation and national/sector policies with impacts on climate change adaptation have been reviewed?	<b>Number of legislation and Policy.</b>	National stakeholders, project team.	<b>Interviews, meetings or workshop and document analysis.</b>
Has been established a reform agenda to incorporate climate change into key sectors?	<b>A reform agenda.</b>	National stakeholders, project team.	<b>Interviews, meetings or workshop and document analysis.</b>
Has been NICZM framework is finalised and approved?	<b>Approved NICZM</b>	National stakeholders, project team.	<b>Interviews, meetings or workshop and document analysis.</b>
Has been the EIA policy and legislation revised?	<b>Review report</b>	National stakeholders, project team.	<b>Interviews, meetings or workshop and document analysis.</b>
Has been incorporate CC into the EIA Policy, and sector policies in forestry, coastal fisheries, agriculture, water and sanitation?	<b>Number of benchmark</b>	National stakeholders, project team.	<b>Interviews, meetings or workshop and document analysis.</b>
Has been finalized the draft of	<b>Policy Lunched</b>	National stakeholders, project	<b>Interviews, meetings or</b>

<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
National CC Policy?		team.	<b>workshop and document analysis.</b>
What is the additional sectoral policy recognising and incorporating CC with inclusive of gender and social considerations?	<b>Number of sectoral policy</b>	National stakeholders, project team.	<b>Interviews, meetings or workshop and document analysis.</b>
<b>Which is the state of outcome 3.2: Human resources in place at the national, provincial and community levels.</b>			
How many of expected 60 staff member have been trained to implementing approaches for planning and mainstreaming climate change into local level, at provincial and community levels?	<b>Number of staff member trained.</b>	National stakeholders, project team, project documents.	<b>Interviews, meetings or workshop and document analysis.</b>
Capacity building for key national and provincial government agencies, has been focused on DEPC, PWD, Department of Internal Affairs, Departments of Fisheries, Forestry, Water?	<b>Number of institutions involved.</b>	National stakeholders, project team, project documents.	<b>Interviews, meetings or workshop and document analysis.</b>
Communities have a clear vision about Climate Change Adaptation through their participation in an Integrated Coastal Zone Management Framework?	<b>A development target image.</b>	Field visit, community group.	<b>Interviews, meetings or workshop and document analysis.</b>
<b>Which is the state of outcome 4.1: Increased awareness and ownership of climate risk reduction processes at the national and local levels</b>			
Have been performed specific exchange programs for field staff, women's and youth groups on identified climate change resilience topics?	<b>Number of actions</b>	National stakeholders, project team, project documents, community group.	<b>Interviews, meetings or workshop and document analysis.</b>
What actions have been performed to increased private sector awareness? Have been detected opportunities to engage private sector to participate in activities related with business developed-based resilience?	<b>Number of awareness actions</b>	National stakeholders, project team, project documents.	<b>Interviews, meetings or workshop and document analysis.</b>
How many activities to exchange experiences have been made with other local communities?	<b>Number of exchange activities.</b>	National stakeholders, project team, project documents.	<b>Interviews, meetings or workshop and document analysis.</b>
How many non-VCAP communities have adopted approaches demonstrated by V-CAP?	<b>Number of communities.</b>	National stakeholders, project team, project documents.	<b>Interviews, meetings or workshop and document analysis.</b>
What kind of climate awareness and capacity building activities has been made with secondary schools in V- CAP sites?	<b>Number of schools involved.</b>	National stakeholders, project team, project documents.	<b>Interviews, meetings or workshop and document analysis.</b>
How many secondary schools have been participated?	<b>Number of schools involved.</b>	National stakeholders, project team, project documents.	<b>Interviews, meetings or workshop and document analysis.</b>
How VCAP has incorporated the role of natural resource plans and management to increased awareness and action in 10 sites?	<b>Number of sites.</b>	National stakeholders, project team, project documents.	<b>Interviews, meetings or workshop and document analysis.</b>
What is VCAP done to strengthened and implemented the traditional	<b>Number of practices</b>	Field visit, National and local stakeholders, project team, project documents.	<b>Interviews, meetings or workshop and document analysis.</b>

Evaluative Questions	Indicators	Sources	Methodology
conservation practices to enhance R2R resilience to CC in 10 sites?			
How many awareness materials have been translated into Bislama and French?	Number of materials.	Project team, project documents.	Interviews, meetings or workshop and document analysis.
<b>Project Implementation and Adaptive Management: Has the project been implemented efficiently<sup>11</sup>, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?</b>			
Has there been an economical use of financial and human resources?	Economical use of resources.	Financial reports, ATLAS, PIRs.	Data and document analysis.
In which extent the resources (funds, human resources, time, expertise, etc.) are being used to produce the intended outputs?	Resources allocated on strategic milestones.	Project documentation, ATLAS, Tracking Tool.	Data and documentation analysis.
Do the achieved justify the costs?	Rate of cost/benefit.	Project documentation, ATLAS, Tracking Tool, project team.	Data and documentation analysis, interview and meetings.
Could the same achievements be attained with fewer resources?	Balanced point.	Stakeholders, project team.	Interview and meetings.
Have activities supporting the strategy been cost-effective?	Rate of cost/benefit.	Project documentation, ATLAS, Tracking Tool, project team, stakeholders.	Data and documentation analysis.
How resources could be used more efficiently to achieve the intended results?	Point of efficiency <sup>12</sup> .	Stakeholders, project team.	Interview and meetings.
Are the products timely delivered as was needed?	Time of delivered.	National and local Stakeholders, local communities, project team.	Interview, meetings and/or workshop.
Why some initiatives are implemented more quickly than others?	Time of implementation.	National and local Stakeholders, local communities, project team.	Interview, meetings and/or workshop.
How is structured the cost-sharing measures and complementary activities?	Position in the outcome chain.	National and local Stakeholders, project team.	Interview, meetings and/or workshop.
Is there a clear understanding of the roles and responsibilities by all parties involved?	Results chain system.	Steering committee, project team, local stakeholders.	Interview, meetings and/or workshop.
<b>Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</b>			
Are there any social or political hazards that may jeopardize sustainability of project outcomes?	Socio-political risk.	National and local stakeholders, project team.	Interview, meetings and/or workshop.
Are stakeholders enough interested in outcomes, to allow for the project benefits to be sustained?	Stakeholders' counterpart.	National and local stakeholders, project team.	Interview, meetings and/or workshop.
Lessons learned are being documented by the Project Team continuously and are shared with stakeholders who could learn from the project?	Number of meetings to exchange experiences.	National and local stakeholders, project team.	Interview, meetings and/or workshop.
Do the current legal frameworks, policies, governance structures and processes, may jeopardize the	Level of risk.	National and local stakeholders, project team.	Interview, meetings and/or workshop.

<sup>11</sup> Measures how economically resources or inputs (such as funds, expertise and time) are converted to results. An initiative is efficient when it uses resources appropriately and economically to produce the desired outputs. Efficiency is important in ensuring that resources have been used appropriately and in highlighting more effective uses of resources.

<sup>12</sup> Is the **point** at which the input cannot increase output, without lowering the expected of outcomes.

<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
sustenance of the project benefits?			
Are there any environmental risks that may jeopardize the sustenance of the projects outcomes?	<b>Level of risk.</b>	<b>National and local stakeholders, project team.</b>	<b>Interview, meetings and/or workshop.</b>
Do the project interventions have well designed and well planned exit strategies?	<b>An exit strategy.</b>	<b>Project documentation, project team, national and UNDP CO.</b>	<b>Data and documentation analysis, interview and meetings.</b>
What could be done to strengthen exit strategies and sustainability?	<b>Additional and/or adjustment measures</b>	<b>National stakeholders, project team, UNDP CO.</b>	<b>Data and documentation analysis, interview and meetings.</b>

### 6.3. Ratings Scales

<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

## 6.4. MTR mission itinerary

Activities	Estimated time	Target Due Dates
Briefing with UNDP and/or Project managers.	1 day in country (Port Vila)	July 7/2018.
Visits to Epi and Aniwa, in order to perform interviews/meetings with project beneficiaries and local authorities, as well as check works and/or equipment and facilities. Visit to Aneityum Island and Lamap, Malekula to inspect AWS utilized by VMGD,.	Expected 4 days in field visit	July 8 to July 12
Workshop to present a summary of initial findings to the Commissioning Unit, the Project Team and stakeholders, as well as to receive feedbacks from all of them referred to VCAP Board members	1 day in country.	July 13/2018.
Visits to Torres, in order to perform interviews/meetings with project beneficiaries and local authorities, as well as check works and/or equipment and facilities.	2 days in country	July 14 to 15/2018.
Feedback interviews/meetings with key project stakeholders (government representatives, civil society organizations, academia, the private sector, and local government officials, including the GEF OFP, UNDP, UNDP-GEF focal point and UNDP-GEF Regional Technical Advisers.	2 days in country (Port Vila)	July 16 to 17/2018.
Briefing with UNDP and/or Project managers.	1 Day in country (Port Vila).	July 18/ 2018.
Draft MTR report with all key sections provided by the Guidance for Conducting MTR of UNDP-GEF.	1 week Home based	July 19 to 25, 2018.
Submit Draft Report to UNDP Pacific Office in Fiji.		July 26/2018.
UNDP proceed to review draft report. MTR receive comments on draft from UNDP	2 weeks Home based	July 26 to August 09/2018

## 6.5. List of persons interviewed

- Loraini Sivo, Programme Analyst UNDP Pacific Office in Fiji.
- Jackson Tambe, Project Manager.
- Matthew Hardwick, VCAP Technical Specialist.
- Component Coordinators: Mr. Raysen Vire, Mr Noel Jacob, Ms Elena Silas, Mr Pakoa Leo and Mr Samuel Tapo.
- VCAP Site Coordinators from EPI, Torres and Aniwa
- Village Development Committee from Epi, Aniwa and Torres.
- Observers from Automatic Weather Station.

MTR consultant have been participated in VCAP Board meeting, where has the opportunity to exchange initial findings with project implementation responsible.

## 6.6. List of documents reviewed

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document with 16 Annex
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All annual Project Implementation Reports (PIRs) 2016, 2017 and 2018.
7. Quarterly progress reports
8. Financial rules, financial reports and Audit reports
9. VCAP tracking tool (project M&E system)
10. Finalized GEF focal area Tracking Tools at CEO endorsement and mid-term update.
11. Methodology for VCAP Community Vulnerability Assessments, CCA Plans & Participatory Engagement Tools
12. Community Profile Form (draft)
13. Epi VCAP Community Planning and Sector-Based Priority Setting.
14. Oversight mission reports

BTOR_Vanuatu_VCAP_14-30th October 15.doc BTOR_Vanuatu_VCAP_2-7th May16.doc BTOR_Vanuatu_VCAP_10 -20th June 2015.doc BTOR_Vanuatu_VCAP_10-20Oct16.doc BTOR_Vanuatu_VCAP_15 to 23 March 2017.doc BTOR_Vanuatu_VCAP_Feb14-18 2016.doc
15. Minutes of the Project Board Meetings and other meetings (i.e. Project Appraisal Committee meetings) Board Meeting Minute_Oct 2016.pdf Board Meeting Minutes _June 2015.pdf Board Meeting Minutes _March 2016.pdf Board Meeting Minutes_Nov 2015.pdf
16. Project site location maps

## 6.7. Signed UNEG Code of Conduct form

### Evaluators/Consultants:

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

### MTR Consultant Agreement Form

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

Name of Consultant: **Antonio Arenas Romero**

Name of Consultancy Organization (where relevant): \_\_\_\_\_

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

Signed at *Barcelona, Spain*, on *August 29, 2018* (Date)



Signature:

## 6.8. Signed MTR final report clearance form

**Midterm Review Report Reviewed and Cleared By:**

**Commissioning Unit**

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

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

**UNDP-GEF Regional Technical Advisor**

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

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

## 6.9. *Annexed in a separate file:* Audit trail from received comments on draft MTR report