

Interim Evaluation Report

“INTERIM EVALUATION OF THE INTEGRATED FLOOD MANAGEMENT TO CLIMATE RESILIENCE OF THE VAISIGANO RIVER CATCHMENT IN SAMOA PROJECT - (PIMS5919/FP037)”



Photo: Lelata Bridge and west junction of Segment 2 and 3 floodwall (taken by IE Consultants September 2020)

Final Report – October 2020

This report has been prepared by an independent consultant reviewer. The findings and conclusions expressed herein do not necessarily reflect the views, policy or intentions of the UNDP.

**Integrated Flood Management to Enhance Climate Resilience for the Vaisigano River Catchment Project
(PIMS 5919)**

September 2020
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INTERIM EVALUATION OPENING PAGE

Project Details	
UNDP PIMS ID	5919
GCF Project ID	FP037
Title	Integrated Flood Management to Enhance Climate Resilience for the Vaisigano River Catchment in Samoa Project
Country(ies)	Samoa
ATLAS Business Unit, Award #, Project ID:	00098736
Financials (US\$)	
Total Project Budget:	65,717,748 ¹
GCF Grant Amount:	49,587,365
Co-financing:	8,000,000
Contingency:	8,130,383
Project Timeline	
FAA Approval Date:	3 June 2017
FAA Signature Date:	9 June 2017
FAA Effectiveness Date:	11 July 2017
Project Document Signature Date:	21 July 2017
Date of Inception Workshop:	25-26 October 2017
Expected Date of Mid-term Review:	4 th quarter 2020
Actual Date of Mid-term Review:	August 2020 (completed on 4 October 2020)
Expected Date of Terminal Evaluation:	11 January 2024
Original Planned Closing Date	11 July 2022
Revised Planned Completion Date	11 July 2023 (date of last disbursement).

¹ Total VCP budget including co-financing as reflected in the relevant Funded Activity Agreement

Short biography of the consultants

The Interim Evaluation (IE) was undertaken by Jonathan McCue (International Consultant – Lead Evaluator) and Satui Bentin (National Consultant). Jonathan is a UK based independent consultant who is Director of his own company, Sustainable Seas Ltd (www.sustainableseas.co.uk). He possesses 32 years’ postgraduate experience in the field of flood management and climate change adaptation. He has a successful mid-term and terminal evaluation track record with over 8 prominent international projects that have involved the setting and appraisal of project evaluation criteria. This includes work for a number of separate international funding institutes, namely the European Commission (Final Evaluation Projects in Gambia, Maldives and Jamaica), UN organisations such as UNDP (Guyana) and UN Environment (in Cambodia and in the Seychelles/Mauritania and Nepal), IOC-UNESCO and finally for DFID in the Caribbean region. He recently also completed GCF Concept Notes for UNDP Tunisia and Gambia. He also possesses key experience working in Samoa on coastal engineering projects.

Satui Bentin is Samoan with more than 10 years of consultancy work on climate change/resilience policy and institutional reviews, stakeholder engagement and community development. She led a team of over 10 international and national experts and representatives of government ministries in the review of the Coastal Infrastructure Management Plans (now called *Community Integrated Management Plans*) for 25 districts under the AF project and is currently also engaged by the Asian Development Bank on DRR related, social development work (stakeholder engagement, grievance redress mechanism) for the *Alaoa Multipurpose Dam Project* and the *Enhancing Safety, Security and Sustainability of Apia Port Project*. Regional clientele in the area of climate change include SPREP while international clientele includes UNDP, ADB, EC, Danish Management and the Government of Finland for the final evaluation of Finland’s regional development cooperation in the Latin America, Caribbean and Mekong and Oceania regions.

Acknowledgements

The evaluators wish to express their acknowledgements to all the individuals and organisations they had the pleasure to engage with, offering their time and views, often on very short notice and without restrictions. As the focus of this IE is both on stocktaking of progress made as on learning about challenges and constraints, the opinions shared and the suggestions and recommendations made were all received with appreciation, as they offered valuable information used for the narrative of this report.

The evaluation was managed by the MCO team led by Yvette Kerslake, with support from Karen Komiti and Anne Trevor, who gave excellent detailed insight in the project evolution and Mr. Taufao Taufao who, supported the Project Management Unit (PMU) through managing the zoom schedule and arrangements. Verena Linneweber, Deputy Resident Representative of UNDP Samoa and Francois Martel, shared their experiences and visions of the project and its evolution and gave valuable comments during briefing and debriefing sessions. Ms. Azza Aishath, Regional Technical Advisor of UNDP provided the broader context of the GCF project and gave guidance to the evaluation team at the start of the evaluation mission and highlighted areas of focus during the evaluation.

The PMU team, headed by the Project Manager, Tevaga Pisaina Leilua-Lei Sam were excellent in supporting the team not only with sharing documented information, their experiences and insights but also as the key communication between the consultants and the IAs, and their invaluable logistical support for the whole IE. The team also thank the representatives of the following institutions² for their time and views, Ministry of Finance (MOF), Ministry of Works, Transport and Infrastructure (MWTI), Land Transport Authority (LTA), Ministry of Health (MOH), Ministry of Natural Resources and Environment (MNRE), Civil Society Support Programme (CSSP) and Samoa Business Hub (SBH). Their warm hospitality and open and frank discussion were very valuable, and the evaluators thank them kindly. All stakeholders are thanked for sharing their views and opinions on the progress, achievements and challenges of the projects and their recommendations for the remaining implementation period of the project. Key stakeholders gave constructive feedback to a draft version of this report, which was used to produce the final version.

We have tried to balance our thoughts and to offer fair perspectives of what was observed and learned from people whom have much more experience in day to day project activities than the consultant team have had

² Refer Annex I: Stakeholders Consulted

experience on. Regardless, the evaluation team hope that the findings of this interim evaluation will support the project team and all key stakeholders in successfully achieving the set targets and provide actionable recommendations to enhance lasting impact. The views expressed in this report are intended to offer an overview of the project.

Jonathan McCue and Satui Bentin (October 2020)

TABLE OF CONTENTS

INTERIM EVALUATION OPENING PAGE	II
ABBREVIATIONS AND ACRONYMS	VII
EXECUTIVE SUMMARY	X
1 INTRODUCTION	1
1.1 Purpose of the Interim Evaluation and Objectives	1
1.2 Scope and Methodology	1
1.2.1 <i>Independent nature and learning focus</i>	2
1.2.2 <i>The Approach to the IE</i>	3
1.2.3 <i>Rating Scales</i>	3
1.2.4 <i>Ethics and Audit Trail</i>	3
1.2.5 <i>Constraints and Limitations</i>	4
1.3 Structure of the IE Report	4
2 PROJECT DESCRIPTION	4
2.1 Development Context/Relevance	4
2.2 Problems that the Project Sought to Address	5
2.3 Project Description and Strategy	5
2.4 Project Implementation Arrangements	6
2.5 Project Timings and Milestones	7
2.6 Main Stakeholders	8
3 FINDINGS	9
3.1 Project Strategy	9
3.1.1 <i>Project Design</i>	9
3.1.2 <i>Results Framework/Logframe</i>	11
3.2 Relevance, Effectiveness and Efficiency	16
3.2.1 <i>Relevance</i>	16
3.2.2 <i>Effectiveness</i>	16
3.2.3 <i>Efficiency</i>	17
3.3 Progress toward Results	18
3.3.1 <i>Progress towards outcomes analysis</i>	18
3.3.2 <i>Remaining barriers to achieving the project objective</i>	24
3.4 Project Implementation and Adaptive Management	25
3.4.1 <i>Management Arrangements</i>	26
3.4.2 <i>Work planning</i>	28
3.4.3 <i>Finance and co-finance (including contingencies)</i>	30
3.4.4 <i>Project-level monitoring and evaluation systems</i>	34
3.4.5 <i>Stakeholder engagement</i>	36
3.4.6 <i>Reporting</i>	37
3.4.7 <i>Communications</i>	40
3.5 Sustainability	42
3.5.1 <i>Financial risks to sustainability</i>	43
3.5.2 <i>Socio-economic risks to sustainability</i>	44
3.5.3 <i>Institutional framework and governance risks to sustainability</i>	45
3.5.4 <i>Environmental risks to sustainability</i>	46
3.6 Country Ownership	48
3.7 Innovativeness in Result Areas	48
3.8 Unexpected Results	50
3.9 Replication and Scalability	51

3.10	Gender Equity.....	53
3.11	Coherence in Climate Finance Delivery with Other Multilateral Entities.....	54
3.12	Impact of COVID-19.....	55
4	CONCLUSIONS AND RECOMMENDATIONS	57
4.1	Conclusions	57
4.2	Recommendations	64
4.2.1	<i>Corrective actions for the design, implementation, monitoring and evaluation of the project.....</i>	<i>64</i>
4.2.2	<i>Actions to follow up/reinforce to ensure delivery of expected results as per the FAA with GCF</i>	<i>65</i>
4.2.3	<i>Proposals for future directions underlining main objectives.....</i>	<i>66</i>
	ANNEXES	68
ANNEX I.	IE MISSION SCHEDULE.....	68
ANNEX II.	LIST OF DOCUMENTS REVIEWED	70
ANNEX III.	IE EVALUATIVE MATRIX (EVALUATION CRITERIA WITH KEY QUESTIONS, INDICATORS, SOURCES OF DATA, AND METHODOLOGY).....	74
ANNEX IV.	EXAMPLE QUESTIONNAIRE OR INTERVIEW GUIDE USED FOR DATA COLLECTION	78
ANNEX V.	CO-FINANCING INFORMATION	83
ANNEX VI.	RATINGS SCALES	86
ANNEX VII.	SIGNED UNEG CODE OF CONDUCT FORM	87
ANNEX VIII.	SIGNED IE FINAL REPORT CLEARANCE FORM	88
ANNEX IX.	AUDIT TRAIL FROM RECEIVED COMMENTS ON DRAFT IE REPORT	89
ANNEX X.	IE TERMS OF REFERENCE (EXCLUDING TOR ANNEXES)	94
ANNEX XI.	RELEVANT MIDTERM TRACKING TOOL (OR SIMILAR)	105
ANNEX XII.	ANNUAL WORK PLAN FOR 2020	106
ANNEX XIII.	PROJECT ACTIVITY “DASHBOARD PROGRESS REPORT (PRODUCED BY PMU AND INTERPRETED/EVALUATED BY THE INTERNATIONAL CONSULTANT FOR THIS IE)	109
ANNEX XIV.	INITIAL FINDINGS PRESENTATION TO AE/EE AND PMU – 7 SEPT 2020)	129
ANNEX XV	SITE VISIT PHOTOS (SEPTEMBER 2020).....	131

ABBREVIATIONS AND ACRONYMS

ACC	Accident Compensation Corporation
ACEO	Assistant Chief Executive Officer
ADB	Asian Development Bank
AE	Accredited Entity
AISS	Apia Integrated Sewage System
AMA	Accreditation Master Agreement
AMDP	Alaoa Multipurpose Dam Project
APR	Annual Performance Reports
ASL	Above Sea Level
AUA	Apia Urban Area
BNPL	Basic Needs Poverty Line
CBO	Community-Based Organization
CDR	Combined Delivery Report
CEO	Chief Executive Officer
CfW	Cash for Work
CIM	Community Integrated Management Plan
CRICD	Climate Resilience Investment and Coordination Division
CSSP	Civil Society Support Programme
CSO	Civil Society Organisations
CTA	Chief Technical Advisor
EbA	Ecosystems based Adaptation
EE	Executing Entity
ERC	Evaluation Resource Centre
ESIA	Environmental and Social Impact Assessment
ESMP	Environment and Social Management Plan
ESS	Environmental and Social Safeguards
EWACC	Economy Wide Integration of Climate Change Project
EWS	Early Warning System
FAA	Funded Activity Agreement
FACE	Funding Authorisation and Certification of Expenditure
FAKTS	Faalapotopotoga Atina'e o Komiti Tumama o Samoa
GCF	Green Climate Fund
GEF	Global Environment Facility
GIS	Geographic Information System
GoS	Government of Samoa
H-CLEWS	Health Climate Early Warning System
HH	Household

ICT	Information and Communications Technology
IEO	Independent Evaluation Office
ILO	International Labour Organization
IP	Implementing Partner
IWMP	Integrated Water Management Plan (Greater Apia)
KM	Knowledge Management
LTA	Land Transport Authority
MAF	Ministry of Agriculture and Fisheries
MCO	Multi-Country Office
METI	Matua'ileo'o Environment Trust Incorporated
MNRE	Ministry of Natural Resources and Environment
M&E	Monitoring and Evaluation
MoA	Memorandum of Agreement
MoF	Ministry of Finance
MoH	Ministry of Health
MoU	Memorandum of Understanding
MTR	Mid-Term Review
MWCSD	Ministry of Women, Community and Social Development
MWTI	Ministry of Works, Transport and Infrastructure
NAPA	National Adaptation Programme of Action
NBC	National Building Code
NDA	National Designated Authority
NGO	Non-Government Organization
NIM	National Implementation Modality (UNDP)
NPD	National Project Director
NPF	National Provident Fund
NOLA	Nuanua o le Alofa Rainbow of Love (Disability NGO)
OAI	Office of Audit and Investigators
OLSSI	O Le Siosiomaga Society Incorporated
OM	Operational Manual
OSH	Occupational Safety & Health
PB	Project Board
PD	Project Document
PEP	Public Employment Programme
PES	Payment for Ecosystem Services
PM	Project Manager
PMU	Project Management Unit
PO	Purchase Order
POPP	Programme and Operations Policies & Procedures

PPCR	Pilot Programme for Climate Resilience
PSC	Project Steering Committee
PUMA	Planning and Urban Management Agency
PWP	Public Works Programme
QPR	Quarterly Progress Reports
SACEP	Samoa Agriculture Competitiveness Enhancement Project
SAT	Samoa Tālā
SBAA	Standard Basic Assistance Agreement
SBEC	Small Business Enterprise Centre
SBH	Samoa Business Hub
SBS	Samoa Bureau of Statistics
SCS	Samoa Conservation Society
SECU	Social & Environmental Compliance Unit
SES	Social and Environmental Standards
SESP	Social & Environment Screening Procedure
SFA	Samoa Farmers Association
SGP	Small Grants Programme
SIDS	Small Island Developing State
SMSMCL	Strengthening Multi Sectoral Management of Critical Landscapes in Samoa Project
SENESE	SENESE Inclusive Education Support Services
S&E	Social and Environmental Safeguards
SNYC	Samoa National Youth Council
SRC	Samoa Red Cross
SRM	Stakeholder Response Mechanism
SROS	Scientific Research Organisation of Samoa
STA	Senior Technical Advisor
SUNGO	Samoa Umbrella for Non-Governmental Organisations Incorporated
TAG	Technical Advisory Group
TE	Terminal Evaluation
TOC	Theory of Change
UNDAF	UN Development Assistance Framework
UNDP	United Nations Development Programme
US\$	United States Dollars
VCP	Vaisigano Catchment Project
WIBDI	Women in Business Development Incorporated
YEP	Youth Employment Programme

EXECUTIVE SUMMARY

The Interim Evaluation (IE) is conducted to assess progress towards the achievement of the project objectives and outcomes as specified in the GCF Funding Proposal (FP), the Project Document (PD) and overarching Funding Activity Agreement (FAA), 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 IE also reviewed the project's strategy and risks.

This IE has been conducted as part of the Monitoring and Evaluation plan of the UNDP/GCF Project: *"Integrated Flood Management to Enhance Climate Resilience for the Vaisigano River Catchment Project (PIMS 5919)"* also as known as the "Vaisigano Catchment Project – VCP" and will be referred to as the "Project" in the scope of this report. No physical IE mission to Samoa was conducted due to COVID19 global pandemic travel restrictions. Extensive consultations with the project partners were subsequently conducted via "virtual technology" methodologies though with full support and the presence of a National Consultant on the ground who also conducted site visits in collaboration with the Government of Samoa (GoS).

Project Information Table

Project Details	
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Original Planned Closing Date	11 July 2022
Revised Planned Completion Date	11 July 2023 (date of last disbursement).

Project Description

UNDP is supporting the delivery of the Green Climate Fund (GCF) funded project titled "Integrated Flood Management to Enhance Climate Resilience for the Vaisigano River Catchment Project (PIMS 5919 - FP0037)". The 5-year project has a total budget of USD 65,717,748. This is financed through a GCF grant of USD 57,717,748 (US\$49,587,365 GCF grant plus an additional US\$8,130,383 contingency), administered by UNDP plus an additional USD 8,000,000 in parallel co-financing from Government of Samoa (GoS).

³ Total VCP budget including co-financing as reflected in the relevant Funded Activity Agreement

Purpose and Methodology

The evaluation has concentrated on assessing the concept and design of the Project; its implementation regarding quality and timeliness of inputs, financial planning, and monitoring and evaluation; the efficiency and effectiveness of activities carried out and objectives and outcomes achieved, as well as likely sustainability of its results, and the involvement of stakeholders. In its assessment, this Interim Evaluation (IE) considers a range of criteria, which are based on a draft GCF evaluation policy and related guideline in addition to the UNDP-GEF guidance document for conducting midterm reviews of UNDP-supported GEF-financed projects. The temporal scope of the IE extends from the time of project start in June 2017 through to August 2020, which was the start of the IE. The review encompasses the activities and geographical scope of the Project in Samoa (Vaisigano Catchment). The primary audience for the IE is the UNDP MCO Samoa office as the Accredited Entity (AE), the GCF as grant provider, the MoF as EE and National Designated Authority (NDA), Project Management Unit (PMU), UNDP-GEF Regional Technical Advisors (RTAs) and other key RIAs.

The IE aligns with the principles established in GCF's (draft) Evaluation Policy⁴ and pending GCF guidance on conflicts of interest in evaluation. To effectively deliver this IE in light of the COVID 19 pandemic, the IC proposed the adoption of a collaborative and participatory methodological approach, ensuring close engagement with the PMU, the government counterparts (Ministry of Finance/NDA and Project Manager), the UNDP Samoa Multi-Country Office(s) (MCO), UNDP Nature, Climate and Energy (NCE) team's Regional Technical Specialist (Bangkok), and other key stakeholders as suitable.

Project Progress Summary

Overall, fair progress has been made in the implementation of the project core activities within the reporting period, bringing the project closer towards the achievement of intended GCF-VCP outcomes on Fund-level Impacts of increased resilience of infrastructure and the built environment to climate change by increasing both the number and value of physical assets made more resilient to climate variability and change while considering human benefits. To date, 3 built assets have been delivered which includes, floodwall extension Leone bridge downstream, Sheraton Aggie Grey Riverwall segment 1 and completed construction of co-financed Apia Waterfront Project drainage). Progress has been made but remained delayed to achieve Output 2 (Infrastructure in the Vaisigano River are flood-proofed to increase resilience. Key achievements in this reporting period are mainly attached to Activity 2.3 and include the completion of designs and studies for the upgrade of the Lelata bridge.

Work on implementing ecosystem responses upstream for decreased flows during extreme weather events (Activity 2.2) with progress on track with the Payment Ecosystem Services (PES) work progressing well. Cash for Work programme (CfWP) designed and initiated for catchment restoration work and Ecosystem-based adaptation enterprise programme finalized including selection of 195 community-based projects towards eco-friendly activities in the VRCA. Delays have been experienced with Activity 2.1 on the Channelization of Segments 2, 3 and 4 of the Vaisigano river streambed due to lengthy procurement process but design work will start later in 2020 together with extension of floodwalls at Lelata and Leone bridges (Activity 2.4).

Progress is on track to achieve Output 3 (Drainage in downstream areas upgraded for increased regulation of water flows). Key achievements in this reporting period are mainly attached to Activity 3.1 in Developing a climate resilient Storm Water Masterplan. The review of the drainage system in the floodplain of the Vaisigano was completed, identifying 9 priority drainage sites to upgrade, with designs of upgrades completed for 3 sites. Of particular significance is the progress with regard to the GCF Investment Criteria – where overall progress of the VCP against the GCF Investment Criteria is mainly on track, with most objectives to be achieved in the later part of the project implementation from 2020 to 2023.

⁴ <https://ieu.greenclimate.fund/documents/977793/1621412/GCF+evaluation+policy+-+Draft>



Interim Evaluation Rating and Achievement Summary Table

Measure	IE Rating	Achievement Description (summary)
Project Strategy	Not rated	The project is well aligned with national development policies, as reflected in the Funding Proposal and Project Document, and reiterated in the Strategy for the Development of Samoa (SDS 2020-2024) and the Environment Sector Plan. The logical framework design is relevant and is designed to coordinate stakeholders and to help better define roles and functions to better implement flood resilience within the Vaisigano catchment and climate change.
Progress towards Results (Relevance, Effectiveness and Efficiency)	Overall rating: Satisfactory (S)	The relevance is confirmed with regard to the GCF-VCPs selection of key segments within the Vaisigano catchment (interventions) which strategically built up the work defined within the EWACC project (which funded interventions up to Segment 1) by funding flood schemes, bridge works and drainage within Segments 2, 3 and 4 plus and in the Apia area. The project also links closely to previous World Bank funded projects to support LTA to identify vulnerable stretches of the nation's road and bridge networks. There is no reason, based on evidence to date, that the project cannot achieve all planned outcomes/objective by the expected closing date.
Project Implementation and Adaptive Management	Moderately Satisfactory (MS)	The current PMU has been helpful in coordinating work between other agencies and provision of technical advice and assistance has greatly improved. A review is now needed to potentially streamline and make more effective the PMU for the remainder of the GCF-VCP to ensure all GCF impact criteria and indicators are achieved. Present implementation progress reflects clear improvement of efficiency and ability to timely implement as planned. However, a review of the APR 2018, 2019 and Q2 demonstrates a series of inconsistencies which are noted within key documents produced for the project which has impacted on project efficiency levels. Financial management (planning, reporting, fund flow etc) is assessed as satisfactory with no issues reported. The financial delivery rate needs to improve from minimal to ambitious (contracting works to start subject to COVID-19 restrictions and subject to award of engineering contracts (Output 2) bringing the project "back on track" towards anticipated delivery of expected disbursement rates. The current (4th) project disbursement is delayed and every effort is now needed to ensure that all matters pertaining towards addressing and answering the "Risk Flag" issues are prioritised with immediate effect. Quality of project reporting is assessed as being satisfactory. Reports do outline the causes of any delays in implementation. Stakeholder engagement is satisfactory facilitated by the PMU and technical committee as key stakeholder platforms and has to be supported by proactive external communication.
Sustainability (Overall)	Moderately Likely (ML)	The GCF-VCP has had the advantage of being implemented within an enabling environment lead by the GoS, and it's SDS (2020-2024) where sustainable development is a high national priority. The adoption of National Building Codes remains paramount and continued effort is needed to ensure this remains a key action for GoS to help support the delivery of sustainable and climate compatible development in Samoa.
Financial Risks	Moderately Likely (ML)	The robust engineering Feasibility Study outputs already produced (Output 1) should be have value towards delivering cost-effective flood resilience in the Vaisigano catchment. The outlook for the long-term financial sustainability of the project does, however, remain closely connected to the interest of national government and commitment of international donors. Contingency budgets set aside at the outset of the GCF-VCP (US\$8M) are proving difficult to access without GCF Secretariat intense and lengthy scrutiny which is impacting on the sustainability potential of the project. The project outcomes hereby run the risk of not be sustained unless GCF can introduce an improved degree of flexibility on their existing (pre-COVID19) rulings to enable the PMU and MoF to rectify budgeting allocations set out in the project formulation stage.
Socioeconomic Risks	Likely (L)	There is clear political support for the project and its overall objective during the term of this government period. At present, the socio-economic reality provides a rather conducive environment for the project, recently reconfirmed in the SDS (2020-2024) and the commitment by the GoS as outlined in the policies and targets of the climate change sub-sector and as evidenced by the commitment to provide flood resilience within the Vaisigano catchment.
Institutional Framework and Governance Risks	Moderately Likely (ML)	GoS counterpart staff, currently residing and employed within the respective IAs, helps to support the integration of experience, best practice and adaptive management strategies under their areas of responsibilities. The institutional sustainability of the GCF-VCP is, however, likely to be tested by human resource capacities within a range of institutions, though most notably for those whose primary sector is not related to flood management, such as MoH.



Environmental Risks	Moderately Likely (ML)	There is a need to encourage the GCF-VCP team to consider how best to communicate (to beneficiaries) new ways of thinking to initiate flood resilience measures in the upper catchment. Regional “virtual field missions” could be considered (subject to future COVID-19 travel restrictions) as good opportunities to promote regional EbA best practices at a household level that all seek to improve resilience to climate change and flooding.
Country Ownership	Not rated	The GCF-VCP has strong country ownership and this is demonstrated by the commitment shown by the CEO, MoF as the Chair of the PB/PSC comprising of all IAs, MoF/EA, AE/UNDP and collaborating agencies. The GCF-VCP aligns well to highly relevant national priorities and needs. An additional USD\$544,681 has been provided during this period as co-financing for the project by the GoS.
Innovativeness in Result Areas	Not rated	Innovative opportunities also appear to have been positively attempted where a less rigid compliance to GCF implementation criteria exist. The COVID 19 pandemic may indirectly be introducing a real innovative opportunity for changing the way that donor funded projects are (or could) be delivered in the future. Zoom technology capacity and needs (for example) must be more formally introduced within all IAs.
Unexpected Results	Not rated	Unexpected results from the measles outbreak and COVID 19 pandemic are being slowly realised. GCF-VCP has also created an expectation that the GCF will be able to fund a whole host of flood schemes anywhere in Samoa (not just within the Vaisigano catchment). To this end, levels of expectations will have to be better managed for the remainder of the project to ensure that the wider populous appreciate that beneficiaries are essentially within the Vaisigano catchment. A positive unexpected outcome in terms of national stakeholders deducing new creative ways to ensure the GCF-VCP project continues as programmed despite the current COVID 19 challenges that are being imposed.
Replication and Scalability	Not rated	The IE envisages good scope for replication of project interventions and scalability of activities that have been implemented to date. For replication efforts to be successful, the lessons learnt by the GCF-VCP to date must be better documented and shared in the coming years, as these will be essential to facilitate take up of these interventions and approaches going forward.
Gender Equity	Not rated	Baseline data reviewed during this IE shows a positive outcome with regards to an equal gender balance coupled with persons with disabilities, however, whether the intended actions set out within the GCF –VCP Gender Action Plan (GAP) have been effectively mainstreamed into the implementation of all project activities is debateable. Gender representation within national government and in the communities appears close to being 50/50. The current PMU is represented by 15 women and 9 men (24 in total). A number of sex-disaggregated indicators (per population statistics) appear to have been inappropriately set which are not based on real Samoan situations (notably for Activity 2.2.6 - CfW).
Coherence in Climate Finance Delivery with Other Multilateral Entities	Not rated	The GoS have adopted a very programmatic approach to the role of the GCF-VCP towards supporting the sustainable delivery of flood resilience in Samoa. The Vaisigano catchment, for example, is already exposed to a number of donor interventions at present (including GCF). The potential for blending climate funds, inputs and opportunities remains high and there is an appreciation in Samoa that all donors have attempted to mainstream their efforts to make their processes seamless in order to enable smoother implementation on tangible “on the ground” activities.
Impact of COVID-19	Not rated	There is currently no direct evidence of major COVID-19 related impacts on the GCF-VCPs overall project budget, and that these impacts are already being reported in the GCF-VCP monthly and quarterly reports. AE/EE/PMU all need to urgently work together help “unstick” the GCF project execution processes (i.e.: a review of internal processes is needed as a priority task). This needs to determine what budget re-allocations are allowed, in addition to a better fast tracking of available contingency budget to help strengthen (amongst others) ICT infrastructure (i.e.: Zoom technology training etc) and business continuity planning within IAs. A “COVID-related impact risk assessment” should be prepared and included as a sub-section within existing Quarterly Reports to also help identify potential solutions for consideration as part of the GCF-VCPs “exit strategy” to ensure sustainability of the project after implementation.



Recommendations

Corrective actions for the design, implementation, monitoring and evaluation of the project	
1.	PMU, MoF UNDP need to review the current GCF-VCP Implementation Plan and Funding Proposal Budget (divided by years of the project) and re-assessing based on annually agreed disbursement amounts.
2.	There is a need for UNDP (as AE) to establish clarity from the GCF Secretariat on Contingency payment rulings (in light of the COVID-19 pandemic). Also seek to provide some acceptable alternatives to help sanction future draw downs from the Contingency Budget in future disbursement payments
3.	MoF/UNDP to instruct PMU to update the MEF to better reflect latest project observations, clarities, consistencies and results attained since the start of the project. It is suggested to add (within the revised MEF) the need for an annual review workshop event to offer a platform for all stakeholders to be informed of and discuss progress and challenges of the project, also serving as a knowledge sharing event.
4.	UNDP to produce a midterm “tracking tool” (see Annex XI of this IE) as an additional midterm tool.
5.	UNDP/MoF to produce a new “Project COVID-19 Contingency Plan” (or “COVID-related impact risk assessment”) which may be annexed as a sub-section within existing Quarterly Reports or APRs.
6.	PMU need to update the Project Results Framework Indicators as identified in Table 3.1 of this IE to make them SMART. The pending APR 2020 must also be aligned consistently with the Funding Proposal, the Project Document, the FAA and the MEF. In addition, the MoF also should consider revising the MYWPB based on current progress and future APR 2020 information in line with GCF and UNDP policies.
7.	UNDP/MoF and PMU should partner to take action to streamline the PMU structure (streamlining and preparing updated ToRs for members) to enhance its mandate and internal decision making capacity.
8.	Regarding Activity 1.2, MoH to clarify in more detail (via an advisory note or workshop event), to the PMU and UNDP, how the specific set of CDSC guidelines produced to date focus on flood-borne diseases and responses relating to trauma (injuries, cuts, hypothermia).
9.	Regarding Activity 1.4.2 (Flood Model Houses), PMU to revise activity scopes and ToRs to better fit within allocated budgets and to re-tender the design and build with immediate effect.
10.	Regarding Activity 1.4.4 (Building Practitioners Registration), the MoF/PMU and UNDP to determine whether this could be better focused and targeted to current national needs, as opposed to being restricted to the original 2017 wordings set out in the FAA. The outcome of this issue must be clarified and updated within the Procurement Plan and Operational Manual accordingly.
11.	Need to reassess work planning needs associated with Activities 2.2.4 and 2.2.5 to ensure they focus on achieving intended results. EE need to review a series of possible strategies and budget re-allocations to support the PMU to devise options to manage these separate activities for the remainder of the project.
12.	PMU (through MNRE) to confirm the number of women, young people and people living with disability and older people from the families of the hired CfW workers and the percentage will be used to determine the percentage of cash for work activities targeting the vulnerable groups.



13. Activity 2.4 should be moved up to Output 2.1 as it is realistically the same work but was in the original Funding Proposal to allow this work to be part of the bridge or wall construction work. Regarding Activity 2.4.2, this again should link better to 2.1.2 (construction works only).
14. UNDP to consider new approaches to help with coordination of responses (under the role of the PMU) to consultancy/technical reporting outputs. A formal procedure is needed to improve comment collation in a more efficient manner (i.e.: 1 person needs to be formally tasked with compiling all IA comments and dispatching to UNDP etc or alternatively, to undertake and coordinate parallel report reviews etc).
15. MoF to review co-financing budget line amalgamations to help streamline the project as it progresses
Actions to follow up/reinforce to ensure delivery of expected results as per the FAA with GCF
16. UNDP, PMU and MoF to ensure that all matters pertaining towards answering the “Risk Flag” issues are prioritised with immediate effect. Urgent attention is needed to improve progress to address this issue.
17. PMU to authorise the need to update the current Activity 2.2. Operational Manual to ensure it reflects the current project situation (with lessons learnt and experiences to date) to help it provide the evidence base required to help formulate a framework for effective and sustainable flood management policy delivery into the future. The Operational Manual (set up to improve contract procurements) may be easily updated to reflect this new COVID 19 situation and demands.
18. The PMU Procurement Team to support IAs to fast track procurement procedures or invite shortlisted consultants where appropriate on a “call down” preferred status basis to avoid any further delays regarding contract related implementation.
19. In light of the above recommendations, MoF/UNDP/GoS need to agree on strategies to enhance and use national contractors in light of COVID 19 travel restrictions. There is also a need to relook at reviewing the qualifications of national or international firms/contractors to help them “partner up” with local contractors/consultants. This may include the need to set up a register of national contractor capabilities and competencies (database etc).
20. MoH should internally review their combined commitments (in light of COVID-19 commitments) and, if suitable, request that certain budget lines within the GCF-VCP are used to help design new training programmes for staffs on climate change related issues that is also aligned to their current workloads.
21. Existing generic and unachievable indicators need to be reviewed with regarding gender issues, for example, PMU to determine the number of women, young people and people living with disability and older people from the families of the hired CfW workers and the percentage will be used to determine the percentage of cash for work activities targeting the vulnerable groups. The project should, where possible also be actively sourcing opportunities for women employment (including this within revised indicators).
22. UNDP should encourage use of lessons learned through the project so far. This could be done e.g. through: (i) National and local inter-institutional seminars and workshops with the participation of all project partners, and other organizations/projects working in the same areas; and (ii) coordinated regional Pacific focused initiatives. To this end, an improved and updated GCF-VCP project “Visibility Plan”, needs to be re-launched and effectively disseminated to all relevant parties is needed for the remaining project period. One additional idea is for UNDP to consider possible South-South Cooperation activities for already completed tasks and those about to be completed up to the end of the GCF-VCP.



Proposals for future directions underlining main objectives	
23.	The Communications and Knowledge Management Strategy and Action Plan needs updating in light of new methods of communication required to address the COVID-19 pandemic and the impacts this is having on project specific and wider outreach communication and awareness requirements.
24.	It is important that the project team puts focus on wider lessons learned, documenting emerging best practices (at a national and regional level) to further build public awareness, including outreach to and collaboration with beneficiaries, community representatives, including schools. The collection of lessons learned from specific activities could also help inform the implementation of upcoming activities. The GCF-VCPs MEF should give a stronger emphasis on impacts and lessons learned, including PMU's follow-up with IAs to assure that they establish good and reliable baselines and understand how to measure impact. UNDP should consider the option of adopting a "Community of Practice (COP) modality to support this. This can be used as a new "communication response" (or Plan) between the AE, EE and GCF Secretariat which can address new issues (such as the impact of COVID-19 on the projects ability to secure existing co-financing commitments). A separate consultancy is recommended to provide recommendations on how to provide this response strategy.
25.	The PMU should undertake a forward-looking review of staffing and capacity needs for the IAs within the GCF-VCP spanning the current operational phase, reporting, closure period and "life after the GCF project" period. Capacity improvements may need to include the setting up and delivering more online training courses as part of this GCF-VCP to help add value and demonstrate long term sustainability of GCF funds. Likewise, CSSP Project Officers, for example, may benefit from having expertise on EbA to be able to help convey to project beneficiaries (and SBH) how households and businesses may introduce nature based solutions into their work plans to address flood management.
26.	GoS may wish to consider the creation of a new national Flood Policy (that is aligned to a new Spatial Plan and linked to Activity 1.4.2.2 to produce an "Upland Watershed Policy") will help to influence the need for future policy implementation.
27.	UNDP/PMU/MoF to produce a "Sustainability Plan, Replication/Upscaling and Exit Strategy" to help set out a framework for upscaling the results of the project as appropriate. This strategy or plan should make it clear which stakeholder(s) would assure sustainability and by what means (for example, through budget incorporations, work plan incorporations, hiring of staff, maintenance of infrastructure and other materials provided directly and indirectly by the Project. Whilst the Project Document doesn't request an "exit plan" specifically, it may be necessary to prepare one with a view to making the sustainability of the project more likely and shall help to gain consensus on the activities required for a possible future upscaling strategies. Hence it is recommended that the "exit plan" is enlarged to be a "Sustainability-Replication-Exit Strategy" to provide new flood engineering designs, clear finance and budget lines and clarity on lessons learned from the project to date, including (amongst others) the need to include specific surveying exercises on Government lands to help design flood "buffer" corridors etc.



1 INTRODUCTION

1.1 Purpose of the Interim Evaluation and Objectives

UNDP is supporting the delivery of the Green Climate Fund (GCF) funded project titled *“Integrated Flood Management to Enhance Climate Resilience for the Vaisigano River Catchment Project (PIMS 5919 - FP0037)”*. The 5-year project has a total budget of USD 65,717,748. This is financed through a GCF grant of USD 57,717,748 (US\$49,587,365 GCF grant plus an additional US\$8,130,383 contingency), administered by UNDP plus an additional USD 8,000,000 in parallel co-financing from Government of Samoa (GoS).

The Funded Activity Agreement (FAA) was signed on 9 July 2017 with project start date listed at 11 July 2017. The formal expected project completion date is 11 July 2023. The Accredited Entity (AE) for this project is the United Nations Development Programme (UNDP), whilst the Executing Entity (EE) is the Ministry of Finance (MoF). MoF provides overall strategic direction, leadership, oversight, coordination and supports implementation and delivery by all Responsible Implementing Agencies (RIAs) of the GCF-VCP approved work plans. The Responsible Implementing Agencies (RIAs) are the Ministry of Natural Resources and Environment (MNRE), Ministry of Works, Transport and Infrastructure (MWTI) Land Transport Authority (LTA) and Ministry of Health (MoH).. The primary direct beneficiaries include approximately 26,528 people in the Vaisigano river catchment area and 37,000 people indirect beneficiaries.

As per UNDP’s guidance for initiating and implementing Interim Evaluations of UNDP supported projects that have received grant financing from the GCF, this Interim Evaluation (IE) has the following core objectives:

- To assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results.
- Review the project’s strategy, its risks to sustainability.
- To promote accountability and transparency, and to assess and disclose the extent of the project accomplishments.
- To provide feedback on issues that are recurrent across the UNDP portfolio and need attention and on improvements regarding previously identified issues.
- To contribute to the overall assessment of results in achieving GCF strategic objectives aimed at global environmental benefits.
- To gauge the extent of project convergence with other UN and UNDP priorities, including harmonization with other UN Development Assistance Framework (UNDAF) and UNDP Country Programme Action Plan (CPAP) outcomes and outputs.

Full details of the objectives of the IE can be found in the Terms of Reference (ToR - see Annex X). The evaluation has concentrated on assessing the concept and design of the Project; its implementation regarding quality and timeliness of inputs, financial planning, and monitoring and evaluation; the efficiency and effectiveness of activities carried out and objectives and outcomes achieved, as well as likely sustainability of its results, and the involvement of stakeholders.

1.2 Scope and Methodology

The scope of the IE is as follows:

- i. critically examine 'the Project's objectives and arrangements for its implementation;
- ii. assess and report on the progress achieved to date towards the production of outputs, emergent achievements of stated outcomes, and its contribution toward achieving the overall project objectives of its key partners;
- iii. Identify and analyse major technical, management and operational issues and impediments encountered in the Project's implementation, if any;
- iv. Assess the monitoring and evaluation system in place;
- v. formulate a set of specific recommendations for actions necessary to ensure resolution of the issues and impediments identified so that the Project has a greater prospect of achieving its objectives; and
- vi. Present the recommendations to UNDP, GCF, EE and its key partners.

In its assessment, the IE considers a range of criteria, which are based on a draft GCF evaluation policy and related guideline in addition to the UNDP-GEF guidance document for conducting midterm reviews of UNDP-supported GEF-financed projects (see full list in Annex X). The temporal scope of the IE extends from the time of project start in June 2017 through to August 2020, which was the start of the IE. The review encompasses the activities and geographical scope of the Project in Samoa (Vaisigano Catchment – see Figure 1.1). The primary audience for the IE is the UNDP MCO Samoa office as the Accredited Entity (AE), the GCF as grant provider, the MoF as EE and National Designated Authority (NDA), Project Management Unit (PMU), UNDP-GEF Regional Technical Advisors (RTAs) and other key RIAs.

1.2.1 Independent nature and learning focus

The evaluation team, which is independent from UNDP and all project management/operations, consists of an International Consultant (IC) and a National Consultant (NC), who both have adequate technical and professional backgrounds to allow them to judge the project objectively and in an unbiased manner. In tandem, the IC has a relevant technical background and Samoan experience whilst the NC has relevant and professional experience with social development planning, research and stakeholder engagement and analysis in Samoa. Due to COVID-19 restrictions, the IC provided support virtually while NC provided in country support.





Figure 1.1: Vaisigano Catchment and priority “Segment” lengths targeted

1.2.2 The Approach to the IE

The IE aligns with the principles established in GCF’s (draft) Evaluation Policy⁵ and pending GCF guidance on conflicts of interest in evaluation. To effectively deliver this IE in light of the COVID 19 pandemic, the IC proposed the adoption of a collaborative and participatory methodological approach, ensuring close engagement with the PMU, the government counterparts (Ministry of Finance/NDA and Project Manager), the UNDP Samoa Multi-Country Office(s) (MCO), UNDP Nature, Climate and Energy (NCE) team’s Regional Technical Specialist (Bangkok), and other key stakeholders as suitable. Whilst by its very nature this IE cannot measure “final” VCP impacts, the IC and NC attempted to determine whether all the “ingredients” required to bring lasting change and to sustain flood resilience in Samoa are in place. Likewise, whether any risks identified to date were addressed, or any opportunities should be seized. In this sense, the IC’s approach went beyond the assessment of “what” the projects performance is to provide, to instead conjure up a deeper understanding of “why” the performance is where it is, and from this, what can be done to improve the achievement of the expected project objectives and their long term sustainability.

The IE made use of several data collection methods, to capture primary and secondary data (in a gender sensitive manner), spread over three distinct phases. Primary data was collected by interviews (face-to face, telephone and computer-assisted using “Zoom” technology adopted for focus group discussions and key informant interviews by the evaluators. Secondary data was collected by review of existing project documentation and relevant literature and policy documents. Site visits were also used to verify primary and secondary data and to take site photographs (see Annex XV). The three evaluation phases, spread out over a total of 26 working days are:

- Phase 1: Preparation and Inception (team introductions, document review (see Annex II) and stakeholder identification, evaluation matrix preparation and Inception Report production);
- Phase 2: Evaluation (adoption of “virtual consultation” techniques to deliver 10 Focal Group events (Annex I), virtual findings presentation (see Annex XIV).
- Phase 3: Analysis and Reporting (draft and final IE Report production).

1.2.3 Rating Scales

Progress towards results and project implementation and adaptive management are rated according to a 6-point scale, ranging from highly satisfactory to highly unsatisfactory (see Annex VI). Sustainability is evaluated across four risk dimensions, including financial risks, socio-economic risks, institutional framework and governance risks, and environmental risks. According to UNDP-GEF evaluation guidelines, all risk dimensions of sustainability, coupled with using (where practical) of gender-responsive tools and methodologies have been embraced: i.e., the overall rating for sustainability is not higher than the lowest-rated dimension. Sustainability was also rated according to a 4-point scale, including likely, moderately likely, moderately unlikely, and unlikely.

1.2.4 Ethics and Audit Trail

The review was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the IE consultant has signed the Evaluation Consultant Code of Conduct Agreement form (Annex VII). The IE consultant ensures the anonymity and confidentiality of individuals who were interviewed and surveyed. In respect to the UN Declaration of Human Rights, results are presented in a manner that clearly respects stakeholders’ dignity and self-worth. As a means to document an “audit trail” of the evaluation process, review comments to the draft report are compiled

⁵ <https://ieugreenclimate.fund/documents/977793/1621412/GCF+evaluation+policy+-+Draft>



along with responses from the IC and documented in an annex separate from the main report (clearance forms). Relevant modifications to the report were then incorporated into the final version of the IE report (see Annex IX).

1.2.5 Constraints and Limitations

The review was carried out over the period from early August 2020 to the end of September 2020, including preparatory activities, “virtual” field mission, site visits, desk review, and completion of the report, according to the guidelines outlined in the ToR (Annex X). There were no limitations with respect to language for review of written documentation thanks to the support of the National Consultant plus the fact that the majority of reports are produced in English. All Focus Group interviews were held in English though subsequent discussions after the main meeting were held in both Samoan and English. The IC was assisted by the NC during the whole consultancy period especially with regards to national field trips and national follow up meetings who, due to COVID-19 travel restrictions, could not be undertaken by the IC. Interviews were made with the key national stakeholders during the mission. The IC feels that the information obtained during the desk review, site visits and virtual “Mission” phases of the review is sufficiently representative despite the challenge faced with the delivery of “virtual” meetings (as consequence of the global COVID-19 health pandemic, the intended outcomes of the consultancy have been met.

1.3 Structure of the IE Report

The IE report commences with a brief description of the project, indicating the duration, principal stakeholders, and the immediate and development objectives. As defined clearly within the ToR, the findings of the review are then broken down into the following core aspects:

- Project strategy;
- Progress towards results;
- Project implementation and adaptive management;
- Sustainability.

The report culminates with a summary of the conclusions reached and proposed recommendations that have been formulated to enhance implementation during the final period of the project implementation timeframe.

2 PROJECT DESCRIPTION

2.1 Development Context/Relevance

As a Small Island Developing State (SIDS) in the Pacific, Samoa has been heavily impacted by increasingly severe tropical storms. Given the topography of the country, these extreme weather events have caused significant river discharge that results in flooding of lowland areas. Recent tropical storms like Cyclone Evan in 2012 and Cyclone Gita in 2018 have caused floods resulting in serious health impacts and significant damage to both public and private assets. The resulting damages for Cyclone Evan alone have been estimated at US\$200 million. Urban infrastructure suffered considerably and is expected to further degrade as extreme weather events become more frequent.

A number of environmental, economic, and socio-political factors contribute to its vulnerabilities, and lead to increased risks of climate change impacts in Samoa. Much of the impact of climate change is felt by individual households. The vast majority of households do not have the financial capacity to implement household-level interventions for climate change adaptation. The limited disposable income of most Samoan households means that tendencies for short-term gain take precedence over investment into longer-term measures for climate resilience.

With the Government of Samoa (GoS) being unable to implement the large -scale flood protection infrastructure that would be required to protect communities given their limited financial resources, both communities and infrastructure within the Vaisigano catchment are exposed to flood risks during extreme rainfall events. This project links closely to the principles and priority areas of the Strategy for the Development of Samoa (2020 – 2024) and its theme of *“accelerating sustainable development and broadening opportunities for all”*. The issue of flood management closely aligns to Samoa’s country priorities of the UNDAF Outcome 1.1 in that by 2017, the most vulnerable communities across the PICTs aim to be more resilient and select government agencies and CSOs and communities have enhanced capacity to apply integrated approaches to environmental management, climate change adaptation/mitigation and disaster risk management. The development context also contributes towards increasing Samoa’s economic, environmental and social co-benefits whilst supporting the GoS in meeting its target for the achievement of country priorities UNDAF Goals 1, 3 and 5 by 2030.

2.2 Problems that the Project Sought to Address

The Theory of Change (ToC), as applied to this project, aims to address the challenges or barriers facing vulnerable stakeholders within the Vaisigano catchment area. It seeks to create an enabling environment for climate resilient and flood proofing of the Vaisigano and Apia Urban Area (AUA), with the achievement of the following results:

- Integrated planning and strengthened capacities and information bases for making informed decisions. In addition, relevant feasibility studies to provide the project information to address flood-risks in Samoa.
- Enhanced infrastructure along the Vaisigano River so that it can withstand adverse effects of excessive water and higher run off which will in turn generate employment and income.
- Sustainable livelihood options through training residents on proven to be effective climate resilient livelihood options within this area.
- Development of improved and upgraded drainage systems through a climate resilient Drainage Master Plan which will regulate water flow and reduce flooding in the AUA.

By achieving each of the above results, the project aims to bring the residents and direct beneficiaries various benefits through climate resilience infrastructure and livelihood. The main barriers and threats are identified and described within the ToC, characterising the direct and indirect factors as root causes. The underlying assumptions were assessed as valid and realistic at the time and the project intervention strategy chosen.

The VCP was therefore formulated as a programmatic flood management approach towards enabling the GoS to reduce the effect of recurrent flood-related impacts in the Vaisigano River catchment, which flows through the area of the national capital Apia. It is designed to aid the GoS enhance its capacities and information base to pursue an integrated approach towards reducing vulnerability to flood-related risks; flood-proof key infrastructure in the Vaisigano River catchment; and upgrade downstream areas to increase river capacity and allow for the more rapid outflow of flood waters. It shall seek to address identified barriers to strengthen the adaptive capacity, and to reduce exposure to extreme weather events of vulnerable communities, infrastructure, and the built environment in the Vaisigano River Catchment area (which flows through the AUA).

2.3 Project Description and Strategy

The GCF project (referred to as the GCF-VCP from here on) support the GoS’s initial steps, as part of a programmatic approach as opposed to a more traditional “project by project” modality, towards operationalizing a comprehensive flood management solution through its integrated and holistic approach to both hard and soft flood protection of the Greater Apia Catchment with specific relevance to the Vaisigano River. The project has three inter-related outputs (see Table 2.1) that intend to achieve impact potential relating to flood prevention measures and watershed management practices that will provide multiple benefits for direct beneficiaries in the Vaisigano catchment area

and indirect beneficiaries inhabiting the Greater AUA. Each of these outputs comprises of a set of activities, which in turn have been designed to remove specific barriers that impede the achievement of the climate change vulnerability reduction objective.

Table 2.1: GCF-VCP Project Objective, Outputs and Activities

Project Objective	Outputs	Activities
Integrated Flood Management to Enhance Climate Resilience of the Vaisigano River Catchment in Samoa	1. Assessments and mechanisms in place for an integrated approach to reduce vulnerability towards flood-related risks	1.1. Strengthen capacities and information requirements to pursue an integrated programme approach to flood management
		1.2. Establish health surveillance systems to track and manage flood-related health issues
		1.3 Expand EWS coverage to provide flooding alerts in Apia
		1.4 Conduct awareness raising campaigns on building practices and designs for at risk communities living along the Vaisigano River
	2. Infrastructure in the Vaisigano River are flood-proofed to increase resilience to negative effects of excessive water	2.1. Channelization of segment 2 and 3 of the Vaisigano River streambed to accommodate increased water flow and decrease flood risks
		2.2. Implement ecosystem responses upstream for decreased flows during extreme weather events
		2.3 Construction upgrade of Lelata bridge to accommodate increase flood waters
		2.4 Extension of floodwalls at Lelata and Leone Bridges to prevent damage during extreme events
	3. Drainage in downstream areas upgraded for increased regulation of water flows	3.1. Develop a climate resilient Stormwater Master Plan
		3.2. Upgrade drainage systems and outfalls in hazard areas to accommodate flooding events

The primary direct beneficiaries include approximately 26,528 people in the Vaisigano river catchment area and 37,000 indirect beneficiaries. Whilst it is important to note that building a climate resilient flood management programme is a new field in Samoa, experiences gained through this project stands to contribute significantly to information and knowledge sharing to benefit other Pacific SIDS.

2.4 Project Implementation Arrangements

The project is implemented using UNDP's National Implementation Modality (NIM), according to the Standard Basic Assistance Agreement (2008) between UNDP and the GoS, and the Country Programme. The MoF as EE for the project has a key responsibility for being accountable for managing the project; which includes the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of GCF resources.

The Project Board (PB - also called "Project Steering Committee – PSC") is responsible for making by consensus, management decisions when guidance is required by the GCF-VCP, including recommendations for UNDP/Implementing Partner approval of project plans and revisions. The Project Board responsibilities include (i) providing overall guidance and direction to the project, ensuring it remains within any specified constraints; (ii) addressing project issues as raised by the project manager; (iii) provide guidance on new/any project risks, and agree on possible countermeasures and management actions to address specific risks; (iv) Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans. The MoFs Climate Resilience Investment and Coordination Division, supported by the PMU, acts as the Secretariat of the PB. Its composition utilises the existing Government's Climate Resilience Steering Committee (CRSC) which includes the MoF (Chair), UNDP, MNRE, MOH, LTA, MWTI, Ministry of Women Community and Social Development (MWCSD), Ministry of Foreign Affairs and Trade (MFAT), Samoa Water Authority (SWA), SUNGO and Samoa Chamber of Commerce and Industry (SCCI). The PB is further supported by two Technical Advisory Group (TAGs) – i) MNRE Activity 2.2 TAG made up of representatives of MoF, UNDP, MNRE, CSSP, SBH, SUNGO, MWCSD, Ministry of Agriculture and Fisheries (MAF) and Ministry of Commerce, Labour and Industry (MCIL),

PMU and chaired by MNRE and ii) Infrastructure TAG (I-TAG) is made up of LTA, SWA, EPC, MNRE, MWCSO, MWTI, UNDP, MoF, PMU and chaired by MWTI. These were established by the PB to provide and facilitate technical advice on implementation and coordination issues for the MNRE Activity 2.2 and all infrastructure activities to support decision making of the PB. The PB is also supported by other management mechanisms such as the CEO Forum (CF). The CF is chaired by the MOF. It started out informal but now meets monthly or on a 'as need' basis. Another important coordination mechanism that support IAs are monthly meetings with all IAs to discuss, address and support implementation of approved work plans. These meetings are coordinated by the PMU whilst UNDP specifically provides project oversight and quality assurance support. These established mechanisms, play key roles in expediting decisions and action by the IAs and as required by the PB to support timely implementation of approved work plans. Figure 2.1 is the Project Organisation Structure taken from the GCF-VCP Inception Report. Figure 2.2 outlines the current (2020) PMU structure which is currently made up 24 members (15 women and 9 men).

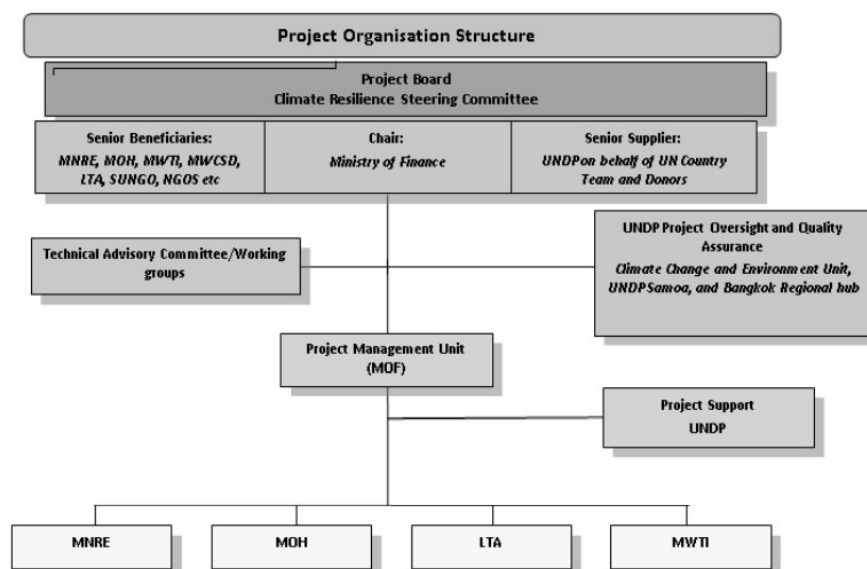


Figure 2.1: Project Organisation Structure (taken from the VCP Inception Report 2017).

2.5 Project Timings and Milestones

The key timelines completed or are planned (or expected) for project implementation are outlined below:

- FAA Approval Date: 3 June 2017;
- FAA Signature Date: 9 June 2017;
- Project Start: 11 July 2017;
- Project Document Signature Date: 21 July 2017;
- Date of Inception Workshop: 25-26 October 2017;
- Expected Date of Mid-term Review: 4th quarter 2020;
- Actual Date of Mid-term Review: August 2020 (completed on 4 October 2020);
- Expected Date of Terminal Evaluation: 11 January 2024 and original Planned Closing Date: 11 July 2022⁶.

⁶ Completion date is 11 July 2023, which happens one year after closing date (last disbursement).

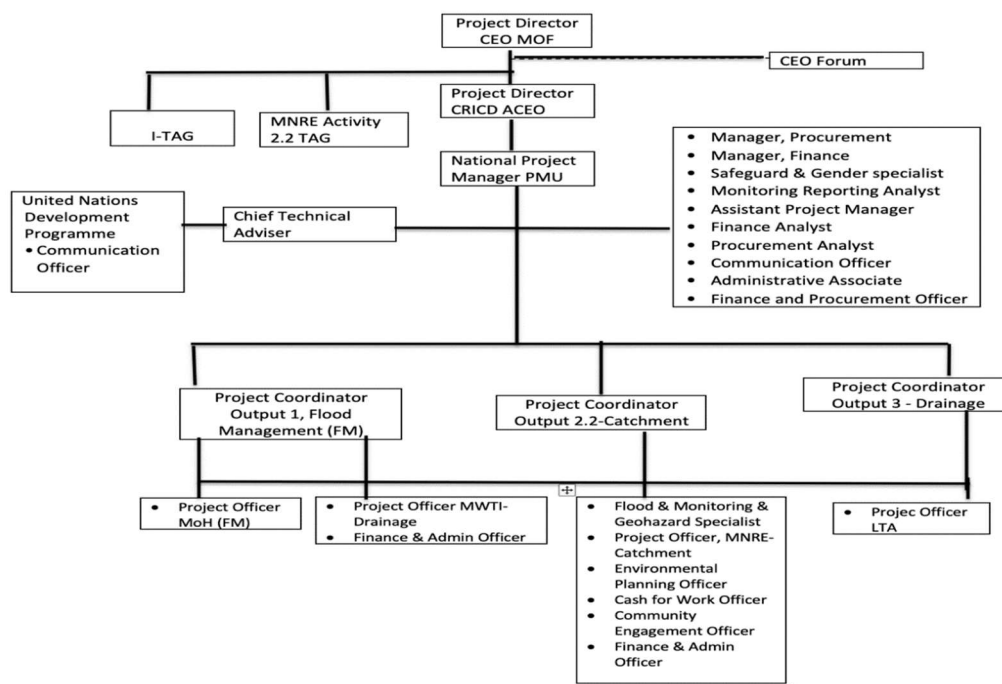


Figure 2.2: Current Project Management Unit (PMU) structure (NB: This diagram excludes project officers employed by CSSP and SBH to support implementation of the EbA-EDP. This revised structure includes all GCF-VCP funded staff positions that support implementation by IAs and reflect the current operational structure on ground implementation. It does not include short term consultants and UNDP funded positions (e.g. Project Implementation Support, M&E etc)

2.6 Main Stakeholders

During the project design phase an in-depth stakeholder analysis took place. GoS personnel were involved directly in the project design and continue to be directly involved with its implementation to date as Implementation Agency focal points, including from the MoF, MoH, MWTI and LTA. The purpose of this analysis was to identify main potential stakeholders and to consider their potential roles and responsibilities in the implementation and guidance of the Project. The main stakeholders for the project and their expected roles and responsibilities, as outlined in the stakeholder involvement plan in the Project Document, are listed below:

Main stakeholders	Relationship to the project
UNDP	Accredited Entity/Senior Supplier
MoF	Executing Entity/NDA/Chair Project Board
VCP Project Management Unit	Project management arm of the EE
MNRE ⁷	Responsible Implementing Agency (Activities 1.1, 1.3, 1.4, 2.1, 2.2, 3.2)

⁷ Plays support implementation roles in some Activities led by MWTI

MWTI ⁸	Responsible Implementing Agency (Activities 1.1, 1.4, 2.1, 2.4, 3.1, 3.2)
MoH	Responsible Implementing Agency (Activity 1.2)
LTA	Responsible Implementing Agency (Activities 1.1, 2.3, 3.1, 3.2)
CSSP (MoF)	Senior Beneficiary/Implementing Partner (Activity 2.2)
SBH (SBEC)	Senior Beneficiary/Implementing Partner (Activity 2.2)
SUNGO/NGOs	Senior Beneficiary/Supporting stakeholder (Activities 1.4, 2.2)
EPC	Implementing Partner (1.1.2)

3 FINDINGS⁹

3.1 Project Strategy

3.1.1 Project Design

The Project Strategy appears to have built upon and reaffirmed sector planning & programming which started in late 1990s. The GCF-VCP supports the systematic integration of climate change considerations into national development planning in Samoa, from policymaking and budgeting to implementation and monitoring. Complementing this, the main themes of relevance within the GCF-VCP design do clearly address “Mainstreaming” and “Adaptation” and hence **is very relevant** and stressed by all stakeholders consulted from national institutions to local community representatives. This is also reflected within the Logical Framework (see Section 3.1.2 below) as set out within the GCF Funding Proposal (specifically Annex I – Project Results Framework) and the Project Document (2017). The project is designed to fully satisfy the GCF investment criteria, however, there was no obvious formal “signpost” document to help the GoS to achieve these expectations. In spite of this, it is important to note that Samoa was already implementing some aspects of climate change and disaster risk management issues but on a more project focused approach.

The GCF-VCP is deemed nationally relevant as it builds on catalytic changes in Samoa with regards to climate resilient flood risk management. It appears to have been **well aligned** with the national sector development priorities and plans for example, the Draft Strategy for the Development of Samoa (SDS 2017-2020) and the Environment Sector Plan which were both being updated at similar times to the Funding Proposal preparation (during late 2016) to support the National Adaptation Programme of Action (NAPA) process. Programmatic alignment of GCF-VCP and NAPA timelines also appears to have been attempted. The GCF-VCP Funding Proposal appears to present a suitable route (pathway) towards expected/intended results and adhering to this, it provides the framework to be able to embrace the issues, lesson learned and underlying assumptions that had already been mirrored within the “*Economy-wide Integration of Climate Change Adaptation and Disaster Risk Management to Climate Vulnerability of Communities in Samoa*” (EWACC) project which built on experiences learned from Cyclone Evan (2012). In

⁸ Plays support implementation roles in some Activities led by MNRE

⁹ Although the ToR states a maximum of 14 pages, this section is presented over more pages to cover the additional sub-sections imposed by GCF within IE formulation which differs from other GEF related Mid Term Reviews.



addition, it was able to integrate the principles of some other projects completed or underway including the World Bank funded Pilot Programme for Climate Resilience (PPCR)¹⁰ and UNDP supported Adaptation Fund (AF) project¹¹.

The combination of the EWACC and GCF initial proposal ideas (already drafted by MNRE) appear to have helped the formulation of the GCF-VCP as part of Samoa's programmatic approach towards delivering sustainable flood management. The GCF-VCP is in fact designed to support a programmatic approach to flood management that is multi-sectoral and multi-ministerial (widening its coverage to include other ministries such as MWTI and others being heavily involved in its delivery). Of relevance, many of the Feasibility Studies and designs were also funded either under a separate World Bank (WB) storm-water drainage project or through other programmes such as EWACC. Issues pertaining to flood risk (building on experiences from Cyclone Evan in 2012), combined with EWACC outputs undertaken between 2013 and 2016, were also embraced within the design of the GCF-VCP, the geographic focal area of which (based on Cyclone Evan) was the Vaisigano catchment. Initial engineering flood wall and bridge design works needed for Segments 1, 2 and 3 had already been prepared (as initial drafts¹²) during 2015 as part of EWACC project¹³. This approach also supported the strategy, originally set out by the EWACC, through the production of an Integrated Water Resource Management (IWRM) Plan which included the necessary preliminary flood studies and modelling that were used to justify the engineering designs required for Segments 1, 2 and 3 (including all necessary safeguards and due diligence etc).

The projects' design phase did, however, prove to be a challenge according to several stakeholders, partly due to tight deadlines, technical requirements and evolving GCF guidelines as a reflection of being one of the first projects in the new GCF project cycle. GoS personnel were involved directly in the project design and continue to be directly involved with its implementation to date as IA focal points, including from the MoF, MNRE, MoH, MWTI and LTA. In addition, the shared and keen interest of GCF, UNDP and the GoS has been critical for the project to materialize and to overcome some of the teething pains as technical requirements, formatting guidelines and details of framework agreements needed to be worked out or addressed. In spite of this, there remain some clear oversights in the project design.

Whilst perhaps not a critical observation, the project strategy and design does appear to lack reference to some past projects that have been implemented in the Vaisigano area, namely the "Vaisigano Integrated Watershed Management Project (1988-1994)" which produced a plethora of relevant reports focusing on Sustainable Land Management (SLM), agro-forestry and landscape conservation for upper catchment communities. Likewise, little reference was made regarding lessons learned from the "Integration of Climate Change Risks and Resilience into Forestry Management in Samoa" GEF-ICCRRF project, nor the AusAID Agro-forestry and Tree Farming projects. Both projects included extensive work that included the production of manuals on agroforestry and climate resilience tree species. These projects (which ran concurrently from 2011-2015) also provided several published technical reports on participatory community planning, climate resilient agro-forestry systems, vulnerability assessment for ecosystem-based approaches, etc.

There is evidence that engineering flood wall designs, produced and presented within the Funding Proposal, were either not fully complete or had not fully undertaken sufficient climate resilient modelling works or latest climate scenario precipitation prediction calculations. Also, building on the outputs of the World Bank *"Enhancing the*

¹⁰ "Enhancing climate resilience for West Coast Road Project" and "Enhancing climate resilience of coastal resources and communities"

¹¹ "Enhancing resilience of coastal communities of Samoa to climate change" (Fully developed programme document; UNDP; WSM/MIE/Multi/2011/1; US \$8,732,351)

¹² Engineering Consultancy firm Kramer Ausenco under the EWACC project for Segments 1, 2 and 3 were already in detailed design stage by Nov 2015. These were the designs in which the GCF – VCP formed basis of the project document on for output activities 2.1 and 2.4.

¹³ Only Segment 1 was implemented specifically under the by EWACC project.



Climate Resilience of the West Coast Road (WCR) Project for Samoa” (2012), worst case scenario flood events should perhaps have been better considered in early draft bridge and flood wall designs. That said, flood models adopted (using EWACC), as they existed at the time, were used and allowances for further modelling/assessment work were acknowledged to be required to ensure project interventions were designed based on latest climate knowledge. This slight oversight could also be attributed to the strict timelines for the post-approval processes including the signature of the FAA and the finalisation of the Inception Report.

Another observation is that key studies were also carried out to better learn about the societal and anthropological make-up of the Vaisigano communities may have proven very valuable knowledge to support what perhaps may have been inculcated into the project design. It is noted that significant pressure was placed on UNDP and GoS ministries to complete the proposal in time for submission to the GCF Board Meeting held in Samoa in December 2016. Under these circumstances and the short timeframes provided, some of these critical information may have been inevitably overlooked during the project design. In spite of these oversights, it must be stated that the most recent and updated information was utilized for the development of the project which included the EWACC project reports mainly the Greater Apia Integrated Water Management Plan (IWMP). In the compilation of the VCP-GCF Funding Proposal, the majority of previous reports prior to EWACC were being taken into consideration by a team of consultants¹⁴ and the design (jointly developed by UNDP and GoS) was approved by GoS prior to submission by UNDP to GCF.

One positive adaptive measure observed relates to the original omission, within the project design, of any reference to the Civil Sector Society Programme (CSSP) within the Funding Proposal (for Activity 2.2.2), where only reference is made to the Development Bank of Samoa (DBS) and SBEC. Whilst this may be deemed an error in the design, the IE can see evidence of a GCF-VCP adaptive management process developing (which is an integral part of a successful project implementation), as a decision was made to engage CSSP instead of DBS. This was rectified when the Operational Manual (Activity 2.2) was produced.

Finally, the fact that the concept of EbA was very new to Samoa suggests that extra effort needed to be placed on what EbA techniques exist to effectively support flood management in Samoa and from this, determine how these actual technique examples should be best communicated to households and businesses. Without clearly articulating where these EbA examples are (either in Samoa or on neighbouring SIDS) is likely to prove a challenge unless “on the ground” examples are demonstrated and shown during training events. If such exemplars were not available to be able to demonstrate in Samoa, additional budget lines or specific activities perhaps should have been included within the design to help with encouraging regional “good EbA practice” message communication from Fiji or Tonga. More targeted overseas visits for example to these islands may have been included in the project design for CSSP or SBH staff(s) to attend so they could better understand flood related EbA interventions (upper catchment tree planting etc) so these messages could have been better conveyed as working examples to Samoan households during the first CfP1) exercise (Activity 2.2.4). It is understood that there was one fact finding EbA study tour to Vanuatu and Fiji that was attended by staff from the PMU & MNRE to better learn about Payment for Ecosystem Services (PES) and EbA approaches. The outcome of this has provided better understanding of design options (as reported by the currently engaged PES consultants).

3.1.2 Results Framework/Logframe

The IE analysis of the Projects Results Framework has not found any significant weaknesses that impact upon final project delivery. Despite this, some outputs and related indicators seem ambitious with unsuitable indicator

¹⁴ The consultants used by UNDP/GoS relied on context and information being provided by all parties to help inform a complete and accurate proposal, including information of ongoing and past projects that were implemented at the Vaisigano catchment area

matrices used. All outputs are very clearly defined as self-standing "products". In general, the logical framework design is viewed positively in terms of its relevance to Samoa¹⁵. Some inconsistencies and errors have been noted¹⁶. To this end, this IE has assessed the Project Results Framework against "SMART" criteria, whether the indicators and targets were sufficiently specific, measurable, achievable, relevant, and time-bound. With respect to being "time-bound", the end targets were designed to be achieved by the end of the 6-year (72 month) duration project (see Table 3.1). In this case, each of the targets are mostly considered compliant with the time-bound dimension of SMART criteria.

One observation is that during the production of the Project Results Framework (and subsequently the Project Document), understanding the core message and intentions based on the wordings used (to all IAs) perhaps was not as clear as it should have been, especially as these were conveyed to all relevant IAs during the Project Inception Report phase (October 2017). MoH, for example, has experienced confusion over specific indicator wordings. In this instance, the focus was made on flood related health matters for communities within the Vaisigano catchment only. Hence the term *"include flood related information in climate EWS messaging systems"* was stated within the GCF-VCP Work Plan set for MoH, though this is quite different to what was originally planned (i.e.: a climate "EWS" was envisaged - not a "messaging" system per se). This issue is addressed further in Section 3.3.

Other indicator errors relate to Activity 2.2.5, the issue with this indicator is that in the FAA-pages 18-19 and OM-page 19 it mentions *"6,000 beneficiaries trained and expected to benefit from the EbAED program"* however in the M&E Plan there is no indicator for the EbAED activity and in contrast page 9 of the Pro Doc Paragraph 7(#20) states the ecosystem component estimate of 9,000 beneficiaries reside in 18 villages which will be offered trainings. It is expected 50% of these 9,000 beneficiaries or 4,500 people will take up training and 25% (which is 1,125 people) is assumed to develop business ideas and increase incomes for themselves and their families. The Operational Manual (Table 3. Page 5) refers to 19 villages with a total population of 8,254 (Census 2016). Importantly inconsistency has been increased by the PMU and approved by the Board to represent 31 villages.

Regards Activity 2.2.6, it states that *"50% of cash for work activities will target women, young people, people living with disability and older people"*. This is not deemed possible and should be altered as the nature of rehabilitation works is labor intensive and given the cultural, safety and health aspects of the project these take precedence over the demand to hire more women. ***PMU (through MNRE) will need to confirm the number of women, young people and people living with disability and older people from the families of the hired CfW workers and the percentage will be used to determine the percentage of cash for work activities targeting the vulnerable groups***¹⁷.

Where possible, an attempt has been made in Table 3.1 (below) to identify whether specific project targets are not likely to be achieved or not within the remaining timelines available to the project. The proposed improvements identified are introduced to support the PMU to allow the Project's Outcomes to be more fully described and more fully monitored and measured. Their adoption in the remaining time of the project may need to be practically considered by the PMU as part of the APR (2020) or via the pending Q3 Report for 2020 (due by 15th October 2020)¹⁸.

¹⁵ It was reviewed during Inception Workshop (21st August 2017 - one month after the project document was signed between the GoS and UNDP) but no change was made to the indicators or activities.

¹⁶ (see also Part B: of Annex XIII - Documentation of Issues, Discrepancies and Impact on Implementation by Ministry of Finance (MoF)/GCF Project Management Unit (GCF-PMU) and Implementing Agencies (IA), 2 September 2020 for Mid Term Review (MTR))

¹⁷ This activity is already in the pipeline to engage SUNGO to undertake the 'Profiling Survey' for the CfW workers.

¹⁸ The adoption consideration timeframe is very short, and this may be better reviewed for the Q4 report due in December 2020.

Table 3.1: Progress Update and SMART Analysis of Project Results Framework Indicators¹⁹

Description of Fund level/Project Outcome impact Core Indicators ²⁰	End of project target level	IE SMART Analysis ²¹					Commentary (including any changes ²² if any)
		S	M	A	R	T	
Fund Level Impact 1) Increased resilience of infrastructure and the built environment to climate change:							
Number of physical assets made more resilient to climate variability and change, considering human benefits	<ul style="list-style-type: none">Channelization of Segments 2, 3 and 4 of the Vaisigano RiverConstruction upgrade of Lelata bridgeExtension of flood-walls at Lelata and Leone BridgesSegment 1 – Aggies river-wallPenstock WallExtension of flood wall at Leone Bridge (segment 1 side)Apia Waterfront Drainage sites upgrade9 priority drainage sitesTotal number of physical flood-resilient assets: Nineteen (19)	Y	Y	?	Y	Y	<p>The Total number of physical flood-resilient assets was not provided in the Results-framework this was not reported against in the APR2019.</p> <p>A key issue relates to the wording of “review of engineering designs” which is stated in the FAA. For example, the EWACC project came up with designs for Segments 1-3 though none for Segment 4. However, the problem that the VC faces is that unless works are carried out in Segment 4, what impact may this have elsewhere? This is why work in Segment 2 was extended to ensure that any “gaps” within Segment 1 (damaged by Cyclone Gita flooding) were carried out to protect the same group of people and minimize flooding. Nineteen (19) assets are recommended within this IE as the figure to be reported on to GCF though a full listing of physical assets now needs to be produced.</p>

¹⁹ Annex XIII includes a further assessment of changes required and IE recommended way forward based on a PMU/IA produced “GCF-VCP Project Documents’ Assessment Documentation of Issues, Discrepancies and Impact on Implementation by Ministry of Finance (MoF)/GCF Project (produced in September 2020).

Management Unit (GCF-PMU) and Implementing Agencies (IA), 2 September 2020 for Mid Term Review (MTR)

²⁰ As per the relevant indicators established in the Funding Proposal and the Performance Measurement Framework, including all indicators approved by the Board and relevant updates agreed with GCF, if applicable.

²¹ SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria

²² Related to the approved indicators and targets in the Logic Framework

<i>Value of physical assets made more resilient to climate variability and change, considering human benefits</i>	At least USD 40 M dedicated to climate proof segment 2, 3 & 4 and drainage works in AUA.	Y	Y	?	Y	Y	The US\$40M figure for climate proofing infrastructure (Segments 2, 3 and 4) and drainage works may need to be reviewed and updated in line with MWTI and LTA budgets to ensure it is achievable should Contingency Funds not be accessed. The Adaptive Management strategy adopted for the GCF-VCP has been discussed at CEO/PMU level on this issue since the start of the COVID-19 pandemic lockdown (March 2020) given the issue with preliminary cost estimates of the riverwall. The IE proposes that drainage budget (lower) should be separated from river walls budgets (which are higher) to demonstrate these differences and hence budgetary needs in the future.
Project Outcome Level Impact - Strengthened adaptive capacity and reduced exposure to climate risks							
<i>Use by vulnerable households, communities, businesses and public-sector services of Fund supported tools, instruments, strategies and activities to respond to climate change and variability.</i>	At least 26,528 residents located in the AUA are protected by flood management interventions upon completion of flood proofing and channelization works along Segments 2, 3 and 4.	Y	Y	?	Y	Y	This figure is estimated to benefit from river works. However, according to the 2016 Census, there are only 16,014 people living in the Vaisigano Catchment (Vaisigano River Catchment Area (VRCA) - 31 villages). The higher figure has been estimated from the Risk Scape Platform which includes 3 other catchment areas in the greater Apia Urban Area. This needs to be changed. Either the scope of GCF activities extend to include the whole Apia Urban Area or the number of beneficiaries realistically drops to 16,014 people. Gender disaggregated data can be reported however the only available data is from the beneficiaries who attend the programs implemented in the area (not including those who work or do not attend the programs). In spite of this, beneficiaries of the AUA include villages that are officially outside of the Vaisigano catchment which are also impacted by floods prior to the project. Also other work e.g. drainage include areas within the AUA. The exact figure of these "outside" beneficiaries needs to be determined. The IE recommends that the figure should be amended downwards to reflect the target based on the 2016 census (focusing on the VCP area only).
<i>Number of males and females (and percentage of total population) reached by climate-related early warning systems established/strengthened</i>	At least 26,528 residents located in the AUA receive EWS for flooding.	Y	Y	?	Y	Y	
Output 1: Assessments and mechanisms in place for an integrated approach to reduce vulnerability towards flood-related risks							
<i>Number of sectoral plans and studies developed and/or adopted aligned to the IWMP.</i>	4 sectoral plans / studies developed/adopted for key sectors in the Greater Apia Catchment (Roads, Drainage, Reservoir, Water supply, etc.) aligned to the IWMP.	Y	Y	Y	Y	Y	<p>The IE questions the title of this indicator with regards to its impact. What is missing in this indicator is the clarity in terms of what an adopted plan (for key sectors) will mean in terms of mainstreaming flood resilience if they are aligned to the IWMP? Would this mean extra budget commitments for flood resilience measures? More trained staff?? This point needs improved clarity if the Fund impact is to be realized with improved cross reference to the Feasibility Study reports produced to better clarify this point. Currently, reference in APR is made to the plans or four studies being developed under GCF-VCP should be the target.</p> <p>The IE also notes also that the Prodoc only has 2 indicators for Output 1 (as presented here). However, the Monitoring and Evaluation Plan 2018 (M&E Plan) of the VCP that is used for monitoring of the project implementation includes 3 indicators for Output 1. The third indicator missing from this analysis table is "Number of manuals with the needs of people living with disability are clearly and accurately reflected." The IE recommends that the FAA is adhered and that the MEF is updated accordingly to ensure consistency of documents.</p>

<i>Number of technical and extension officers trained on flood-related EWS data collection and interpretation.</i>	At least 300 technicians will be trained on EWS related to flooding.	Y	Y	?	Y	Y	The basis (and definition) for the 300 technicians (which intends to include the GoS staff that need to be trained on EWS to sustain activities after the project) to be trained requires attention. . There is for example, only the need for circa 15 persons to be trained on TUFLOW modelling (very technical) whereas. Therefore the language of the indicator needs to be slightly updated to reflect what is intended (i.e.: extension officers need training but not on technical modelling etc).
Output 2: Infrastructure in the Vaisigano River are flood-proofed to increase resilience to negative effects of excessive water							
<i>Number of people benefitting from improved flood management through implementation of hard and soft measures for protection of community assets (set by gender)</i>	At least 26,528 people benefit from improved flood management from climate-resilient flood protection measures introduced in VRC for protection of community assets (separate gender).	Y	Y	?	Y	Y	The issue with this indicator is that in the FAA-pages 18-19 and OM-page 19 it mentions 6,000 beneficiaries trained and expected to benefit from the EbAED program however in the M&E Plan there is no indicator for the EbAED activity and in contrast page 9 of the Pro Doc Paragraph 7(#20) states the ecosystem component estimate of 9,000 beneficiaries reside in 18 villages which will be offered trainings. Expected 50% of these 9,000 beneficiaries or 4,500 people will take up training and 25% (which is 1,125 people) is assumed to develop business ideas and increase incomes for themselves and their families
<i>Number of people reached by flood-related EWS established (separate by gender).</i>	At least 26,528 people benefit from EWS cover-age related to flooding alerts in Apia.	Y	Y	?	Y	Y	The IE suggests that some clarity is needed as to whether direct or indirect beneficiary numbers should be used, as this is not made clear in any GCF operational support manual, nor has it been finalized (as an agreed number) via the UNDP-MCO nor the PMU. This needs urgent attention. According to the 2016 Census, there is a total of 16,014 people from the 31 villages in the Vaisigano Catchment and the AUA has 4 districts/ 95 villages with total population of 37,391 people. The IE recommends the need to account for indirect beneficiaries.
Output 3: Drainage in downstream areas upgraded for increased regulation of water flows.							
<i>Number of households served with flood-proofed drainage in Vaisigano River Catchment</i>	At least 5,000 households benefit from flood-proofed drainage in Apia.	Y	Y	Y	Y	Y	The IE questions the title of this indicator with regards to its relevance. What is missing in this indicator is the clarity in terms of what the “benefit” from drainage actually is, for example, reduced flood inundation on property, agricultural lands, business etc and how this differs from the baseline situation. This should be reviewed and updated. Also, the M&E Plan includes 2 indicators for Output 3. The second indicator missing from this analysis table is “Number of men and women, youth, elderly and people living with disability participating in consultations”. IE recommends to revise target to reflect actual number of households within the Apia area as per latest Census (2016).

3.2 Relevance, Effectiveness and Efficiency

3.2.1 Relevance

During project initiation, the context, problem, needs and priorities were well analysed. This was in part due to the design being targeted on national and sector priorities, the highest level being the original Draft SDS 2017-2020 (Outcome 14) that is linked directly to climate and disaster resilience. Key focused sector strategies/plans (14 in total) were set up including those for Health, Infrastructure²³, Economy and Environment etc) which all helped to support the final collated Draft SDS (2017-2020) that reflected the national priorities in Samoa after Cyclone Evan (2012) and later Cyclone Gita in 2018. Project relevance is also validated with regard to the GCF-VCPs selection of key segments within the Vaisigano catchment (interventions) which strategically built up the work defined in the EWACC project (which funded interventions up to Segment 1) by funding flood schemes, bridge works and drainage within Segments 2, 3 and 4 plus and from within the Apia area. The project also strategically links to the intended outcomes of previous World Bank funded projects that seek to support the LTA to identify climate vulnerable stretches of the nation's road and bridge networks. The outcome of that project was to reduce bridge foundations where possible (multi-span bridges) which often create problems during cyclone events (i.e.: large debris flowing downhill getting trapped within bridge columns). In addition, the project embraced lessons learnt from Cyclone Evan in 2012 whereby the Leone Bridge was damaged and a new design resulted in the removal of central pillars.

3.2.2 Effectiveness

The IE believes that the effectiveness of the GCF-VCP addresses most national contributing factors and constraints. It therefore remains mainly aligned with the GCF investment criteria and that on the whole, planned inputs and strategies remain realistic, appropriate and adequate. At the outset, GCF needed many assurances that their funds were to add value and provided climate additionality, hence the need for additional modelling studies and feasibility assessments (despite the fact that the project was building upon the EWACC project as mentioned earlier) and that the preliminary designs were appropriate. GCF requested that these designs were reviewed and updated to be made more climate resilient with new flood modelling outputs where possible. These extra cross check studies have impacted upon programme as significant project time has been spent undertaking these more detailed Feasibility Studies within Years 1 and 2. This has also inevitably impacted on disbursement rate progress (see Section 3.4.3). Despite this, the designs now being proposed (through the MWTI and LTA) are updated to recommend a 1:20 yr return period design for catchment flood wall designs and Lelata Bridge (subject to land ownership issues for buffer areas). Importantly for the future, all Vaisigano catchment flood wall designs shall be engineered to withstand events up to a 1:50yr return period. In addition, the diameter of main drains and culvert designs²⁴ are now being increased to the recommended 900mm to reflect new climate rainfall predictions (using new modelling or climate change scenario prediction tools used through the Feasibility Studies of the GCF-VCP) to help re-design engineering options based on such future climate predictions.

Project delays at the start of the project have impacted in project effectiveness as has been documented in annual and quarterly reports. The current PMU, for example, was not operational until mid-2018. An interim PMU with support from UNDP was procured to kick start work of the project in 2017. In addition, challenges over setting up CTAs impacted on the effectiveness of the project in the first year of implementation (see Section 3.4.1). Following the start of the project, UNDP secured the services of a CTA however, the level of expected technical advice and support that derived from this individual (in the view of some, but not all IAs) was not sufficient, and that position

²³ The Sector Plan for LTA which focuses on improved drainage networks and road designs in a climate compatible manner.

²⁴ It is acknowledged that designs are still (at the time of writing) being reviewed and finalised.



has now been vacant since December 2019. UNDP MCO decided to secure the services of a Senior Technical Advisor (STA) to help UNDP respond and address issues raised within the GCF Risk Flag (especially as there were urgent issues that were being faced as a consequence of the rapid proposal production - inaccuracies/inconsistencies regarding indicator wordings etc) and to provide support to IAs to align their activities with the GCF project objectives. One challenge facing this candidate is the fact that two roles are expected; one as advisor to UNDP and the other as CTA to the PMU²⁵. Furthermore, the expertise required for a project such as this requires part of the technical expertise that the STA can provide but also the need for very specific engineering/infrastructure/hydrology based expertise, which is a technical gap that currently still remains within the PMU.

The IE believes that project effectiveness levels have been addressed, where possible, through the proactive work of the GCF-VCP. Adaptive management strategies have been introduced including the MoF/PMU supporting requests by IAs to help support them with staffing needs, even though funding only allows for 3 Output Coordinators in each of the IA and these were in place end 2018 to mid 2019. Other support activities to improve project effectiveness include the initiation of formal monthly and ad-hoc (as need basis) regular engagement meetings with IAs. In spite of this, one challenge facing both the UNDP and PMU is the fact that all IAs have existing core functions to achieve GoS key priorities and indicators remains a constant stumbling block to progress. The PMU also does not have decision or policy making authority over the GCF-VCP apart from providing technical and operational advice/input to MoF who has overall direction for project, unless these are clarified and approved by PB following discussions and agreement with PB/IAs/MoF. PMU staff therefore do not (and should not unless dictated to do so within the FAA) replace totally the IAs mandated roles on any project. In fact, in many circumstances, some IAs also have other donor related PMUs that have to be reported to as well as the GCF-VCP PMU. To address this, it is felt that institutional management structures could have perhaps been set up to make more efficient lines of communication between the PMU and the IAs that better reflect existing modes of communication or build upon those modalities that have worked on other donor projects (World Bank etc). These effectiveness related challenges, faced by the PMU, need to be raised within this IE as these have contributed towards GCF-VCP delays which ultimately fall outside of PMU control.

3.2.3 Efficiency

The IE believes that efficiency levels at the project outset were compromised as a result of the approach to set up the Interim Management arrangements which included procuring most of the consultants/staff from July 2017 through to mid 2018. This appears to have caused degrees of confusion and delays (in part linked to the procedures to finalise ToRs used via UNDPs procedures, for example the PES contract). In some instances, procurement delays were mitigated by using UNDP procurement modalities to help move the project forward (to ease the burden of procurement on the shoulders of IAs and the GoS). Project implementation momentum is now steadily increasing and progress overall is becoming better aligned to project time schedules. In spite of this, there needs to be lessons going forward to better understand the main reasons why key project staff leave to determine whether this is linked to salaries, workload, mismatch of skills etc. Importantly, the IE is seeing evidence of an adaptive management strategic approach being adopted by UNDP and the PMU which is helping to improve efficiency levels where possible. For example, IAs are now able to engage directly with contractors regardless of whether contracts were originally procured by UNDP or GoS counterpart Ministries. Delivery challenges have also been overcome through using the CEO Forum, TAGs etc and ad-hoc CEO interventions to address timely implementation issues.

One efficiency issue that is often raised relates to staff turnover rates within the PMU. In fact, turnover rates have been quite low (3 staff within the span of June 2019 – Dec 2019) where they did not add value nor effective contribution to the performance of the GCF-VCP work plan though their departure from the GCF-VCP/PMU did not (according to the PMU) have any major impact on project implementation and delivery. Their departures of the CTA,

²⁵ Note the STA does not replace the CTA advisor role especially with regards to the technical/engineering expertise required.



Project Coordinator for Flood Management (Output 1) and Monitoring and Reporting Analyst (MRA) were of their own choice, however, and in fact, their departures provided an opportunity for MoF/GCF-PMU/IAs to procure the most technical and suitably experienced candidates who are truly passionate about the opportunity to serve the GCF-VCP/ Government/MoF/IAs.

Another efficiency issue refers to a collectively poor appreciation of GCF procedures. GCF processes, in the view of many IAs (and the EE) are far more rigid and ambiguous than with long time donors to Samoa. For example, MoF²⁶ have referred to processes of other development partners such as World Bank, Asian Development Bank as ‘seamless’ and conducive to ‘on-the-ground’ implementation. LTA have stated they are well versed with World Bank processes and hence outputs appear to be more on time and in line with donor expectations. Working GCF policies & procedures were however made directly available to PMU/IAs in addition to the FAA/ProDoc/MEF/MEP and GCF/UNDP ESMF/MP. In addition, UNDP training (on UNDP processes as the project utilises the NIM modality) was undertaken at start of project (and via annual workshop events) and has been offered on a regular basis since.

Efficiency levels also appear to relate to a combination of multiple levels of approval processes that are required coupled with aspects of some planning at the Project Design phase. A key lesson is for AE, PMU and IAs (in addition to UNDP MCO) being able to feel totally confident in appreciating GCF administrative requirements²⁷ at the very start of such a large project. This comment is, however, qualified by the fact that the current PMU were not formally on board at the start of the project. Perhaps a clear observation here is UNDPs role (as AE) in supporting the EE/PMU is critical on this issue early on as well as throughout the project with regards to GCF administrative processes, needs and demands. The multiple level of approvals being experienced to date (within the Project team plus also up to the GCF) appears to be impacting on progress and efficiency levels. The IE acknowledges that multiple level approvals are the “norm” for GoS / UNDP existing approval mechanisms/thresholds (including transparency in internal control procedures for procurement, contract management and payment processing etc) and this applies across all donor and government funded projects. Efficiency levels nevertheless appear to be affected also by IAs and staffs lacking the time or dedication to follow GCFs strict project monitoring protocols.

3.3 Progress toward Results

3.3.1 Progress towards outcomes analysis

Progress towards achieving project objective is rated as: Satisfactory

Progress towards objective level results and each individual activity is summarized in Annex XIII with specific information per activity and indicator (traffic light “Dashboard” of progress). In light of the observations and assessments presented within Annex XIII, some overarching strategic observations (not for every Activity) have been ascertained from the IE exercise, with regard to progress on project results, are articulated below:

Progress towards achieving Output 1: IE Rating: Satisfactory

- Activity 1.1 The 4 main Feasibility Studies undertaken are now almost complete in addition to the Flood buffering Feasibility Study and the Central Cross Island Road (CCIR) study. A tender has also recently been

²⁶ It should be noted that this is the first project of this kind where MoF is nominated as an Implementing Partner (or EE), in comparison with other Govt entities such as MNRE whom may already have experience with similar donors (such as GEF etc).

²⁷ All administrative requirement needs are regularly communicated to the project by UNDP as soon as UNDP becomes aware of them, which is when GCF provides such information/guidance.



awarded for the Apia Integrated Sewage System (AISS). Five (5) manuals have been produced linked to National Building Code and handbooks produced are being used for training of engineers, carpenters, builders in the infrastructure industry to ensure they understand the building code requirements. Contractors and Design consultants work in Output 1 (BMT flood modelling) has been used to assist in the new design work undertaken.

- Activity 1.2: Establish health surveillance systems to track and manage flood-related health issues – progress has been slow (see commentary below). Timelines taken to develop, submit and review ToRs and other works remains a pressure especially as staff numbers in MoH are low. Data provision from the Meteorological Division has been slow and often presented in formats that MoH cannot use. Problems have also been experienced with regards to the writing and acceptance of ToRs linked to the undertaking of aspects of Output 1.2. At the outset, early draft ToRs were often rejected by the PMU/UNDP. ToRs have been re-written with IT colleagues to help with the correct wordings used for the e-surveillance system. Regarding Activity 1.2.2 (“Train Health practitioners dealing with flood-related emergencies on how to respond”) there is a need for clarification on whether this amounts to duplication of effort and why it is sub-activity that is reported in 1.2.2. Regarding Activity 1.2.3 (“Train village councils on how to prepare for and evacuate flood-related victims”), UNDP/PMU need to determine whether this activity should be in collaboration and under the responsibility of MNRE-DMO as it is entirely related to disaster emergency issues. Regarding Activity 1.2.4 (“Awareness raising among health practitioners and village councils about flood related EWS”), UNDP/PMU need to determine whether this activity should be delayed until EWS system for flooding and health are integrated in the Samoa CLEWS. This activity is contingent to the completion of specific activities dealing with the installation of the EWSs. The awareness raising activities are for the operationalization and application of EWSs once completed. A key problem was found in relation to the clarity of how to communicate what the H-EWS surveillance system intends to do. The movement away from this H-EWS at the start of the project meant that the intended outcome was not relevant in the eyes of the MoH as some activities were not their priority or related to their mandated work.
- Activity 1.3 – this aspect is addressed in more detail at the end of this sub-section.
- Activity 1.4 Conduct awareness raising campaigns on building practices and designs for at risk communities living along the Vaisigano River. 1.4.1 National Building Code (NBC) – this is hoped to support all aspects of the construction industry and help MWTI enforce compliance with flood resilience standards of new buildings²⁸. This is also being considered in tandem with regulations required to implement flood resilience in Samoa. MWTI had been trying to update these for the past 20 years. The first version (circa 400 pages) was developed using NZ AID originally in 1992. This version was not well understood or made aware of. This “unknown” commodity resulted in national complacency with regards to the adoption and application of safety regulations etc. In addition, there was no awareness programme linked to this original NBC. The Revised NBC (which now includes CC/DRM - funded by NZ) was endorsed by Cabinet in 2018. Five simplified “Handbooks” were developed to support awareness of the NBC and funding was also made available to conduct awareness consultations for communities in VC area. The messaging and simplification process (handbook production) was critical to ensure full understanding of the NBC. A “Build Back Better” slogan is now being used that links well to this revised NBC. The slogan embraces the focus on flood management and highlights climate resiliency issues better. It also links to other GoS initiatives that are aligned to the SDS (2020-2024). The Ministry of Works Act (2002²⁹) is the legislation to help enforce the NBC, however,

²⁸ The NBC also covers coastal infrastructure plus updates the 2017 Building Code on PWD.

²⁹ MWTI is reviewing its MOW Act 2002 to include a provision/legal basis for the enforcement and implementation of the Licensing and Registration of Building Practitioners’ policy – endorsed by Cabinet in April 2020.



the products that are missing relate to a formal Flood Policy which can help to set the foundation for enforcement regarding the NBC plus the set-up of a Registration of Builders³⁰.

- **1.4.1 - The Apia (“City”) Spatial Plan** has not been produced as yet, and hence this information is not available to builders or the community members. The Apia Spatial Plan was completed and published in December 2014 under funding by AusAID. This was undertaken by the Planning and Urban Management Agency (PUMA - a division of MNRE). This comprehensive plan (49 pages with maps and tables) was being revised by PUMA in light of the most recent studies under various donor projects, particularly on flood resilience. The recent shift of PUMA Division from MNRE to MWTI should, however, have ensured the revised City Spatial Plan be turned into an updated document and simplified for the general public of the AUA.
- **1.4.2 Flood Model House (FMH)** – the Project Document allowed for the design and build of 5 FMH in the VC area. To date (September 2020), MWTI have only secured 1 location. However, the costs received for these FMHs are way in excess of the allocated budgets set within the FAA (with one FMH is well in excess of the allocated budgets for 5 FMH set within the FAA). Therefore **revising scope and ToR to fit within allocated budget and a re-tender of the design and build work needs to take place**. There is a need to revise the scope of works along with the number of FMHs to construct in light of COVID 19 pandemic and other budget re-allocation related issues. Details and inconsistencies also arise between the FAA and Project Document (an allocated budget of US\$300k for 5 houses is defined by MWTI as enough only to fund 1.5 houses). The statement is backed by a test of the market conducted by MWTI to gauge the price/cost to design and construct 1 “build back better” house. There is a related issue also regarding the location of the FMHs, although nothing has progressed on this aspect regarding budget reallocations or numbers of FMHs. The original cost estimates for these FMHs were put forward by the consultant putting the proposal together. UNDP need to conduct a due diligence exercise on building plans as these were only provided in part (not detailed plans) following an I-TAG meeting in September 2020. The land-use practices manual should have been the third and last activity under 1.4 as per the FP narrative. This was mistakenly replaced in the Results Framework by two input MOUs. It remains a key deliverable and should have been available for awareness and examples for the EbAED and other activities under Activity 2.1. The Upland Conservation Policy is being reviewed under EWACC and Regulation will be developed under GCF-VCP in 2021.
- **1.4.3 MoU with SUNGO**. Training of Trainers for SUNGO has taken place. MWTI (through SUNGO) plans to conduct up to 6 workshops at different community locations within the Vaisigano catchment. MWTI directly appointed SUNGO as the Project Document just stated to set up “an MOU with SUNGO” so MWTI proactively linked the role of SUNGO to the NBC handbook activity (1.4.2) so they could go into the community to help raise awareness on the simplified handbooks produced. MWTI proactively linked the role of SUNGO to the NBC handbook activity (1.4.2) and directly appointed SUNGO so they could go into the community to help raise awareness on the simplified handbooks produced. KEW Consult Ltd are the handbook “developers” so were appointed to undertake the “Training of Trainers” exercise directly to SUNGO members/facilitators who will be undertaking the community engagement workshops. KEW Consult Ltd will provide technical backstop for SUNGO during the community workshops. The community engagement training events are to commence later in to 2020. The SUNGO work plan (2 months old now) includes initial activities to “Train the Trainers” and then to go out to the communities to deliver training events. Contract hold ups are being experienced due to the need to get more funding in order to carry out the extra community awareness events needed. The Project Document did not set an allocated budget for this sub-activity. IAs need to consider what capacity-building training is required on land-use practices (to be implemented by SUNGO or qualified NGOs).
- **1.4.4 Building Practitioners Registration Database** – A key issue relates to the wording of this activity within the Project Document which states “to engage the Builders Association on Flood proofing Buildings”. The

³⁰ This could compliment Activity 1.4.2.2 which is to produce an “Upland Watershed Policy” sub-activity

issue here is that there is no Builders Association in Samoa, and so the activity undertaken to date is instead, to create a licensing and registration “policy” for building practitioners. This policy, which was endorsed by Cabinet in April 2020, shall then help to enforce practitioners to register with the Ministry so MWTI can monitor and regulate the construction of buildings to comply with the NBC. However, the current law (MoW Act 2002) does not enable the policy to be enforced. This Act is now being reviewed internally which often takes 6 months (likely to be 12 months as a result of COVID 19). This IE confirms that this activity should continue to be funded (from existing i.4 budget if alternative budget redistributions cannot be determined). This issue appears to have “slipped through the net” and is one that MWTI acknowledges was in part their fault. Hence, they now ***request the PMU and UNDP to determine whether this activity title could be better focused and targeted to current national needs, as opposed to being restricted to the original 2017 wordings set out in the FAA.***

Progress towards achieving Output 2: IE Rating: Moderately Satisfactory

- Activity 2.1.1 - Significant progress appears to have been made regarding efforts to develop inclusive flood resilient planning: Design for Segments 1, 2 and 3 had previously been completed (under management of MNRE funded via a different project) though actual implementation has been taken over by MWTI. MWTI is responsible for the wall upgrades for the EWACC funded Segment 1 area (GCF-VCP funded the Aggies Hotel flood walls), with EWACC supporting the remaining works up to and including Segment 4. GoS remained committed to the need for this work even prior to GCF interventions, mainly as a consequence of Cyclone Evan impacts (which was a >1:100 year event). GoS purposely has attempted to promote a “programmatic” approach to ensure that all engineering works can be completed in a phased manner (i.e.: when 1 finishes, the other can start etc).
- Activity 2.1.2: Establishment of flood protection measures along Segments 2, 3 and 4 of Vaisigano River - Completed construction of four structures as reported in 2018 APR funded by GCF-VCP include Sheraton Aggie Grey river wall-Segment 1, EPC Penstock river-wall-Segment 2, floodwall extensions at Leone bridge downstream, Apia Waterfront drainage works;
- Activity 2.1.3: Capacity building of maintenance teams for flood protection measures - whilst this maintenance capacity work is well received (as often maintenance works are considered as after thoughts) however, flood wall and bridge maintenance is likely to be relatively minimal when compared to road maintenance (i.e.: re-surfacing needs and issues). Maintenance of flood walls and bridges may relate towards ensuring that silts do not collect or vegetation is overgrown. Another key issue is that this activity does not have a specific budget line in the FAA, although maintenance (during and beyond the project) is supposed to be included in the US\$8M co-financing budgets from GoS.
- Activity 2.1.4: Contracting members of the local communities for execution of activities with regards to building and landscape restoration along the Vaisigano river- This is a MNRE responsibility activity. This activity has been very much misinterpreted from the FP and current activities have shown progress in engaging communities in waste management, river rubbish cleaning and focusing on a partnership with SROS to monitor the river ecosystems health. This activity (in the budget) is funded within the allocated GoS co-financing budgets (whilst ultimately is derived from existing IA line budgets) and should be contracting members of the local community and develop. The PMU has now recognized this discrepancy in implementation and is working with the STA to realign this activity better to the intent in the Funding Proposal. Also local land ownership surveying remains important but not addressed by MNRE (i.e.: knowing where local boundaries are regards traditional (which is often difficult to determine) as opposed to freehold lands (which is easier to determine).
- Activity 2.2: Regarding Activity 2.2.1, the Ground-truthing activity for biodiversity will inform further the rehabilitation works for the catchment, in particular the Magiagi areas. The EIA draft report for the Alaoa Multipurpose Dam has already been reviewed by the MNRE ESCD and Forestry Division for the purpose of identifying relevant information to avoid duplication of efforts, and have found the survey is still required

and very much appropriate, given that the information in the EIA draft report is considered very general. The survey will also inform the management plans and relevant actions for the control of invasive tree species and identify exact open areas to focus on for the rehabilitation activities. The evaluation of the interests received has been completed and the report endorsed. The letter to the bidder has been drafted to inform them of the intention to negotiate the price given the review/reduction of the scope of work. Maps for the demarcated Afiamalu watershed area have also been shared to the TAG during its 8th meeting.

- Activity 2.2.4: The Operational Manual production (to guide the EbA implementation) was slow to be approved (by GCF) (submitted in July, considered/discussed though virtual meeting at the end of October and approved in November 2018) which has impacted on the progress of other activities which demanded either staff time, or higher authorization to proceed. ***The Operational Manual for the 3 key sub-activities (PES, CfW and EbA-ADP) needs to be reviewed in light of lessons learnt from the first three years of the project, and to ensure that the manual makes full reference not only to these sub-activities but all activities included in Activity 2.2*** (i.e.: demarcation, best practices, zoning etc) as being fully interdependent with these three programmes. CSSP received 330 application forms during the CfP1 process. An application assessment process report was produced (between Sept to Nov 2019) leading to 195 applications needing to be processed and grants awarded (leading to formal contract agreements) which all needed to reflect the new approach to target households and businesses. So far, 174 contracts (out of 195) have signed funding agreements (from the CfP1 process). By September 2020, however, only 83 of the 195 projects have started implementation representing and 26% utilization of the approved CfP1 US\$3.9M budget has been utilized. As of 16th September 2020, only 5 contracts of the 195 approved applications remaining to be cleared. An important observation is that only 174 out of these 195 application forms have so far been accepted. This is in part a consequence of the COVID 19 pandemic lockdown (some of those who signed are not contactable). 15 contracts have yet to be cleared from the MoF legal team. NGOs and Existing Enterprises are paid via cheque payments (Modality 2) where they receive tranches for implementation and report to CSSP on utilization. Households and CBOs are paid through Modality 1 (where procurement utilizes Purchase Orders, and Payments made directly to suppliers upon receipt of invoice receipts).
- Activity 2.3: Replacement of Lelata Bridge to accommodate increase flood waters- The 4 main bridge crossing designs (Lelata being the first using GCF funds) have been completed in line with other crossings that are funded by other donors such as DFAT Australia and World Bank. Vaisigano Bridge represents the largest bridge upgrade within the catchment which was funded by JICA. The fundamental issue is that all bridges collectively need to be operational and this is vital to sustain as should 1 bridge be closed the impact would be felt by everyone, not just the VCP communities. These bridges are considered 'lifeline connectivity' assets. Based on the recent TGA Investigation Study on the various segments there may be specific issues associated with the Loto-o-Samasoni Bridge just built by DFAT and capacity to withstand a 1:20yr event. LTA would need to determine this as the project progresses.
- Activity 2.4: Extension of floodwalls at Leone and Lelata Bridges to prevent damage during extreme events
- 2.4.1 – This links to design work only. This was split from Output 2.1 to allow for a 40m buffer from each of the bridges within the VC, to allow a buffer zone to be included either as "bridge" or "floodwall" construction. MWTI have requested this activity be moved to Output 2.1 as it should be part of the wall construction output and not the bridge engineering output. Therefore ***Activity 2.4 should be moved up to Output 2.1 as it is realistically the same work but was in the original Funding Proposal to allow the option of incorporation as part of the bridge construction work. Regarding Activity 2.4.2, this again should link better to 2.1.2 (construction works only).*** Having these split out is causing administrative issues as MWTI has 1 contracted designer (2.1 and 2.4.1) and one contracted construction company. This would help with internal accounting purposes to reduce administrative burdens. Disbursements are higher in 2.4.2 due to the penstock walls (linked to Lelata Bridge from river bed to ground level) being constructed and so more disbursement has taken place on this activity).

Progress towards achieving Output 3: IE Rating: Satisfactory

- Activity 3.1: A key success relates to the push to have drainage upgrade constructions within CBD which were 1 year ahead of programme. This is a good GoS achievement as rate of utilization/delivery will subsequently increase to reflect input and performance spent to date.
- Activity 3.2: Drainage Outfalls and Systems - it should be noted that the drainage works has been brought forward within the programme is ahead of the original proposed work plan and budget. This is also the only activity that geographically falls outside of the Vaisigano catchment. GoS was very clear drainage was needed in the Central Business District (CBD) of Apia. Other partners have supported drainage issues in the CBD area (e.g.: EU) though it has proven difficult to get these drainage initiatives “joined up” and completed on time prior to the VC proposed works. In 2011 the Drainage Master Plan for Apia identified which areas of the city needed better drainage. When the GCF proposal was originally drafted, only 3 or 4 drainage areas were identified and schemes designed. Therefore when a Segments flood wall scheme had been re-designed, the modelling and drainage parameters adopted for the Apia CBD area have inevitably changed based on this new modelling work and hence drainage requirements for the CBD need to be updated.

In light of the above strategic overview, perhaps the key issue that requires attention (and to keep project momentum) relates to improved progress on Outputs 1.2 and 1.3. The narrative clearly indicates that GCF funding will be used to build a “Health-CLEWS” with impact scenarios (i.e.: electronically integrate health and climate information and automate the generation of health impact scenarios information for public health practitioners - Para.54 of the Funding Proposal), however, none of the four sub-activities reported include any reference to a Health-CLEWS, in fact, Para.56, makes no reference to Health-CLEWS only to the inclusion of flood-related information in the Samoa existing CLEWS which is also a specific to Activity 1.3 “*Expand EWS coverage to provide flooding alerts in Apia*”). Currently, MoH is implementing this activity as per their original proposal of developing an H-CLEWS, while no reference is made in the Activities nor in the Project Results Framework.

Another issue regarding Output 1.2 refers to the only expected output to be delivered under this programme. The CDSC Guideline is a living document and it now provides a basis for the public health response to cases, clusters and outbreaks of notifiable diseases. Importantly, COVID 19 and measles have both been included within this Guideline which the IE believes will be a good to help support future upscaling opportunities (see Section 3.9). There is current debate as to whether this currently includes a core focus on flood borne diseases specifically or not. ***It is recommended that MoH clarifies in more detail (via an advisory note or workshop event), to the PMU and UNDP how the specific set of guidelines produced to date focus on flood-borne diseases (water-borne, zoonotic, etc.) and responses relating to trauma and how they relate to relevant to emergency training of health officials.***

A more strategic and overarching issue that requires urgent attention to ***improve progress is to address the project “Risk Flag” that GCF have raised.*** The Risk Flag issues are linked to the engineering works at Aggies Hotel and how the GCF funds are being used for the Apia Drainage and flood walls (which are linked to EWACC recommended engineering interventions). This is the first time that GCF has ever had to raise one on any country. Its focus relates to issues that GCF had over the engineering construction aspects of the project being undertaken to date. Information was shared to the GCF as requested between October 2019 and February 2020 (just prior to the global COVID 19 pandemic close down). In light of concerns over the construction works being undertaken, GCF planned to engage their own flood modelling and engineering experts (as informed in the Red Flag letter) to initiate an “audit” on the work being undertaken in the Vaisigano Catchment (check 2020 APR for full details). UNDP cooperated fully by providing all required information to support and demonstrate the due diligences being pursued on the project to date. The onset of the COVID 19 pandemic (March 2020) has resulted in a delay from both UNDP Samoa being able to move the project forward in partnership with the PMU, EE and IAs, but also (to date) no response received from GCF with regards to “lifting” this Risk Flag. The message stated within the Risk Flag therefore still remains as per September 2020. However, this IE notes the progress that the GCF-VCP team are taking to address this, with additional flood modelling being undertaken by BMT to verify/comment on suitability of EWACC recommended engineering designs/interventions (i.e.: Apia waterfront drainage, floodwall extensions Leone bridge, Aggies river-wall and penstock wall etc).

A key observation relating to this issue is that the GCF are very “hands on” and demand regular clarification on matters, though are slow to respond back to countries (with 4 months delays being experienced quite commonly). For example, after Annual Progress Reports are submitted to the GCF Secretariat, it responds back with an “Assessment Form” on the APR with comments and responses on the APR on which GCF expects another round of response from the GCF-VCP project team. This began for the 2018 APR process whereby the Assessment Form was received by the AE in June 2019 and a similar timeframe set for 2019 APR (which was received by AE in June 2020). In light of this, it is an important lesson learned to date is that ***any correspondence, from UNDP to the GCF, must be clear and concise, yet stringently thorough to avoid future delays due to the lack of, or purported inadequacy of information provision.***

3.3.2 Remaining barriers to achieving the project objective

The key barriers that remain that may influence the achievement of the projects objective include the following:

Barrier	Description and Recommended Strategy
Financial and Operational	
Access to Contingency Fund Use	Certain engineering works may require more budget to be made accessible and quite urgently. The GCF document included just concept design engineering costs. The Funding Proposal designers took on board conceptual design costs for Segments 1, 2 & 3 ³¹ and drainage costing based on conceptual designs and available climate data at that time). As a result, the project may benefit from the re-allocation of budgets that may be underspent from other outputs even this money may not be enough to “plug” the under-estimates on the engineering related outputs. The issue links to reallocating funding, not requesting more money. Flexibility in current rulings may be needed to reallocate more than 10% between different Outputs and Activities for identified savings e.g.: from Output 3 to Output 2.1 for river-walls. Often the bidding process for tenders creates a problem as costs in 2019/2020 are higher in cost than in the project budget (e.g.: first tender of AISS).
Improved and more transparent communication / coordination pathways with GCF Secretariat	Relationships and arrangements with GCF need to be more donor facing to help the PMU to respond more quickly and directly to support IAs, consultants and contractors. The internal project level breakdown details of budget is not routinely provided to the GCF Secretariat – hence, the FAA Section 2 on Budget and Disbursement Plan is structured according to Total Output and Budgetary Account Codes. A mechanism to declare this may help to improve GCF response times. <i>A new way to engage with GCF is key especially in light of the COVID-19 situation and UNDP may need to maximise the use of the Annual Performance Report (APR) process to this end. UNDP also need to re-ignite existing clarifications received from GCF Policies and Procedures to all IAs.</i>
Lengthy public procurement processes	The GCF-VCP is now implementing forward planning and timely updating of the Procurement Plan to anticipate delays, in addition to working closely with IAs/UNDP/MoF to review and confirm/finalise scope, specifications and ToRs to facilitate a more efficient procurement process. GCF-VCP is now using mainly the GoS procurement systems and processes whereby on occasions UNDP systems are adopted. UNDP procurement systems are deemed by IAs to be quite slow due to the necessary evaluation procedures that are required. Main delays using the GoS procurement system appear to be linked to tender documents clearance, evaluation process and clearance of draft contracts from IAs/contractors/OAG or when tenders are financially above the Tender Boards financial approval thresholds. <i>The PMU Procurement Team need to continue to work closely with UNDP procurement so that procurements that may be faster/more efficient using UNDP mechanisms can be identified and utilised. In addition, support IAs to identify timely arrangements to fast track procurement or invite shortlisted consultants where appropriate.</i>
Capacity Issues	The sustainability of the GCF-VCP lies with the removal of capacity barriers to help enhance the resilience in flood management within the Vaisigano catchment. Capacity building within all IAs will contribute towards the sustainability of the interventions and better preparation for upscaling and replication. <i>Improved capacity building is needed in being able to work with GCF which will support work towards direct access funds in the future.</i>

³¹ the scope of the river wall works also includes Segment 4 which had no concept design developed for

Interpretations of wordings used in the Funding Proposal	There are some misinterpretations of wordings used within certain Budget notes by certain IAs. Claims that no budget lines were set up for installation of EWS equipment for the 5 sites are incorrect, the reality is that a budget of USD155000 was set up within Budget Note 1D which declares all costs for purchase and installation fall under one contract. There are in fact two separate contracts for both procurement and installation of sirens and rain water gauges and market results has proven that prices of both exceeds Prodoc budget.
Technical	
Poor Communication, Interpretations and Clarification issues	It was determined by the legal team during the clearance of funding agreements that business licenses were required given the nature of the EbAED approved projects. The MCR CEO approved for the agreements to proceed while the grantees can obtain their licenses later in the process but not before they complete their projects/funding from CSSP. The CSSP is aware that there are provisions under the law that do not require all households to register (given their profit/nature of businesses, etc). CSSP relies on SBH to provide this advice and support given their mandate and role in supporting small businesses in Samoa. This information (that not all households require licenses) was never clarified by SBH during discussions about this matter. This issue must be clarified and updated within the Operational Manual accordingly. This is key as all household businesses require a business license only upon signing of grant contract and establishing of business and all existing businesses (EE), NGO, CBOs must provide business license with applications.
Land ownership issues within communities	PMU are working collaboratively with the IAs to ensure that all required consultations (originally mapped out within the 2020 Community Engagement Plan) with targeted communities are completed. Smaller group consultations (as a result of COVID-19) and family consultations are now being pursued to help resolve any land issues surrounding infrastructure works.
Land acquisition and resettlement	Lelata Bridge final design upgrades were delayed due to the need to resolve land acquisition issues. Likewise river walls in Segment 3 need to resettle vulnerable households (within the footprint of the flood walls). As per GCF/UNDP & Govt ESMF/MP unless land issues are satisfactorily resolved, designs of infrastructure works cannot be finalised and tenders cannot be issued/launched. Improved reference is needed regarding the relationship with ensuring safeguards standards and requirements by Govt/UNDP/GCF on these matters would be useful.
Other	
COVID-19 – short term planning	COVID-19 may also lead to a shift in Samoa's country priorities. GCF do clearly note that climate resilient development is aimed at helping countries and communities withstand unexpected shocks. In the short term, the GCF has announced initial measures to respond to the impacts of COVID-19. The Fund, for example, announced in April 2020 that it has enhanced its ICT capabilities to better enable its staff to work from home to minimise risk of infection and comply with travel restrictions. In light of this constantly changing situation, UNDP Regional Office (Bangkok) are also (in parallel) conducting exercises to establish whether extensions to projects can be agreed with donors (including GCF). <i>There is a need to enhance and use national contractors in light of COVID 19 travel restrictions.</i> There is also a need to relook at reviewing qualifications of national or international firms/contractors having teams or partnering up with local contractors/consultants
COVID-19 Impact Assessments	GCF senior management has apparently invited project partners to work with the Secretariat to prepare "COVID-related impact assessments" and identify potential solutions for consideration. However, it is unclear whether this approach will result in a structured programme of support or a series of ad hoc measures that are approved on a case-by-case basis (i.e.: specifically for Samoa). The GCF should also be encouraged to seize the opportunity to help countries "Build Back Better" in alignment with the Sendai Framework for Disaster Risk Reduction. Among other objectives, the Sendai Framework aims to increase the number of countries with national and local disaster risk reduction strategies, increase the availability of and access to multi-hazard early warning systems, reduce global disaster mortality, and reduce disaster damage to critical infrastructure. It may be impossible to predict the next major shock, but the Fund can enhance resilience by prioritising the alignment between work to enhance climate resilience and broader strategies to protect development gains from the risk of disaster. In other words, <i>GoS and UNDP may need to formally use this Interim Evaluation Report as a "lever" to become a little flexible in its approach especially with regards to the simple update or alteration of indicators, wordings and access to Contingency Funds to help free up the shackles that the project appears to be facing at this mid-term juncture.</i> GCF are not currently offering any leniency in post COVID 19 price fluctuation requests.

3.4 Project Implementation and Adaptive Management

Project Implementation and Adaptive Management is rated as: **Moderately Satisfactory (MS)**



3.4.1 Management Arrangements

The PMU is tasked as being the focal point of communication between the IAs, EE, UNDP and GCF. At the start of the project, the number and expertise of staff needed to undertake the management commitments required appears to have been underestimated based on the magnitude of the GCF-VCP. The PMUs capacity to support IAs was weak and in parallel, many of the IAs did not (some still currently do not) have the suitable capacity to support consistently the implementation of the project in tandem with their mandatory public sector roles on a day to day basis. The early capacity challenges faced by the PMU certainly emanated from the fact that the nominated Project Manager position was part-time until Sept 2020 (see below) and the lack of a supportive and effective CTA (the first did not have the necessary expertise and position has been vacant since the end 2019).

Of note, the interim PMU consisted of consultants that were hired by UNDP in an attempt to try and speed up project inception phase and subsequent implementation. This interim PMU was light on the required technical support capabilities which resulted in subsequent staff changes in the early phases of the project. At this time, being able to communicate early problems and challenges that the IAs were facing, back to the PMU, was creating logistical and programmatic problems as IAs reported that they often didn't know who to speak to when a problem arose. Whilst technical support was on offer, the cumbersome nature of knowing who can (or should) be spoken to reduced project efficiencies considerably in the early months. What appears to have impacted on programme was the changeover from the UNDP hired interim PMU to the "formal" PMU when the first staff (Project Manager) came on board in 2018. Nevertheless, the transition to a more formal PMU, whilst difficult, did help to place the project back on track with regards to its projects managerial responsibilities.

Despite the existence of a Project Board, ITAG, Technical Advisory Group and other coordination meetings, communicating project activities, documentation etc, still seems to be a problem and is impacting upon project progress (such as through delays in conducting oversight, procurement process such as TOR reviews/approvals where needed, budget revisions/details etc). The next Quarterly Report (Q3 2020) should include matters pertaining to the need for all parties to agree that future prepared ToRs should be shared with UNDP prior to finalisation and contracting of these positions. For example, a Safeguard Gender Advisor, an Assistant Project Manager and some consultancy position have been engaged by GoS, although UNDP have not had the opportunity to review the ToRs for these experts. This procedure simply needs to be reviewed and better formalized. ***Efforts to review and improve formal communication lines between the AE, EE and IAs (through the PMU) are therefore needed as the current channel of communications by Govt to UNDP is through MoF/EE whom facilitate national coordination, integration and overall management, monitoring and reporting.***

Comments from IAs received suggest that the current PMU has been helpful in coordinating work between other agencies and provision of technical advice and assistance has greatly improved. The PMU are now perceived as being more competent and experienced in managerial work even though all staffs may not possess the necessary academic qualifications for areas such as contract management, procurement, social safeguards etc, some staff have years of experience in these areas to successfully carry out the requirements of the project. The Project Manager does possess the suitable professional qualifications whilst also possessing excellent reporting skills which are diligently produced in a timely manner (particularly noted with regards to financial reporting). One observation noted that a little too much emphasis on "micro-managing" PMU staff members was apparent. This is not necessarily a negative trait, but one that perhaps stifles broader team ingenuity. Importantly the Project Manager is now full time with the contract being signed in September 2020.

The current PMU has, in general, demonstrated good adaptive management skills to help address problems as they arise. For example, the creation of a CEO Forum was created to address urgent issues arising from implementation has also helped expedite and address problems arising. Likewise, IAs (such as MNRE in particular) also provide ad-hoc support to lend GCF-VCP funded staff to other IAs (e.g.: CSSP/SBH) that are funded under GCF-VCP. This approach has helped CSSP with support on site visitation/investigations, household monitoring visits (Activity 2.2.5)



and support on conducting community consultations to provide technical advice and assistance. Another example is the support that the PMU have provided to the Technical Advisory Groups (TAGs) and monthly coordination meetings supporting IAs with implementation and addressing contract management issues which help IAs with technical advice, guidance and reporting requirements (i.e.: project updates etc). The MNRE 2.2 TAG is useful to generate advice and recommendations from other ministries on CfP related ideas (successes/failures etc). Informal monthly CEOForums chaired by MoF have also taken place since the project start and these are now formalized. They take place on a monthly basis (though more so on an as need's basis). The CEOs meet at anytime there is an issue to be resolved. The TAGs were created to reduce the burden on the Project Board so that technical issues could be discussed at a level below them leaving only key areas that needed signing-off of by the Project Board (approvals only). This more streamlined approach, as opposed to the original plan set out in the Project Document has made the GCF-VCP approval process more effective.

In spite of the above observations, the IE feels that due to the complexity of the GCF-VCP, coupled with the challenging demands that a GCF project brings, the PMU in general should be stronger in its ability to represent the intentions of the GCF-VCP whilst respecting GoS protocols and procedures. The PMU perhaps needs to be more streamlined as it is currently larger than it was at the Inception Stage in mid 2017. This needs to be documented clearly and with each position being clarified properly to assess what capacities are likely to be needed from hereon. It is acknowledged that GCF expects UNDP (as AE) to adhere to the specifications set out within the FAA. Consequently, any changes must be communicated direct to the GCF which may include altering the representation on the PMU to improve efficiencies for the remainder of the project (i.e.: what is the best “fit” for Samoa). There also appears to be an issue regarding the level of control that the PMU have to re-direct the path of intended project activities once they have been contracted or commenced. It is currently comprised of 24 core members, excluding 7 employed by CSSP and SBH. This 24 are spread out between all IAs and implementing partners³². 11 are housed in MoF/PMU, 5 in CSSP, 2 at SBH, 2 at LTA, 3 at MWTI, 1 at MoH and 7 at MNRE. ToR and capacity to meet the needs of the project should be looked at carefully. Stronger clarity and an overview of needs i.e. what was the project intent / vision at the design stage in relation to PMU capacity needs, against the current reality/ adaptive management. To address this, **capacity improvements may be made by setting up and delivering more online courses** as part of this GCF-VCP to help add value and demonstrate long term sustainability of GCF funds. In addition, **a decision is needed on what the PMUs revised structure (as per Figure 2.2) and role should be as project custodian with support from UNDP/EE.**

With specific reference to the performance of the UNDP-MCO, a series of observations are noted. As the AE, UNDPs role is to provide a three-tier supervision, oversight and quality assurance role, at the CO, Regional and Headquarter level. This includes day-to-day project oversight and supervision covering the start-up and implementation, oversight of project completion, and oversight of project reporting. To support the projects early teething challenges experienced, some procurement of services were delegated by the GoS through the MoF/EA, to the UNDP. Some significant delays were reported through the finalising of procurement and contracting procedures for successful consultancy positions thus resulting in delays in implementation. An example of this was the procurement of the Design and Supervision Services for Lelata Bridge (and Drainage works) and the PES consultant. In addition, UNDP had (and still have) limited experience in setting up flood management related contracts, and this had created some delays in procurement. In fact, from a technical perspective, the highly technical flood engineering studies undertaken in 2016, required UNDP to double check original 2016 EWACC designs. UNDP addressed this gap by engaging an expert consultancy to support on these matters. Additional expertise in house on flood engineering may have benefitted the project and also the UNDP MCO during the first year of the project.

³² Refer Figure 2.2



Developing the above point further, there is currently no Chief Technical Advisor (CTA) on the project (position is currently vacant). Those who have held this position previously have either not been suitably qualified for the role or finding suitable alternatives has been a challenge. The key issue with contracting so many TAs to review the same deliverables also needs to be addressed. UNDP has engaged Tonkin & Taylor, whilst MoF intends to procure another Engineering TA which replaces the CTA role. IAs (specifically MWTI/LTA) have limited dedicated suitably qualified technical/engineers under GCF to fast track implementation and technical reviews of reports etc. Approvals as now experienced is taking much longer with each level of due diligence undertaken by each TA especially when review comments do not agree. UNDP has agreed with GoS that a Senior Technical Advisor shall provide assistance to PMU part-time (mainly on Activity 2.2), whilst the MoF/PMU now has an intermittent ESCC and is in the process of procuring an Engineering Advisor in place of a CTA. Currently, a separate engineer is employed on an “as needs basis” to provide support. UNDP is having to apply its oversight role more stringently to this project given the expectations from the Donor on the AE (as agreed under the FAA as well as the Accreditation Master Agreement - AMA) and the Risk Flag associated with the project. A view is needed on the revised role of UNDP regarding their oversight role on the project. This could be a part of the improved and better streamlined coordination process within PMU, EE and IAs and between UNDP and the PMU. This oversight role may need to fluctuate depending upon project demands at certain times of the year.

3.4.2 Work planning

With regards to the Project Results Framework (Funding Proposal Annex I) it has a single fund level impact objective, one project level outcome and three separate project outputs. The extensive activities are also listed in full, complete with their own indicators. The objectives and outputs are clear and appropriate to the issues and also designed considering the timeframe of the project. The indicators of the logframe are, however, not all SMART (Specific; Measurable; Achievable and attributable; Relevant and realistic; Time-bound, timely, trackable and targeted – see Section 3.3).

Importantly, the GCF-VCP project was designed as part of a broader program of flood management in the VC area. It has undertaken feasibility studies that have provided/supported climate resilient investment options which will be supported through other development partners as part of this integrated broader programme (Alaoa Multipurpose Dam, Cross Island Road). New modelling and software developed (coupled with training) will not only support the projects objectives, but will also support Samoa’s national efforts in integrating climate risks into other areas. Likewise, handbooks on Building Codes (2017) that promote the design of flood resilient buildings addressing drainage, rehabilitation, restoration, demarcation/no development zones (water point source identification etc) will help communicate to developers and the public sector the design parameters required to support climate resilience to disaster flood risk.

Significant political pressure was placed on UNDP and the GoS to produce the Funding Proposal at pace so that the GCF Board would receive it for the scheduled Board Meeting held in Apia 13-15th December 2016. This strategy was adopted under the assumption that subsequent project acceptance was hoped to be a “formality” following this GCF meeting. Two intensive months (June & July 2016) were spent bringing the project together. Given this short timeframe and under these circumstances, compromises on critical details of strategy were necessary during the drafting process which were inevitable in order to submit the proposal for approval at the Board meeting. Errors were subsequently made in terms of (for example) not interpreting budget lines correctly (notably Budget note 1D – see page 15 of the FAA) regarding the installation of purchased equipment, such as rain gauge telemetry stations and cost “estimates” being put forward, especially for the engineering aspects of the project (flood walls/drainage interventions). Furthermore, following the approval of the GCF-VCP at the Project Board meeting, strict timelines for the post-approval processes including the signature of the FAA and finalization of the Inception Report meant that some of the issues were not sufficiently addressed during these periods as well, such as detailing out the Contingency Request process etc.

The AMA was signed between the GCF and the AE UNDP on the 5th of August 2016. The FAA was signed almost a year later on the 9th of June 2017. The AWP for the first year, as defined during the Inception Report (October 2017),



was approved at the first Steering Committee on 23rd January 2018. The Project Board (Project Steering Committee), have convened in May, October and December 2018, in March and July 2019 and in June 2020. It has acted as both a governing body, reviewing and endorsing AWP and budgets, but also providing technical and quality assurance. The Project Manager ensured that the standard UNDP and GCF M&E requirements are fulfilled to an acceptable quality. This includes, but not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the APR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. Environmental and Social Management Plan, Gender Action Plan etc..) occur on a regular basis. Any change in the AWP has to be approved by the Project Board. The Minutes of all Project Board meetings (see dates above) indicate that the stakeholders have been actively engaged in their support to the project and have provided guidance to the project team for specific focus. Further technical guidance and advice to the PMU and PSC are provided by the Technical Advisory Groups (TAGs) that convene monthly for the I-TAG and quarterly for the MNRE Activity 2.2 TAG.

A review of the APR 2018, 2019 and Q2 demonstrates a series of inconsistencies which are noted within key documents produced for the project which has impacted on project efficiency levels as already highlighted in Section 3.2. For example, the original M&E log frame designed for UNDP MCO was different to the one produced within the Project Document that was sent to GCF, causing early project delays and problems. Currently, where discrepancies exist amongst the 3 key documents (the FP approved by the Board, the FAA and associated FP, and the Project Document), the FAA and associated FP take precedence as the legally binding document as this document has been consistently referred to by UNDP in its messages to GoS. Some more detailed observations are articulated below:

- a) Budgets spent to date (mid 2020) now need to be aligned based on current progress and facts presented within the APR for 2019..
- b) The Project Document (Activity 2.2) needs clear revision and focus, as this took a long time to revise AWP and align the AWP to the MEF instead of the Project Document (issue in mid-2019). All indicator targets must be revised to be SMART, including the need to produce a combined target number of 1,000 women, youth, elderly and People with Disability (PWD) as opposed to being a percentage (as identified within the Gender Action Plan).
- c) The MEF needs to better reflect the number of beneficiaries that are expected to be trained and benefit from the program, whilst taking note that there are only two Call for Proposals (CfPs) that have been budgeted to conclude throughout the duration of the GCF-VCP.

One pending aspect that the IE feels need targeted attention to ensure that work-planning processes remain results-based links to the ***need to reassess work planning needs associated with Activity 2.2.5*** to ensure it focuses on achieving intended results. The CfP2 remains the final CfP under the GCF-VCP project and is targeted at utilizing the remaining grant budget available. By the middle of 2022, the available budget must be disbursed in totality. Currently, SAT 8M is remaining which equals to circa 300/350 more applicants (grant projects) to be awarded³³. The challenge that now faces the GCF-VCP is that there are many projects for just 4 CSSP Project Officers to manage. At present, a Senior Finance & Administration Officer is funded through GCF who processes payment requests for procurement of goods and services for households and CBO projects. Predicted effort required to ensure Activity 2.2.5 is achieved amounts to circa 42 projects being informally allocated to each Project Officer (to manage CfP1 grants alone).

The IE also believes that the success of CfP2 will ultimately depend on the performance of the Projects Officers being able to continue as planned and importantly to be funded accordingly to keep their positions. With CfP2 projects on track to be awarded and some of these awarded projects starting before the end of 2020, should, 500-600 successful applicants be received by January 2021, there is a risk that results based work processes may not be achieved. This is because with 195 (CfP1) plus another 350 in CfP2 this amounts to 600 projects relying on 4 Officers and a few supporting few hardware store outlets and suppliers. With COVID 19 impacts and inevitable delays with regards to

³³ To date the 195 approved grant remains at SAT 20,000 per project on average

purchasing the required supporting hardware equipment in specific projects in Samoa (see Section 3.12), there is a risk the EbA component may not be completed in time. Likewise the magnitude of reports that will need to be reviewed and evaluated (per household) by 4 Project Officers which are required to help trigger payment may be a looming major issue to help finalise projects for many households. CSSP also have other donor funded projects in the pipeline to implement and so **it is recommended that the PMU review a series of strategies and if needed, budget re-allocations to support the current Programme Manager (or similar) to help devise options to manage this Activity 2.2.5 which is likely to be facing the GCF-VCP soon³⁴**. One option to support this issue is that whilst the IE believed that assessing COVID-19 impacts specific to VCP is beyond the capacity of the project, there is a case to preparing a simple adaptive management “document” which considers COVID-19 impacts. This can enhance ongoing project implementation and planning avenues that seek to embrace this such as existing processes within UNDP and PMU coordination, Technical Advisory Groups and Board operations etc.

Finally, infrastructure works are scheduled to commence implementation in Q4 2020 upon completion of evaluation of tenders and therefore momentum requiring full PMU team (plus any identified staff as required) to support implementation of hard and soft solutions. The IE therefore believes it is critical to now fast track implementation. This will require the PMU to focus directly on this aspect and prevent further workload increases that they may foresee in order for them to efficiently and effectively implement the remaining interventions, including detailed monitoring and documentation of the activities (see Section 3.4.3).

3.4.3 Finance and co-finance (including contingencies)

The GCF-VCP is co-financed by the Green Climate fund (US\$57.7 M) and the Government of Samoa (GoS; US \$8.0M). The overall financing for the VCP is detailed in Table 3.2 below:

Table 3.2 VCP finance overview

Component	Output	Financing Institution		Total (US\$)
		GCF	GoS	
Strengthened adaptive capacity and reduced exposure to climate risks of vulnerable livelihoods and infrastructure in the Vaisigano catchment.	Output 1	\$8,972,000	\$8,000,000	\$62,596,000
	Output 2	\$34,037,000		
	Output 3	\$11,587,000		
	Project Management	\$3,121,000		\$3,121,000
Total		\$57,717,748	\$8,000,000	\$65,718,000

According to the Second Quarterly Report (2020), the overall expenditure for GCF-VCP on all Outputs is 7% against the original 2020 AWPB whilst it is 17% against the REV 1 AWPB approved by the 10th GCF-VCB on 24 June 2020. This is clearly very low. Details of expenditure in 2020 are also presented in Table 3.3 below.

³⁴ Adaptive management strategies may include not just MNRE but also the PMU/MoF Team be deployed based on CSSP needs

Table 3.3: Summary of Expenditure for all Four Outputs

	Jan-Jun 2020 Actual \$USD	AWP 2020 Budget \$USD	% Utilisation	Jan-Jun 2020 Actual \$USD	Revised AWPB Budget \$USD	% Utilisation
Output 1	795,475	1,616,046	49%	795,475	1,425,817	56%
Output 2	275,898	12,153,403	2%	275,898	4,715,901	6%
Output 3	108,349	4,639,826	2%	108,349	1,642,086	7%
	1,179,723	18,409,275	6%	1,179,723	7,783,804	15%
Output 4	150,788	326,865	46%	150,788	276,587	55%
Total	1,330,511	18,736,140	7%	1,330,511	8,060,392	17%

Table 3.4 below provides the actual expenditures at the Output and Main Activity levels. Actual spending of US\$1,330,511 for the first six months of 2020 is tracking at 85% below the Original AWPB 2020 as a consequence of a note arithmetic error in Activity 3.2.2.1 in Q1 2020 which accounts for 66% of variance noted. Further, in Q2, the COVID-19 state of emergency restrictions have had a huge impact on delivery (due to overseas travel restrictions, delays in shipments and procurement, community consultations/workshops and all face to face meetings. It is hoped (but not guaranteed based on the latest global situation) that delivery is expected to pick up later into Q4 of 2020 when some lifted restrictions may allow some major infrastructure works under Outputs 2 and 3 to begin. It can be seen that the very low utilisation rates to date are due to the fact the Feasibility Studies (Output 1.1) have been thoroughly undertaken to ensure that the flood engineering works are designed in a climate resilient manner so that the ultimate project outcome will work and be sustained. Two years (since early 2018) has so far been spent on planning and conducting various flood feasibility studies. This justifies why there has been a low utilisation of funds to date (see Table 3.3). However, once construction work starts in earnest, there will be a change in the utilization of funds and hence disbursement rates. This IE does not criticize the GCF-VCP on this issue and believes the GCF-VCP should not be penalized should this metric is used in the IE assessment. The disbursement/utilisation rate will increase once the engineering work contracts are procured and initiated for Segments 2,3 and 4.

Table 3.4: Financial Report by Outputs and Activities for 6 months period ending 30 June 2020

OUTPUTS / SUB-OUTPUTS / ACTIVITIES	Jan-Jun 2020 USD\$	Original AWPB 2020 USD\$	Utilisation %	Revised AWPB 2020 (REV1,2020 AWPB) USD\$	Utilisation %
Output 1: Integrated Flood Management to Enhance Climate Resilience of the Vaisigano River Catchment in Samoa					
1.1 Strengthen capacities and information requirements to pursue an integrated programme approach to flood management.	631,173	521,923	121%	916,109	69%
1.2 Establish health surveillance systems to track and manage flood-related health issues	10,944	292,580	4%	109,649	10%
1.3 Expand EWS coverage to provide flooding alerts in Apia	144,886	716,543	20%	306,545	47%
1.4 Conduct awareness raising campaigns on building practices and designs for at risk communities living along the Vaisigano River	8,473	85,000	10%	93,514	9%
Total Output 1	795,475	1,616,046	49%	1,425,817	56%
GCF Output 2: Key infrastructure in the Vaisigano River are flood-proofed in increase resilience to negative effects of excessive water					
2.1 Channelization of segment 2 and 3 of the Vaisigano river streambed to accommodate increased water flow and decrease flood risks	139,213	6,009,597	2%	3,557,315	4%
2.2 Implement ecosystem responses upstream for decreased flows during extreme weather events	100,270	2,301,530	4%	379,830	26%
2.3 Construction upgrade of Lelata bridge to accommodate increase flood waters	2,021	2,581,199	0.1%	306,649	0.7%
2.4 Extension of floodwalls at Leone and Lelata Bridges to prevent damage during extreme events	34,394	1,261,078	3%	472,108	7%
Total Output 2	275,898	12,153,403	2%	4,715,901	6%
GCF Output 3: Drainage in downstream areas upgraded for increased regulation of water flows					
3.1 Develop a climate resilient Stormwater Master Plan	13,166	542,940	2%	510,187	3%
3.2 Upgrade drainage systems and outfalls in hazard areas to accommodate flooding events	95,184	4,096,886	2%	1,131,899	8%
Total Output 3	108,349	4,639,826	2%	1,642,086	7%
GCF Output 4: PROJECT MANAGEMENT UNIT					
Total Output 4	150,788	326,865	46%	276,587	55%
TOTAL BUDGETS AND EXPENDITURES	1,330,511	18,736,140	7%	8,060,392	17%

A key issue within this IE is associated with the Contingency Budget. An understanding of the history of the Funding Proposal production is required at this juncture. Firstly, the Funding Proposal was designed in a two-fold manner. Firstly, estimates were made by the UNDP MCO and GoS based on existing engineering designs that were derived from the EWACC project (though not exclusively linked to this project). Secondly, and upon receipt of the Draft Funding Proposal (2016), the GCF reported that (in their opinion), the costings provided were “too high” based on experience in the region from their “experts”. The speed required to turn around these assessments and then to update the Funding Proposal resulted not only in some arithmetic errors being noted, but a compromise had to be reached with GCF to comply with their tight deadlines. Budgets were therefore agreed to be reduced (based on GCF views) in return for a Contingency Package of US\$8.1M being set aside rather than to include this disputed amount into the final project figure (i.e.: figure kept at circa US\$57M). The issue that now arises is that no formally agreed guideline, Standard Operating Procedure or MoU was formally prepared to articulate the agreed rules and procedures pertaining to how to access funds from this Contingency Package and what “triggers” would be acceptable to initiate payments during a “force majeure” related situation (i.e.: COVID 19). A clear task that the EE (MoF) with support from the PMU/UNDP that needed to have been undertaken was to produce such a SOP for acceptance with GCF. This task is perhaps now too late to initiate bearing in mind the timelines experienced regarding GCF response times³⁵. Other finance related observations include the following:

- a) It is noticed by IAs that there is a mix of “financial years” being used between donors, AEs and IAs. GoS reporting periods (for IAs) differ from those of GCF/UNDP (which have calendar end of year focus). Regardless of this, training programmes have been set up by UNDP and offered to GoS staffs on a regular basis so that all understand the UNDP financial reporting systems, with some training events specifically tailored to be in line with alterations linked to GCF financial reporting needs.
- b) Inconsistencies³⁶ arise between FAA and FP regarding “contingency budgets” which currently do not align and that there is a US\$130,636 difference that needs addressing urgently (see Annex XIII – Part B).
- c) Activity 2.2.5 (CfP) – given the timeframe to complete the VCP (2023), the best option has been to carry out the CfP2 process. Some CfP1 applicants did not get the amount they applied because many of them overestimated the cost of their projects and inputs needed to be reduced to match their capacity to successfully implement the proposed projects. The discussions that followed extensively reviewed the initial CfP2 workplan/timelines and reduced the programmes implementation from 10 months to 6 months therefore allowing possible disbursement of funds during Qtr 2 2021³⁷.
- d) To address the “Risk Flag” issue, the FAA allows for GCF to engage additional due diligence experts³⁸. New flood modelling may therefore be needed for the Risk Flag justification to prove that the engineering works are fit for purpose and technically, socially and environmentally appropriate.

³⁵ As per the latest response from GCF on the contingency request, a Side Letter is to be agreed on the request for contingency. At the time of writing, UNDP are awaiting response back from GCF on this matter

³⁶ Where discrepancies exist amongst the 3 key documents (the FP approved by the Board, the FAA and associated FP, and the Project Document), the FAA and associated FP take precedence as the legally binding document – this document has been consistently referred to by UNDP in its messages to GoS.

³⁷ The 2020 AWPB would be further reduced by USD\$1.5m to CSSP and USD\$248k to SBEC (total of USD\$1.748M) to be pushed back to the second half of 2021.

³⁸ As part of the AMA, GCF warrants that UNDP has an obligation to manage and provide oversight of the project implementation as needs arise.

- e) GCF allow a 10% reallocation of the FAA defined budget amounts from one activity to another. Anything over this percentage is classified as a “major” change and this will require GCF Board acceptance (whom only meet quarterly). UNDP separately have a working practice (10% rule) whereby budgets can be re-allocated by 10% between Outputs (linked to “budget codes”). ***It is advised that UNDP seek to better engage with GCF on this matter to agree on a revised flexible strategy to enable an increased % reallocation to occur between outputs and activities*** (upon provision of clear justifications (i.e.: the need for extra flood modelling activity etc)).

The UNDP Samoa MCO monitor projects and delays in disbursement (an individual “disbursement rate” issue is a “delivery rate” which is then set out clearly within the AWP which is then revised at the beginning of each year). The FAA sets out the disbursement schedule for the GCF-VCP and these amounts are set out below in Table 3.5.

Table 3.5 : GCF-VCP Disbursement Schedule

Disbursements	GCF Proceeds (million USD)	Contingency (million USD)
Disbursement 1	4,766,361	520,383
Disbursement 2	7,377,554	850,000
Disbursement 3	11,649,728	1,750,000
Disbursement 4	8,195,166	1,850,000
Disbursement 5	9,055,131	1,750,000
Disbursement 6	8,543,427	1,410,000
Total	57,717,748	

Up to 30 June 2020, according to the Q2 report, UNDP have received US\$23,793,643 which amounts to the first 3 Disbursements. However, during the same timeline, only US\$8,544,662 of advances have been transferred to the MoF bank account (representing a Delivery Rate of 14%³⁹). Some key issues surround the financial aspects and approaches undertaken and these are now discussed. Of note, the first round of contingency disbursements failed to get accepted. This is because GCF were requesting the provision of many specific project details. The time required to collate the necessary information related in the PMU/EE resulted in a decision being taken against pursuing this initial disbursement in favour of waiting for the following disbursement (later into 2018/2019). Regarding the second disbursement (2019), the GCF replied 1 month late and still rejected the application. This was because evidence was needed to show why contractor bids were higher than the figures stated in the FAA/Project Document. The GoS subsequently wrote clearly to the GCF Secretariat (sent by the Permanent Representative of Samoa to the UN in March 2019), providing reasoning as to why funds are required from the defined US\$8M Contingency Package that was set aside. GCF nevertheless rejected the claim a second time suggesting that additional proof was required on the rate and speed of annual disbursements spent to date. GCF stated that budgets within the “Misc⁴⁰” budget line still had not been utilized which could represent an alternative to using the Contingency Package “pot”. UNDP have recently responded on behalf of the project (13 August 2020) requesting to revisit the decision to reject the request for contingency. No response has been received back as yet from the GCF. The current (4th) disbursement is also delayed and every effort is now needed to ensure that all matters pertaining towards addressing and answering the “Risk Flag” issues are prioritised with immediate effect. Despite setting no timelines for their response, GCF have now agreed (2020) to help GoS on a “side letter” which now must be formalized before the

³⁹ This figure may not include UNDP direct expenditures incurred to date.

⁴⁰ This “Misc” pot represents moneys that the project needed for matters such as insurance etc.



release of the 4th disbursement (due by March 2021). This 4th disbursement is likely to require moneys to be drawn down from the Contingency Package. The final (5th) disbursement remains scheduled for August 2021.

Another issue linked to this is the re-allocation of budget between activities and the fact that budget line definitions have been misinterpreted by IAs. One contentious project issue relates to whether budget lines were clear enough to interpret the need for EWS siren systems to be installed. The EWS Technology (addition of 5 nodes) is actually fully budgeted in Budget Note 1D (see Page 15 of the FAA and Page 46 of the Project Document). Under Note 1D, the EWS includes sirens, the river gauges and monitoring equipment and the survey and installation of EWS equipment for the 5 sites with a budget of USD155,000 under one contract. The issue is that sirens and river gauges were divided into two contracts by the PMU though this IE confirms that it is not clear whether the sirens need to be installed separately from the rain gauges. It is the assumption (within the project design) that this would be collectively undertaken as one contract. The error of judgement appears to be the lack of clarity as to who should be undertaking this installation, but this is not likely to be the manufacturers. A separate contract with NIWA should have covered both installation requirements if the intended project outcomes are to be realised⁴¹. Despite the Project Results Framework being adhered to, financing and budgets are closely aligned to Budget Codes only, thus making it a different financing modality system. A maximum of 10 Budget Codes per output are allowed. ***It is recommended that the PMU, MoF UNDP review the Funding Proposal Budget (divided by years of the project) as this needs changing and annually agreed disbursement amounts need to be re-assessed.*** This is because the GCF disbursement plan is set based on these budgets and hence the projects Implementation Plan is not aligned with regards to disbursements.

Regarding co-financing, an agreed total of US\$8M was confirmed within the Funding Proposal, Project Document and as signed within the FAA. The amount of GoS allocated co-financing for the duration of the 6 year project was US\$1,920,000 (to be used after completion of the GCF-VCP for a further 5 years. Of interest, a co-financing confirmation letter was prepared and sent to UNDP on 20 January 2020 (see Annex V). This outlines the confirmed co-financing totals that have been applied to support the GCF-VCP between 1 January and 31 December 2019. It provides an overview of co-financing sources, types, confirmed accrued amounts at CEO endorsement and actual amounts contributed at the time of this IE. The actual amount of the GoS in-kind contribution during 2019 was US\$544,681 out of a cumulative GoS total of US\$1,056,474 (i.e.: 51.5% utilised to date). This total represents costs incurred for the rental and maintenance of premises plus the contractual services of individuals. As per signed co-financing letter, a remaining US\$492,970 (Output 2) of GoS co-financing is allocated for premises up to the end of the project. A smaller amount (US\$13,823) is allocated for Output 3 premises costs. As the flood walls and bridge tenders within the Vaisigano catchment have recently been awarded, but no construction activity has taken place as yet, no O&M costs have yet been incurred. ***Some possible amalgamation of these co-finance budgets may be required as the project progresses.***

3.4.4 Project-level monitoring and evaluation systems

The GCF Funding Proposal (Section VII) was accompanied by a specific Evaluation Annex (Annex 9) which represented the precursor to what now is known as the Monitoring and Evaluation Framework (MEF). This purely outlined the cost estimates for the Mid-Term and Terminal Evaluations only. These estimated costs for implementation of the M&E plan, as recorded in this Annex, amounted to USD69,600 (inclusive of travel & site visits), which is a very small percentage of the total GCF implementation grant. The budgeted M&E line items include USD 34,800 for the midterm review and the same amount for the terminal evaluation. In light of the COVID-19 pandemic (see Section 3.12) the Interim Evaluation budget (based on timelines available to deliver this) have proven tight (in cost and time)

⁴¹ Installation related budgets cannot, however, be moved from one budget code to another.



yet just about achievable. Budgets for financial audits are, however, not included within this Annex. There are no issues reported with the budget earmarked for M&E activities, which is considered appropriate within this IE.

The MEF was revised on 6 June 2018 and is currently used by UNDP-MCO whom have responsibility for monitoring and evaluation of the GCF-VCP. It is aligned with UNDP's Monitoring, Evaluation and Reporting Guidelines⁴². This MEF expands on the guidance and information provided in the FAA with the GCF, UNDP Project Document with the GoS and the GCF-VCP Inception Report (produced in January 2018). During the process of reviewing and refining these Funding Proposal action plans and frameworks, the project team has worked to improve the results-focus of the indicators originally defined in the Revised Logframe (Reference Annex 1 Logframe). As such, whilst the outcome and output statements remain the same, the indicators have been improved to be community and resilience focused, to better measure the change effected by the project, and includes more detailed baseline data. More updates are still required as presented in Annex XIII.

The APR reports represent the main M&E tool on the project⁴³, and the PSC/PB meetings have provided opportunities for project partners to be informed and provide strategic guidance. Progress towards achieving the expected results of each outcome is explained in narrative form within the APRs; however, details regarding progress towards the individual end targets are not provided. The APRs provide a summary of progress towards result attainment, but progress towards the individual end targets do not appear to be included. There are a number of quantifiable project results; however, monitoring of these appears to be fairly weak and many of the results achieved appear insufficiently documented to any great detail. There is also room for improvement regarding the monitoring (and confirming) of any increases/decreases in government funding for data collection programmes which in the view of the IE should be regularly tracked and reported. This would provide verifiable evidence of government commitment, and, in some cases, also point out remaining shortfalls and uncertainties as the GCF-VCP progresses. It is however noted that ***no midterm tracking tool had been prepared by the time the IE report (Annex XI) and hence it is strongly recommended that such a tracking tool is produced as an additional midterm assessment version*** (with immediate effect from mid-November 2020 onwards). For ease, this may reflect other GEF related tracking tools that UNDP often adopt for other donors (subject to acceptance by GCF).

Quality of project reporting is assessed as being satisfactory. Reports do outline the causes of any delays in implementation. The use of more diagrams may be a beneficial way to reduce the volume of text contained within the APRs. ***It is suggested to add (within the M&E plan) an annual review workshop event to offer a platform for all stakeholders to be informed of and discuss progress and challenges of the project, also serving as a knowledge sharing event.*** Additionally, the participatory role of Samoan representatives in M&E, as ultimate beneficiaries of the project interventions, needs to be emphasized. Their participation in joint M&E activities (and presented at these workshop events) would ensure that lessons and feedback from beneficiaries are captured to better facilitate their engagement and commitment to the project.

Finally, a separate yet important M&E issue pertains to the anticipated workload that faces the CSSP in the coming 24-36 months of the project. One key challenge is clearly practical, in that the modality under which CSSP facilitates funding for Households and CBOs - modality 1 - requires paper work for the procurement. This paper manipulation is hence very time consuming. Monitoring of household/business projects (CfP1 and CfP2) is a future critical task that must be completed effectively if some of the key projects intended outcomes are to be realised. Internally, CSSP currently have 4 Project Officers working solely on the GCF-VCP to help with implementation of both CfPs which all operate under the leadership of the CSSP's Programmet Manager. Most of the pending workload will relate towards processing all successful household and business contracts along with ensuring the necessary and continued support is available for their implementation. This will include the need for 2 weekly visits to monitor ongoing projects especially where equipment is being handed out for vegetable farming to successful grantee houses-holds. Grantees

⁴² <http://web.undp.org/evaluation/guidance.shtml#handbook>

⁴³ APRs are available for 2017, 2018 and 2019 only



will also need to be monitored regarding their progress to ensure they are on track to achieve their intended outcomes. To support this, DFAT have funded the M&E Coordinator position (from 7 Sept 2020) to help CSSP coordinate all CSSP programmes including the GCF EbAED. Special focus will need to be placed on DFAT programs as it is CSSP's core funder (paying salaries for majority of the staff) and that CSSP is nearing the end of Phase II (Dec 2021). This issue has been discussed in detail in Section 3.4.2 (Work Planning).

3.4.5 Stakeholder engagement

Stakeholder engagement was a fundamental component of the preparation stage of the Project and the GCF-VCP continues to have significant stakeholder involvement including both government and non-government representation on the PSC/PB and direct involvement to support delivery of its various outputs. Important GCF-VCP partnerships have been formed, such as with the CSSP whom have always been traditionally engaged with CSOs though not businesses and households *per se*. The stakeholder engagement (mainly between MNRE, CSSP and SBH) was undertaken as part of the internal review of the Activity 2.2 Operational Manual, following the execution of the CfP1. The lessons learnt and best practices were identified, discussed amongst the implementing partners, which resulted in the amendments and review of the templates (i.e.: CSSP and SBH procedures, application forms, reporting requirements etc). The EbAED conditions and eligibility criteria as set out in the OM did not require any changes as a result of this internal review.

In addition, the processes to be adopted needed to align with the intended outcomes of the EbA Output (Output 2) therefore, many meetings and workshops were needed upfront to ensure that the EbA message and intentions were made clear to better link “green” flood resilience messages to households and businesses. The outcome was a long and complex application form which was disseminated to prospective grantees. CSSP then became worried about having to comply with the EbA priorities and policies being set by the GCF-VCP which resulted in difficulties arising from applicants on how to fill in the forms to ensure these EbA principles and criteria are reached. As a result, a revised more succinct application form was produced with reduced log-frames and designed to be written more akin to the literacy levels of the applicants. This more simple form (which was attached to the application process to allow households to simply fill in information plus any required equipment and services), proved to be a very positive lesson learnt and represents a valuable example of an adaptive approach that is hoped to improve socio-economic awareness, knowledge and ultimately project sustainability for the future.

Lessons have also been learned as the GCF-VCP has progressed, especially regarding the value of “face to face” stakeholder engagement through workshops and training events. Multiple trainings in the community have needed to be undertaken with households and business owners who collectively struggled with the business sections of the applications. SBH, for example, have adapted and “simplified” their training approaches for the CfP2 processes by keeping training events focused and at an “introductory” level especially when it comes to communicating new concepts such as “markets” or how to record 12 months cash flows. Initial confusion was also apparent from stakeholders (at the community level) that the GCF funds on offer only apply for the benefit of communities within the Vaisigano catchment as a result of the damage brought about by Cyclone Evan (2012). Stakeholder meetings were used to better convey this message to communities as the GCF-VCP has progressed.

One key observation of good adaptive management refers to how the GCF-VCP has (through MNRE) sought to improve stakeholder engagement on new topics (such as EbA). To this end, a TA was contracted through UNDP to research and develop knowledge management products specifically a suite of climate smart practices booklet and information for community consultations and EBAED activities. Four comprehensive information brochures were developed to support the awareness workshops and trainings pertaining to EbAED.

Regardless of this, pursuing tangible national (or regional) case studies does not appear to have been reflected in the training “messages” conveyed by SBH within their CfP related application support trainings within the Vaisigano



catchment. What has not been possible for CSSP (or SBH) has been to hold training events outside of the catchment (or overseas) so that a “learning by doing” approach could be better adopted by using exemplars within the catchment. Using examples from other Pacific nations (technical missions to Fiji or Tonga etc) has been considered as being a positive way forward to help pass on knowledge to SBH trainers or alternatively (during the current COVID-19 pandemic) to use photographs from suitable overseas case study locations as a teaching resource to better engage VC communities. Linked to this above point, one key stakeholder engagement observation is that the attempt that the gathering of views from village elders in Apia A series of awareness workshops were implemented by MNRE in close collaboration with all implementing partners for Activity 2.2, during August 29th – 30th and November 21st – 24th 2018, covering the initial 18 communities and later extended to 31. The workshops initially raised awareness on the project objectives and introduced the EbAEd component in details. The sessions also gauged the village priorities, needs as well as potential EbA activities to be developed come time for the CfP1. The August sessions were held in one central location at TATTE Convention Center. For the November sessions, the IAs made up 4 teams, went out to do back-to-back sessions covering 31 communities. The outcomes of these sessions are provided in the Consultation Reports already provided to PMU. The village needs and priorities are clearly sorted and aligned to the Activity 2.2 Operational Manual priorities therein, and these further informed some of the interventions implemented under CfW, EbAED eligible activities, Drainage upgrade works for Vaipuna,

Despite this, the 31 villages that make up Apia (outside of the Vaisigano catchment) were not entitled to apply for the CfP grants (despite that area being addressed under the previous EWACC project). Despite this being an opportunity to learn from the 31 village elders (just outside of the Vaisigano catchment within AUA) to help support these communities, the rigidity of keeping all activities within the confines of the Vaisigano catchment (even engaging communities for consultation) should have been considered as a specific activity within project design phase (Section 3.1). In this respect ***it is important that the project team continues to place a focus on wider lessons learned, documenting emerging best practices (at a national and local level) to further build public awareness, including outreach to and collaboration with beneficiaries, community representatives, including schools.***

Finally, to help with stakeholder engagement, at present, no document been produced to convey the project “message” on EbA or ecosystem service delivery, especially as a precursor to the pending CfP2 process⁴⁴. The absence of this to date is in part linked to the original project design (no specific activities for these to be produced are set out), but more linked to the need for the PMU to instruct IAs (e.g.: MNRE) to produce these support guides/maps which can set the platform for effective flood management for Samoa in the future. For example, existing Watershed Management Plans and Community Integrated Management Plans (CIMPs) all exist through the good work of MNRE over recent years (with support from various donors) through are not yet prepared. This appears to have been something that perhaps may have been considered during the indicator setting process⁴⁵.

3.4.6 Reporting

The reporting and project monitoring process is visualized in Figure 3.2. This includes reporting responsibilities and delegated authority to implement as per the AMA, FAA and Project Document. The process starts with the GCF through UNDP and the GoS to the beneficiaries and back up.

⁴⁴ It is noted that an EbA information booklet, brochures on climate smart agro practices was produced and developed by Michael Dyer

⁴⁵ It is understood that the CIM Plans were only finalised in 2018/19 so they could not be used as a reference in the preparation of the Funding Proposal, however they could (or perhaps should) play a role in the remaining implementation/delivery of aspects of the GCF-VCP (notably Activity 2.2.5 and be included in updates to the EbA Operational Manual)

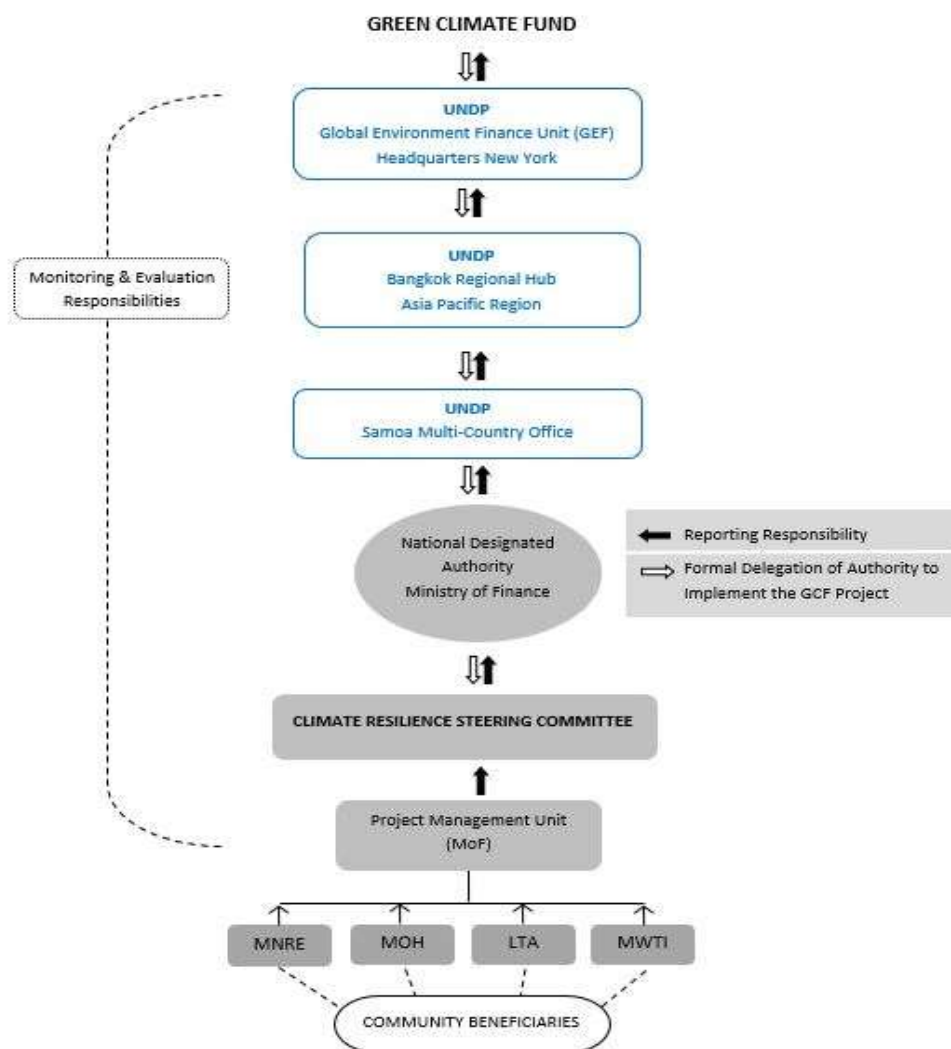


Figure 3.2 The VCP monitoring and reporting process (taken from GCF-VCP Operating Manual 2018)⁴⁶

Both within the Monitoring and Evaluation Framework (2018) and in the Inception Report (2017 - p38), and in line with the FAA (Clause 7, Schedule 4), reporting expectations are clearly set out to include a range of administrative reports to satisfy GCF requests to cover the duration of project implementation of six (6) years as specified in the Funding Proposal. This includes a report at the start of the project implementation, Inception Report (produced in October 2017), Interim Evaluation (this report –submitted to GCF in October 2020), Project Completion Report and a final Independent Evaluation Report as presented below (Table 3.6).

⁴⁶ This image has been taken from the GCF-VCP Operational Manual directly. An error is note in that reference to the “Global Environment Finance (GEF)” is incorrect and this should now be “Nature, Climate and Energy” as this units name has now been changed (though diagram update is not possible at the tie of writing).

Table 3.6: Reporting Schedules for GCF-VCP

REPORT	DUE DATE
Inception Report	11 January 2018
1 st GCF APR	01 March 2018
2 nd GCF APR	01 March 2019
3 rd GCF APR	01 March 2020
Interim Evaluation Report	11 October 2020
4 th GCF APR	01 March 2021
5 th GCF APR	01 March 2022
6 th GCF APR	01 March 2023
Project Completion Report	11 October 2023
Final Independent Evaluation Report	11 January 2024

To date APRs for 2017, 2018 and 2019 (to represent performance for the previous year) have been submitted to GCF promptly within the first quarter of each year. Combined Delivery Reports (CDRs) have also been produced by the MoF for 2017, 2018, 2019 and 2020 (Jan to July). These reports have highlighted some of the delays and challenges the project has faced during the first year and a half. All related risks are described in detail, with potential mitigation options highlighted. GCF supply (sometimes belatedly) a specific “*Comments and Response on Annual Performance Report*” document, which is addressed in detail by the PMU/EE with a formal response from the AE. The impact of these documents are however diluted due to the programmatic time required to produce, await for GCF response and then provide action evidence back to GCF. The cause of the delay in response appears to primarily lie with GCF on this matter.

A series of Quarterly Reports have also been produced by the UNDP-MCO which have been forwarded to UNDP/GCF Regional Coordination Unit. All the information is also uploaded onto the UNDP ATLAS system. These expenditure records, together with ATLAS disbursement records of any direct payments, served as a basis for expenditure monitoring and budget revisions, the latter taking place bi-annually following the disbursement progress and changes in the operational work plan, and also on an ad hoc basis depending upon the rate of delivery.

The major findings and observations of all these reports have been given within an annual report that covers the calendar period January to December; the APR, which is also submitted by the Project Team to the UNDP-CO, UNDP Regional Coordination Unit, and UNDP HQ for review and official comments which is followed by final submission to the GCF. The APR includes reporting of: environmental and social risks and related management plans, gender, co-financing and financial commitments, GCF ‘conditions precedent’ outlined in the FAA, amongst other issues. Of relevance to Section 3.12, COVID-19 impacts are now being reported within monthly and quarterly reports.

Despite the challenges that the new GCF financial reporting demands and formats require of MoF/PMU especially at the early stages of ‘formal PMU’ engagement (last half of 2018), GCF and UNDP reporting requirements have been met with assurances and on time. Training events on UNDP (not GCF) reporting procedures were initiated by UNDP-MCO for MWTI staffs who had limited experience on GCF reporting needs and so their learning curve was steep in order to understand financial reporting needs. An issue linked to this is that workshops to address these matters were organised by UNDP whilst also being open to all IAs. The lesson learned is that these events need to be run by UNDP every year as new staff (within MoF/PMU as EE) are often employed who have no experience in specific GCF financial system reporting standards and approaches.



As outlined earlier (Section 3.4 - Management Arrangements) with regards to the review of technical reports, there is a need for the PMU to consider a review of existing approaches to help with coordination of IA responses. The IE acknowledges that a formal procedure is in place already within PMU which involves either the PCs or MRA depending on the issue and final clearance by PM and MoF prior to sharing with UNDP MCO. Last minute requests by UNDP/GCF are handled differently depending on the issue. Despite this, a revised (and perhaps more simplified) procedure may be needed to improve the efficiency of comment collation (i.e.: 1 person needs to be formally tasked with compiling all IA comments and dispatching to UNDP etc or alternatively, to undertake and coordinate parallel report reviews etc).

3.4.7 Communications

At the outset of the GCF-VCP, the only “formal” Communications Strategy resides as Section 9 of the MEF (2018). Within this it states that strategy “*responds to the needs of the Knowledge section of the Project Document (and the MEF) by targeting individual audiences and channels with tailored actions and messages that supports the vision and mission for each stakeholder*”. The GCF-VCP engaged an Interim Communications Officer whose efforts focused on a draft communications and advocacy strategy, website design, GIS repository data storage (from MNRE). The MoF/PSC have also quite recently recruited other project support staff (including a Communication and Public Outreach Officer) following a government recruitment process in late 2018. A Communications Officer (as part of PMU) was recruited by UNDP in 2017 though resigned in 2018 (amounting to 4 project resignations from the PMU in total). The Communications Officer is now on board and is based within the PMU at MOF. The more recently produced Communications and Knowledge Management Strategy was designed in close consultation with all key stakeholders to support the project’s external and internal communication needs; upholding the GoS’s reputation whilst building large scale, climate resilient infrastructure works with close attention to the needs of local communities, and guaranteeing the long-term sustainability, replicability and scalability of the project’s legacy.

It is recommended within this IE that the Communications and Knowledge Management Strategy and Action Plan is updated in light of new methods of communication required to address the COVID-19 pandemic and the impacts this is having on project specific and wider outreach communication and awareness requirements. This may include required tools and platforms necessary for effective message communication (including electronic tools etc).

Internal project communication with key project stakeholders are mostly regular and effective based on consultations undertaken to date. Importantly, the EWACC project (which created the platform from which the GCF-VCP was built upon), is believed to have certainly helped to craft the communication strategies that the GCF-VCP has then been able to build upon. As the key stakeholders are part of the Project Steering Committee (also referred to as the Project Board) they are kept up-to-date with the more formal review and endorsement of activities and budgets. Technical Advisory Group (TAG) meetings have been held throughout the projects duration and an I-TAG (Infrastructure TAG made up of LTA, SWA, MWTI, MNRE, EPC, MWCSO, MoF, PMU and UNDP) was specifically setup under the GCF VCP. The initiation of Infrastructure and MNRE Activity 2.2 TAG have been set up, resulting in more technical discussions being held multi-sectorally. These 2 groups allow the TAGs to meet and connect meaning that the links between MNRE and MWTI are positive and issues can be confronted in a timely manner. Despite this, it appears that there is a lack of recorded evidence of any coordination mechanisms in place (i.e.: MoUs/SoPs etc⁴⁷) to help strengthen the workings of these Advisory Groups together and to align their advice and hence work “on the ground” to GoS official policy relating to flood management nationally.

The project has set up “Coordination Meetings” (last being concluded on 17 September 2020). These are facilitated by the PMU with the overall aim of enhancing coordination, communication, understanding and confirmation of mid

⁴⁷ It is noted that TAGs provide the coordination mechanisms and record of Meetings/discussions and decisions reached with PMU Team to follow through implementation of decision. These are not, however, formal coordination / engagement tools to encourage collaborative working.

and end targets as per the GCF-VCP MEF. In addition, the GCF-VCP CEO Forum held an inter-agency meeting on 16th September 2020⁴⁸, prior to the 10th PM Meeting held on 24 June 2020, to inform and facilitate consideration and agreement of strategies and work plans to resolve timely land issues with families affected by construction activities of the Vaisigano levees for Segments 2-4 and the Lelata Bridge construction. A series of separate presentations have also been made by the EE/PMU regarding project progress at a meeting of the Aid Coordination Committee on 27th May 2020 which was chaired by the Hon. Prime Minister. A complete listing of coordination meetings is well presented within the Q2 Progress Report (July 2020). UNDP are also currently proposing to streamline the process for engagements with all contractors procured by UNDP or GoS. Herewith, all parties including UNDP must be involved in all engagements at all levels.

The external communication of the project is relatively well developed though there is clear scope to ensure internet connectivity is reliant and sufficient to support the VCP's website well⁴⁹). Despite this, the use of social media appears to be quite useful to enhance the visibility of the project through the use of social media, videos, newsletters and fact sheets to provide a "face" to the project. For example, some very useful YouTube videos have been produced to convey important messages regarding the project

(<https://www.youtube.com/watch?v=uXMgIqld1A>). The #GCFSamoa handle has been used to communicate project activities on Twitter though this appears somewhat underused to date. The project has used a variety of modalities to update information, progress reports, achievement, technical reports etc. to wide audience through their Project Facebook site⁵⁰. The project has a specific logo that was adopted and used as shown on the front of the Facebook page (see Figure 3.1).



Figure 3.1: Facebook front page "header" of the GCF-VCP social media page.

The EbA-ED initiative has proven a good exemplar to promote climate resilience and hence improve communication of key messages amongst local communities. These help to build on other donor funded initiatives to engage communities. A few updates were requested to better align with GCF funding criteria though the IE believed that the link to the CSSP was a beneficial modality to follow. CSSP was mandated to focus on Community based Organisations and NGO projects only, not household projects. The funding proposal had only referenced DBS and SBEC with EbA enterprise activities being implemented on a loan basis approach targeting small businesses. By changing the focus from a bank perspective and introducing CSSP at the implementation stage, the approach created problems as CSSP caters for grants to assist CBOs and NGOs, not loans. Some CfP applicants also did not attend project arranged training events offers, instead just picking up forms and filling them in without understanding the meaning of each criteria. In 2020, it was documented that all participants must have a certificate of participation

⁴⁸ Prior meetings were held on 28 August and 17 July 2020

⁴⁹ www.vcp.gov.ws

⁵⁰ https://www.facebook.com/pg/gcf.vcp/posts/?ref=page_internal



from SBH that they attended at least 2 of the training events. Two different type of trainings were designed to help with communication understanding. The first was on business to “canvass” new ideas (brainstorming) and secondly, how to complete the application form. Applicants were encouraged to attend and receive both training certificates. This is deemed a very positive communication strategy as trainings became well attended and the eligibility criteria became much better understood. These currently remain as ongoing events within the community and more recently, a “one on one” walk-in series of sessions has taken place whereby SBH read through the applications and these can then be updated up to the submission deadline date (Friday 4 September 2020).

From a community perspective, consultations to date have been led and coordinated by the IAs which continues to ensure a close working partnership with the beneficiaries, local communities including CBOs, and other Civil Society partners in the VRCA and strengthened awareness and achievement of the GCF-VCP objectives. MOF also holds annual follow up consultations to ensure feedback goes back to community on issues raised. Through the activities within the GCF-VCP to date, consultations and workshops have been held in 31 village communities of the VRCA for the EbAEDP and other initiatives ensured engagement with more than 6,000 members of local communities. Efforts to enhance project outreach, attempts to communicate World Water Day and National Environment Week have also all been pursued. National events have been “linked” to the Vaisigano Catchment by using the locations and the community work undertaken. This has included the role of youth and schools within the catchment area to promote biodiversity/conservation awareness as part of the awareness campaigns to promote ecosystem responses which reduce flooding within the Vaisigano catchment. This approach has been pursued as it is hoped that some indirect benefits may arise to support the targets of GCF-VCP but also it is part of implementing ecosystem responses which remains the main function of Activity 2.2. In addition, MoH revised and provided Information & Educational Communication (IEC)/promotional materials on GCF-VCP related flood management within information packs to help support their joint efforts with DMO on pre-awareness on early warning sirens. Within the Operational Manual (Activity 2.2), clarity is provided on how CSSP, MWCSO, MNRE, MAF, SBEC and other relevant partners intend to prepare and plan for Public Awareness Campaigns within each of the 19 targeted communities to ensure maximum coordination. A public awareness campaign was subsequently conducted for all three components (EbA-ED and CfW) and an “Aspiration Survey” conducted as well as understanding the feasibility of suggested CfP activities.

Communication related challenges faced by the GCF-VCP to date (relating to communication) include the fact that PMU do not communicate directly with GCF even through this strategy, in certain instances to date, this may have proven useful. Only the UNDP Regional Office (Bangkok) and UNDP HQ carry this out and then convey any findings back (via writing) to the EE (MoF). The delay in Activity 2.2 (EbA-ED) and CfW programmes is believed to be associated with the need for GCF to formally approve the Operational Manual (which was only approved in October 2018 even though it was submitted in July 2018) which impacted on programme. ***Improved communication channels are required that better engage the GCF Secretariat on how the GCF-VCP is taking decisions to move the project forward.***

3.5 Sustainability

Sustainability is generally considered to be the likelihood of continued benefits after the GCF funding ends. These findings address the potential financial, institutional, socio-economic and environmental risks to the sustaining of the GCF-VCP results into the future.

Overall: Likelihood that benefits will continue to be delivered after project closure: Moderately Likely (ML)

The justification for the above classification is briefly set out as follows: The project’s design (see Section 3.1) has helped to promote a long term strategy towards implementing sustainable flood management and climate change adaptation in Samoa and this is importantly reflected within the Strategy for the Development of Samoa (SDS – 2020-



2024)⁵¹ and the Environment Sector Plan. In many ways, the GCF-VCP has had the advantage of being implemented within an enabling environment lead by the GoS, and it's SDS (2020-2024) where sustainable development is a high national priority.

Having said this, meaningful inter-sectoral delivery requires further and continued development. This is because the project's sustainability ultimately lies in the hands of the all implementing partners and their ability to consolidate the project findings into a simple 'next step' action list whilst also being able to communicate to policy makers that sufficient budgets are required to enable them to keep momentum (as generated by the GCF-VCP) and interest. Activities such as the flood resilient "building codes" for Samoa are anticipated to be sustainable over at least the medium term as there is already buy-in for this at the mid to high level. To assist long term sustainability, the ***need for Cabinet to establish a new national Flood Policy (that is aligned to a new Spatial Plan and linked to Activity 1.4.2.2 to produce an "Upland Watershed Policy") will help to influence the need for future policy implementation.*** The EWACC produced flood maps (2020 onwards) will prove of value to this end and help with deliver such a future policy.

As stated in Section 3.1, the sustainability of GCF-VCP has been helped by the project design being founded on lessons learned from the EWACC project. Whilst the Segment 1 river wall was funded from the GCF VCP (behind Aggies Hotel), it was designed in an attempt to connect with the engineering work initiated from the original (and ongoing) EWACC project. MNRE and LTA were also involved in the drainage aspects of Segment 1 engineering works during the EWACC project. Therefore, EWACC provided the baseline from which the GCF-VCP was able to build upon. As a consequence, 31 villages within the Vaisigano catchment are being provided with flood related protection in an integrated manner with infrastructure now being flood proofed to help mitigate against disasters. The missing piece of the 'sustainability' jigsaw in Samoa, despite the efforts so far, appears to be a ***weak enforceable planning system that now needs to be updated and reviewed to better embrace flood risk management. Institutional arrangements (starting with MNRE and MWTI) to reflect such updates may be needed to help enforce this change over time.*** This is because without this in place, the existing CIMPs produced (for example) will quickly become outdated.

Finally, project sustainability is closely linked to how the project has demonstrated how risk management is being addressed. To date this appears to be dependent upon the PMUs (and IAs) ability to manage risk internally and hence at the outset of a sub-contract or task. Although national protocols and systems are in place and formalised, compliance to any formal risk management process appears to be weak (i.e.: there is not mandated Climate Risk Vulnerability Assessment (CVRA) requested to be included as part of the EIA process).

3.5.1 Financial risks to sustainability

Financial Risks: Likelihood that benefits will continue to be delivered after project closure: Moderately Likely (ML)

The outlook for the long-term financial sustainability of the project remains closely connected to the interest of national government and commitment of international donors⁵². It is important to take into consideration that the GoS has committed far more than the original forecast in-kind assistance (i.e. \$ value of in-kind assistance). This clearly shows GoS's continued commitment to sustaining the project and its outputs and outcomes. In addition, financially sustainable outcomes at the end of the project will, however, be influenced by the ability of the PMU, EE and AE to ensure the continued and timely flow of future funds which may include the ability to more effectively "draw down" funds from the GCF Contingency Package as required. As stated in Section 3.4, Contingency budgets

⁵¹ "Accelerating Sustainable Development and Broadening Opportunities for All"

⁵² EU funding terminates in March 2022 and DFAT funding stops in 2021.



set aside at the outset of the GCF-VCP (US\$8M) are proving difficult to access without GCF Secretariat intense and lengthy scrutiny which is impacting on the sustainability potential of the project. The first request to GCF was in July 2018 but no response received until mid-2019. Even the second request for contingency budget draw-down was blocked as GCF stated that the request and argument didn't comply with GCF criteria. The absence of any formal guidance or training on contingency access procedures is key here and PMU have to learn how to develop and comply with what GCF will accept. Despite this, the existing rulings state clearly that upon receipt of a justified reason, up to 10% of the Contingency budget allocation can be moved within the project. The project outcomes hereby run the risk of not be sustained unless GCF can introduce an improved degree of flexibility on their existing (pre-COVID19) rulings to enable the PMU and MoF to rectify budgeting allocations set out in the project formulation stage.

Linked to the above, it has already been stated (Section 3.2) that GCF-VCP achievements have been stifled to date by a few factors. For example, higher than expected financial proposals during procurement may be linked to the fact that potential bidders are aware of the relatively "large" size of the project (\$57m) and therefore bidding higher than they would for the same work undertaken by a smaller project. Other issues, however, include the adoption of low cost estimates being provided within the signed FAA/Project Document plus a rushed appreciation of supply chain related costs of relevance to Pacific island situations. Materials, plant equipment and services often cost more in Pacific situations and the rigidity of the GCF rulings surrounding disbursements (and use of contingency package moneys) has influenced the disbursement rates and activity progress to date. This has therefore influenced the level of success that effective flood management in Samoa has been able to offer to date from a strategic perspective.

Despite this, robust Feasibility Study outputs have already been produced (Output 1) that should be have value towards delivering effective flood resilience in the Vaisigano catchment. In addition, these studies may also prove of use (from a financial risk perspective) for future replication/upscaling purposes elsewhere around Samoa (possibly utilized to replicate and or leverage financing from other partners).

Finally, a budget of WST\$4 million has been allocated over the next few years for the support of 195 household and community approved EbA projects starting in 2020. This will provide a strong economic incentive to the local community and increase eco-friendly and flood-resilient practices in the catchment (Sub-activity 2.2.4). The development of a business incubator and financial assistance programme for ecosystem-based micro-businesses within the Vaisigano River catchment is hoped to set a framework for financial sustainability. The design and implementation of the "Cash for Work" programme (Activity 2.2.6), where local community members are hired as field assistants on watershed rehabilitation, environment protection and reforestation of critical sites in the watershed – more than 30 community members (mainly youth, men and woman) were employed in this capacity during 2019 which are hoped to increase the provision of improved economic welfare for many households in the VCA (Sub-Activity 2.2.5).

3.5.2 Socio-economic risks to sustainability

Socioeconomic Risks: Likelihood that benefits will continue to be delivered after project closure: Likely (L)

At present there is clear political support for the project and its overall objective during the term of this government period. At present, the socio-economic reality provides a rather conducive environment for the project, recently reconfirmed in the SDS (2020-2024) and the commitment by the GoS as outlined in the policies and targets of the climate change sub-sector and as evidenced by the commitment to provide flood resilience within the Vaisigano catchment. These commitments and positive actions are supportive for longer-term socio-economic sustainability. The consultations with stakeholders have also confirmed the interest shown by the different stakeholders in pursuing the overall objective of the project. From a positive socio-economic stance, the 1st CfP application process has been completed for applicants and enterprises to access funds to help support livelihood diversification to "build back better". This seeks to encourage households in particular to diversify from more traditional manual work



toward other forms of employment. Setting up the Grant scheme, in line with existing GoS contracting modalities through the CSSP, has helped to ensure a sustainable pathway for the future.

One key socio-economic challenge that the GCF-VCP faces is linked to a shift of CfP focused engagement from CSOs to households and businesses and how enhanced education and outreach messages (on the role of ecosystems to support flood resilience) needs to be re-targeted. Households applying during the CfP1 process experienced many problems with knowing how to formulate work-plans and budgets that reflected EbA principles. Making household applicants aware of EbA principles is a new topic which takes time to instil into mind-sets. For example, most households were only able come up with vegetable plot farming (often termed as “mixed cropping”) as a possible grant funded technique (though not necessarily new techniques such as permaculture/home gardening etc). Some aquaponic systems have been proposed though often these require new types of hardware/equipment which are not easy or feasible to attain from hardware stores in Samoa. There is evidence that SBH tried to focus attention more on bakeries etc to try to help them operate in a more “eco” way and from this to help them develop their enterprises to better embrace EbA principles.

An additional observed risk to the sustainability of the CfP approach is that households and CBOs, if approved for funding (during CfP1 and most likely again during CfP2) need to provide evidence of a formal business license as this is a requirement of the Ministry of Customs and Revenue (via legislation). This is a weakness that should have been better communicated at the original project design stage. This requirement should have been better clarified. In spite of this, the criteria is not hindering any household from applying during the CfP2 application phase.⁵³

Finally, and on a more societal health perspective, any future flood resilient policy and measures introduced in Samoa needs to be flexible in terms of the variance of possible diseases that may occur after a major flood event (i.e.: not just water borne diseases are prevalent). This issue is part of the whole health surveillance system that falls under MoH activities. The lessons learned and covered will be applicable to all diseases and not just flood-borne diseases, in terms of monitoring, early detection and response in a coordinated manner. Importantly, the trainings planned for implementation are not limited to just health practitioners. Key findings to date suggest that these trainings are the fundamental concepts which are applicable to any disease.

3.5.3 Institutional framework and governance risks to sustainability

Institutional Framework and Governance Risks: Likelihood that benefits will continue to be delivered after project closure: Moderately Likely (ML)

Institutional knowledge and technical capability of the staff within the PMU, the UNDP MCO, MNRE, MoH, MWTI, Ministry of Women Community and Social Development (MWCSO), SBEC, CSSP and LTA in particular is assessed as being acceptable yet not necessarily technically competent in flood dynamics and engineering. What is important is that these IAs are all led by professional Samoan nationals. In many instances, for example, during the CfP1 process, there has been an enhanced reliance placed on the technical expert and advice of MNRE who were present to events run by SBH which certainly “add value” to the training events to ensure that EbA criteria is understood and met as far as possible. Hence the current MoU and partnership arrangements with MNRE appear to be effective which is positive.

GoS counterpart staff, currently residing and employed within the respective IAs, helps to support the integration of experience, best practice and adaptive management strategies under their areas of responsibilities. This helps towards implementing the intended GCF project outcome, as well as steering the GCF-VCP towards adhering to procedures that are either Cabinet endorsed or are fully in line with the legal and technical requirements defined by

⁵³ The Ministry of Customs and Revenue already have a policy for applicants (during and before signing of a contract linked to the Funding Agreement) to have business licenses, but this only applies to businesses not households.



GoS policies or strategies. Despite this, there remains a key institutional risk of losing staff with built capacity and knowledge of the project to other employers (projects or private enterprises) as their skills and experiences are rare and in demand. The close working relationship that exists in Samoa between the various Ministries should prevent any negative impact of any major staff capacity change experienced in the near future. Sector Coordinators, for example, are well established as a result of recent GoS reforms. Hence the GCF-VCP has played a key role in providing a catalyst to strengthen already cemented coordinatory mechanisms in place.

The institutional sustainability of the GCF-VCP is, however, likely to be tested by human resource capacities within a range of institutions, though most notably for those whose primary sector is not related to flood management, such as MoH. They specifically added one staff member although it acknowledged that at least four extra focused staff were to be required. Despite this request, GCF (via PMU) advised that the project design articulated that only consultants (not national full time staff) were to be engaged. MoH also requested the need for a GIS staff member to provide support within MoH and subsequently developed a ToR for a principal level staff to help with mapping software to support EWS and surveillance system. GCF (through the PMU) replied that the ToR requested “administrative” level support rather than duties of a principal officer to support on GIS or IT related duties. The ToR has subsequently been revised though the staff needed will need to be mainstreamed into existing MoH budget lines and not be funded directly by the GCF-VCP. The impact of this GCF interpreted rigidity of resource capability “wording” needs to be reviewed or better articulated to GCF (via UNDP-MCO) otherwise the institutional sustainability may prove to be a challenge (in the short term). The recent merger between NHS and MoH should be encouraged to demonstrate the link between public health and climate change. To this end, **MoH should internally review their combined commitments (in light of the COVID-19 pandemic) and, if suitable, request that certain budget lines within the GCF-VCP are used to help design new training programmes for staffs on climate change related issues that is also aligned to their current workloads.**

In addition, a more general constraint remains with regards to the need for capacity development for CSSP staff who are responsible for EbAED projects. Additional trained experts will add to the existing number of partners that CSSP has to work within under this program. Therefore, with regard to building knowledge and understanding of combining ecosystem service understanding with flood dynamic modelling, expertise will be required to support the available institutional capacity in the future. **CSSP, for example, may benefit from having trained experts “in-house” on EbA to be able to help convey to SBH how to inform households and businesses on nature based solutions to address flood management.** Overall, future political leadership is therefore needed from the GoS is needed to help operationalize appropriate trainings and capacity building support in order to have sufficiently trained workforce to manage the projected growing demands for skilled technicians in the flood management sector.

Finally, since the GCF-VCP was signed in July 2017, no major cyclone event has been experienced until Cyclone Gita in 2018, hence no disaster event was used to calibrate the exact needs of the GCF-VCP from an institutional perspective. However, an adaptive management approach is being adopted by the EE/UNDP/PMU to ensure that lessons from Cyclone Gita are embraced into the delivery of the project and for ideas to upscale into the future (especially the infrastructure works and GCF safeguarding needs).

3.5.4 Environmental risks to sustainability

Environmental Risks: Likelihood that benefits will continue after project closure: Moderately Likely (ML)

Based on the interviews with stakeholders no high environmental risks to sustainability of the project have been identified. The potential issues flagged in the UNDP Environmental and Social Screening of the Project Document were limited (in total 4 environmental risks were identified). These risks relate to sediment movement during riverbank works; sediment movement during ecosystem re-vegetation works; exposure of acid sulphate soils and construction waste. The updated ESMP provides a detailed framework to monitor any negative impact during construction and after operation starts and provides through its grievance redress mechanism, an approach to voice



complaints and address these issues between parties. The GCF-VCP has helped fund Environmental Social Safeguards person working in MNRE.

Environmental co-benefits have been provided by finding the best protection options for flood management and completing baseline biodiversity surveys in the Vaisigano Catchment Area on the invasive water lettuce, on butterfly and birds, on the Palolo Deep Marine Reserve downstream of the Vaisigano River. The GCF-VCP also contributes to waste management through implementing a plastic ban campaign in the Vaisigano catchment plus contributing to the 2 Million tree planting campaign (2.4 hectares planted in 2019) and finally the maintenance of nature reserves within the catchment. (Sub-activity 2.2.1).

Without doubt the Payment for Ecosystem Services (PES) initiative is seen as a very valuable exercise for Samoa that could represent the cornerstone of future effective sustainable flood management delivery in the country. It potentially is the main tool for the sustainable conservation of the upper Vaisigano catchment. The purpose of a PES programme is to protect vital habitats and the ecosystem services they provide, such as water and electricity as in the case of the Vaisigano River Catchment, but also has potential for carbon-offsetting and biodiversity conservation values. It also represents a real tool to support the GoS to demonstrate a paradigm shift away from sectoral issues to one that is more integrated, mainstreamed and compliant to successful spatial planning within catchments and watersheds. Importantly, it offers several benefit-sharing options for attracting customary landowners in modifying their land-use practices for the protection and conservation of these critical ecosystems. A comprehensive concept for the Apia Catchments PES programme was completed in 2019, and a full-scale Feasibility Study for its implementation is at the last stage of procurement for implementation in 2020. Linking Sustainable Land Management (SLM), Watershed Management Plans, Community Integrated Management Plans (CIMPs) to the PES in particular represents a real opportunity for Samoa to better embrace the role of EbA and NbS around the country (to demonstrate replicability).

There are more than 10 recognised critical watersheds in Samoa by the Water Resources Division, and most catchments cover more than 5,000 hectares mostly under customary landownership. To design and set-up a successful PES scheme in the VCA that would provide sufficient financial incentives and shared-benefits for landowners to protect landscapes of significance for water, electricity and flood-resilience could be a game changer in Samoa's context for watershed conservation as well as other, ridge-to-reef and conservation initiatives on customary land in Samoa. Linked to this, and of interest, only 1 CfP1 project set aside to replant native trees as a buffer in the upper catchment.

An important finding to date is that the sustainability of the CfP grant funded approaches is integrally linked towards encouraging households to develop at a pace they feel comfortable with and to provide them with the resources that they feel are needed. Literacy levels are such that message communication needs to be simple and basic. Introducing new terms such as "ecosystem service" etc does not necessarily help in many cases and adds to the confusion as to why households are applying for the grants in the first instance. Related to this, many households often cannot see too far into the future, and that long term EbA planning is not within the mind-set of households. *"It will wash away during a flood"* was one apparent response made to SBH when people talk about the sustainability of vegetable garden. Households often do not see the value these activities can bring to soil health which is a modality to improve catchment wide flood resilience measures.

Finally, Environmental sustainability shall be supported in the coming years should the current EIA and development consent process in Samoa be developed further to reflect the GCF-VCP findings to date in addition to the utilization of new EWACC funded flood map production which were generated using project funded hydraulic model outputs) which can help to identify risk and hazard zones within a new National Spatial Plan that mainstreams climate resilience and embraces the work already produced by the CIMPs. In the absence of such a Plan for Samoa, any effort to introduce meaningful "zoning policies" to support flood management and to help implement the National Building Codes is inevitably diluted. Zoning of Conservation Areas needs to be better formalized to enable "flood buffers" to be introduced whilst in tandem providing conservation and habitat rehabilitation opportunities within the VC. It is noted that there appears to still be a limited appetite to produce such a Spatial Plan.

3.6 Country Ownership

The GCF-VCP aligns well and is highly relevant to national needs. Outputs and outcomes of GCF-VCP are all relevant and remains in line with SDS (2020-2024) Priority Area 4, Key Outcome 14. The design, being focused on 3 key Components (Outputs), links directly with national priorities (safety of vulnerability groups and national requirements for sustainable development, especially Activity 2.2 which embraces the income generating activities at the community level). National expectations to embrace EbA interventions are linked closely to the design in tandem with the river walls, bridge repairs and drainage around Apia region. The GCF-VCP was also designed in response and as part of the development of the Samoa's National Adaptation Plan (NAP) following an assessment of the effectiveness of national initiatives for climate change adaptation related to flood management and other climate-induced disasters.

The GCF-VCP has strong country ownership and this is demonstrated by the commitment shown by the CEO, MoF as the Chair of the PB/PSC comprising of all IAs, MoF/EA, AE/UNDP and collaborating agencies. The CDC and other Sub-Committees of Cabinet were briefed and updated twice by the CEO MoF and the GCF-VCP Project Manager (in August and December 2019) on GCF-VCP progress and challenges. In addition the formalising of regular (monthly or as need basis) GCF-CEO Forum chaired by MoF CEO with all CEOs of the IAs, establishment of two TAGs, monthly coordination meetings of PMU and all IAs, and ad-hoc meetings as required. The Project Manager has also called specific quarterly meetings of the MoF, IAs and PMU to brief and update on GCF-VCP progress and facilitate resolution of GCF-VCP implementation issues. These updates are well received by the PM and Cabinet who are well informed of the GCF-VCP progress and challenges. It is anticipated that the GCF-VCP activities and objectives are included in IA's corporate and sector plans which will further embed the programmatic approach. These display a strong indication of country ownership. Senior counterpart staff of the IAs, led by the CEO, MoF, the UNDP Resident Representative (RR) and the PMU held four joint coordination meetings to ensure effective coordination, integration and consistent monitoring of the implementation of the GCF-VCP approved AWPB and to address timely implementation issues and challenges with both the AE/UNDP and MoF/EA.

Importantly for the remainder of the project, the expected performance against GCF investment criteria should focus on continued country ownership through a strong contribution to the Integrated Water Management Plan (IWMP) and NAPA and maintain outcomes in line with Samoa's priorities on climate change adaptation as spelled out in its Nationally Determined Contribution to the UNFCCC under the Paris Agreement. This is hoped to support all efforts to scale up the implementation and outcomes of other existing plans and policies at national level, mainly, National Environment Sector Plan (NESP), Nationally Appropriate Mitigation Adaptation (NAMA), NAPA and NAP. The GCF-VCP should, however, support and where possible improve capacity within the UNDP Samoa MCP, MoF (as EE) and IAs whilst maintaining and increasing engagement with NDAs, civil society organizations and other relevant stakeholders. This actually displayed well in Samoa through the existing good multisectoral approach and departmental integration that was adopted as a national collaborative requirement to create the pathway to formalise disaster risk management (legislated through the Disaster Management Act).

3.7 Innovativeness in Result Areas

Key potential innovation related impacts that can be recorded within this IE relate to the creation of flood resilient buildings (Activity 1.4.2) via building code implementation and the introduction of PES and associated income generating activities that provide the potential to support new ways of thinking that involve whole village communities (in a gender and socially inclusive manner). In addition, a comprehensive concept for the innovative Apia Catchments PES programme (completed in 2019) has resulted in the design and implementation of a PES for the VCP which has now been contracted and now moving to Stage II based on option and recommendation approvals received from MNRE and PMU. This is now progressing at pace (scheduled to start in October 2020) and is building on some strong regional experience.

Despite this, the overarching feeling amongst Samoan stakeholders interviewed is that the lack of GCF flexibility has diluted the appetite for innovative thinking as this is often stifled in favour of compliance with the approaches and techniques proposed within the Project Document and as financed within the FAA (see Section 3.4.3). At this mid term juncture, it may be stated that the rapid time taken to produce the project design (see Section 3.1.1) had limited any opportunity to introduce “*none tried and tested*” approaches in favour of more “off the shelf” hard engineering designs that may be used to maximise sustainable flood management. In addition, the rigid nature of the GCF implementation compliance criteria (with regard to the engineering activities in particular – Activity 2.1), in many ways, has not been conducive towards Samoa being able to introduce (or test) iterative innovations unless there is clear and proven case to support such engineering innovation to be tested at the design stage of the GCF-VCP. For example, introducing flood conveyance “corridors” (for flood storage or storm water diversion strategies) do not appear to have been properly modelled and hence given any major consideration within the detailed designs produced during the original EWACC project.

More positively, innovative opportunities do appear to have been positively attempted where a less rigid compliance to GCF implementation criteria exist. For example, opportunities to support the initiation of EbA schemes (during the CfP1 process) have been captured as well as possible (Activity 2.2.5), despite issues arising that relate to insufficient available lands for tree planting. Tree planting household grant application projects are actively being carried out though these perhaps could have been more numerous if the message of how their role supports flood conveyance and that an economic return from certain species could be made. The majority of CfP1 applications appear to be vegetable gardening plot concepts which aligns better with what local householders can do, sustain and earn money from. Such organic farm approaches are also promoted to ensure the health of the soil maintained. Training delivered by CSSP and SBH has been delivered based on the technical information (reports/manuals/feasibility study outputs etc) that MNRE provided who also disseminated the designs for approved exemplar home garden vegetable growing approaches when these were agreed upon. The IE welcomes this observation, however, also notes that in its own right, individual vegetable “home garden” farming doesn’t directly relate towards supporting catchment wide flood resilience unless this strategic message is coordinated, targeted and delivered at a wider catchment scale. Instead, a greater focus on “ecosystem services” and the role that home gardens can play as a “Nature based Solution” (NbS) to address flood resilience (including targeted training and awareness on EbA principles and its role in climate change to help stabilize soils) is needed to maximize the outcome of the project.

The Cash for Work (CfW – Activity 2.2.6) approach is seeking to introduce new innovative outcomes on the ground, however no tangible evidence for this is forthcoming at this time. The goal of the CFW per the priority of MNRE is linked to habitat rehabilitation to support flood resilience. Tree planting / afforestation remains the primary goal although it appears that challenges are arising over the lack of new lands for planting. The establishment of tree nurseries for seedlings to be sold for income shall help to support environmental sustainability over time. It is the view of the IE that current approaches are showing positive “green shoot” signs of innovation yet more perhaps could be considered should budgets allow. For example, the partnership that is being developed between the Forestry Division and the Magiagi community is a new initiative under the GCF-VCP within a new area. A proposed ground-truthing survey being undertaken is hoped to identify new open areas for rehabilitation and restoration activities. From this, it is hoped that new “critical” locations to support options to address flood risk may be found for future new CfW rehabilitated lands within the Vaisigano catchment. Delivering innovation in Samoa is, however, jeopardized unless clarity is provided on customary rights, land ownership issues and appreciating societal wishes and demands. The information that resided within the Vaisigano Integrated Watershed Management project (1988-1994), which was not directly used as baseline within the Funding Proposal, may have helped to provide a platform from which update already collated societal, anthropological and customary rights information that existed (under that project) to help inform community focused flood management issues in the Vaisigano catchment.

To support improved innovation, opportunities to expand the concept of an “EbA business model” for communities perhaps should now be considered in order to “build back better” after disaster events. The CfW employment modality is based on a customised version of the ILO Green Jobs scheme, and is the first to be implemented whereby workers are hired and formally paid under the government payroll scheme. Trainings are also offered to up-skill



workers to support their entry into the formal labour force. This in its own right is new and hence innovative in Samoa and this IE sees the obvious value and benefits long term of this approach. The IE believes that ***the CfW programme could benefit from receiving re-allocated funds to support the CfW continued update and diversification for workers, with improved outcomes for employment for women in particular.*** Any cost-savings incurred (for example under Output 3) may possibly be considered for use under this activity.

There needs to be new target areas for “at scale” rehabilitation work in the Vaisigano catchment coupled with improved baseline facts (including mapping activities) from which to advance key landscape rehabilitation activities under this programme. This should provide the targets (in terms of areas and sites) for reforestation, afforestation, invasive species work, maintenance of sites and river banks. These targets should form the basis of the number of person-days required for each activity, and its budget. ***Engaging specific expertise within the PMU (such as through a dedicated CTA for this output) to support the improvements in broader strategic implementation of Activity 2.2.6 is one possible suggestion here. In addition, a revised project approach should focus on capitalizing on existing and innovative land-use and landscape rehabilitation practices, as well as clearly defined rehabilitated targets areas for each of these practices that are achievable under the CfW.***

Connecting business markets (through an improved Cash for Work programme) remains critical yet appears to be as aspects that wasn’t set out clearly enough in the Funding Proposal (linking business training ideas that connect vegetable markets for farmers or households). One possibility may be to build upon any existing donor funded (or national) initiative that provides households with new innovative opportunities for solid waste (plastics) recycling. Unlike other countries, limited exposure to new innovation that may (for example) be observed through the internet is being stifled due to poor internet connectivity issues within the Vaisigano catchment area and hence being educated on new recycling issues (how to do it) remains a big challenge.

Finally, and linked to the unexpected results presented in Section 3.8, the COVID 19 pandemic may indirectly be introducing a real innovative opportunity for changing the way that donor funded projects are (or could) be delivered in the future. Zoom technology capacity and needs, coupled with adequate internet connectivity, must be more formally introduced within all IAs. The GCF-VCP should also seek to be innovative in order to help increase the capacity of local consultancies, agencies and contractors to help deliver the remainder of the project in light of COVID 19 and the inability of international consultants, contractors and suppliers to fly to Samoa for the remainder of 2020 (and potentially into 2021). This is an area of innovative development the project is suggested to further explore.

3.8 Unexpected Results

The IE has noted some unexpected results, based on the feedback of the stakeholders and communities consulted. It is evident that the PMU team has had to adapt to a rapidly changing development landscape through the change in Governmental policies, emerging budget restrictions and related delays so that sequencing of interventions and work planning had to be considered with flexibility. In particular, unexpected results from the measles outbreak and COVID 19 pandemic are being slowly realised. However, on a positive front, stakeholders have reported “an improved social capital” in terms of creating a culture of working together and building trust among key stakeholders, perhaps due to the frequent and physical presence of project staff and continuous interaction and the appreciation of the swift progress of the civil (drainage) works in the Vaisigano catchment. Working with colleagues within the PMU has helped to ensure that GCF implementation criteria are understood and adhered to. For example, the MoH are now looking at collaborating with Samoa Water Authority to establish how the supply of water is carried out using independent water schemes within the Vaisigano catchment (including establishing facilities for water quality testing).

A less proactive (unexpected) finding is that the GCF-VCP has created an expectation that the GCF will be able to fund a whole host of flood schemes anywhere in Samoa (not just within the Vaisigano catchment). To this end, levels of expectations will have to be better managed for the remainder of the project to ensure that the wider populous appreciate that beneficiaries are essentially within the Vaisigano catchment. GCF-VCP has also experienced an

unexpected result that relates to improved and strengthened compliance requirements associated with the PUMA Act. The approach towards adopting hard solutions (flood walls) have brought about the reality of requiring both customary land and government lands adjacent to proposed engineering “footprint”. These buffers areas need to be formally surveyed in order to determine exact cadastral boundaries. Here, the PUMA Act states that “2m from boundary of government asset is government reserve” however, because such government ‘land’ (nor customary land) had not been surveyed as part of the GCF-VCP, the installation of flood walls and drainage systems has inevitably required more community consultations than were originally planned in order to ensure that customary compliance issues are being adhered to.

Finally, and perhaps the most important “unexpected” result of the project to date relates to the nationally observed inflexibility that GCF procedures impose on the project. Whilst it is stated that this lack of flexibility appears to dilute the appetite for innovativeness (as stated in Section 3.8) as this is often stifled in favour of complying with the prescribed way that was set out in the Funded Activity Agreement (FAA). In spite of this, national stakeholders are now deducing new creative ways to ensure the GCF-VCP project continues as programmed despite the current COVID 19 challenges that are being imposed. For example, no international travel due to COVID 19 is now conjuring up different approaches to procure national services and equipment. In addition, there is a real capacity development need for national contracting companies as a result of the whole country having to “step up” its delivery capability (contracting and service provision etc) in light of international travel restrictions imposed on Samoa as a consequence of the pandemic. **An improved and formal focus on national contractor capabilities (and a register of competencies) is now needed.** Learning from both COVID-19, coupled with the national measles outbreak, is highlighting the urgent need for Samoa to help itself by initiating “Service Agreements” with agencies which is not set out in the Multi-year Work Plan (MYWP). **The Operational Guidance Manual was set up to improve contract procurements, which indirectly may now be easily updated to reflect this new COVID 19 situation and demands** coupled with the need to add baseline information to help with monitoring and evaluation - see Section 3.4.4).

3.9 Replication and Scalability

Based on statements made in Section 3.5, the IE envisages good scope for replication of project interventions and scalability of activities that have been implemented to date. One favourable factor to support replication/up-scaling is the modular design of the GCF-VCP as currently being delivered, enabling specific aspects (be it EWS and surveillance systems, engineering interventions, regulations and building codes and flood proof building constructions, grants for households etc) to be pursued relatively independent of each other.

In order to support future replication of current Vaisigano catchment measures for adoption into other catchments around both main islands of Samoa (Upolu and Savaii), it is advised that a series of quite simple tasks are adhered to for the remainder of the GCF-VCP. For example, one relatively simple task would be to **update the current Activity 2.2 Operational Manual to provide the evidence base required to help formulate future flood management policy delivery into the future.** At present, it is acknowledged that an initial review of the Operational Manual has already been undertaken by MNRE, MOF, SBH and CSSP and some lessons learned have been embraced, such as simplifying application forms and processes for CSSP and SBH. In spite of this, there is a need to also embrace some of the lessons learned so far which is crucial to support future replication and upscaling opportunities. It perhaps should include any new baseline assessment (from which to monitor progress and lessons against) especially in light of CfP1 experiences (Activity 2.2.5) or CfW successes to date (Activity 2.2.6).

Other measures that support a sustainable replication and upscaling strategy may include the **future need to provide (in project designs) clear finance and budget lines for specific surveying exercises on Government land.** This activity was omitted in the project design though it is appreciated that customary lands, under law, are not allowed to be surveyed unless the land is being proposed lease purposes. This may be something that future upscaling project designs need to better be aware of for other catchments in Samoa to help support more climate compatible flood



planning delivery in Samoa. The key factors that will require attention in order to improve prospects of scalability or replication of project outcomes/outputs/results include the following:

- GCF (especially in light of the impacts of COVID-19 – see Section 3.12) need to be more flexible around budget setting ability to agreements with the AE, the EE and the GCF Secretariat need to be reached on how to access Contingency budgets more efficiently and how original budgets set can be more readily adapted to reflect GCF-VCP needs.
- For successful upscaling measures that increase resilience to flood risks, this often means that an improved understanding of more “strategic resilience” matters is needed. For example, the experience now being learned from the COVID 19 pandemic is that certain donor funded programmes need to be re-assessed to better wider national resilience issues. Therefore, future flood resilience needs must focus on how these can help support priority sectors in light of COVID 19 (i.e.: water and food security issues) to better help vulnerable groups.
- Adoption of National Building Codes (NBCs) on a national level remains paramount and continued effort is needed to ensure this happens for the remainder of the GCF-VCP. Whilst a Samoa Flood Management Action Plan is in existence, and linkages to NBCs are made within that, this also must link neatly to support flood risk management for Samoa via a cabinet endorsed Flood Policy which currently does not exist (see Section 3.11).
- The use of enterprises through existing manufacturing businesses could prove to be a core focus in the future to help replicate activities that support the most vulnerable communities and households (including the unemployed). Sole traders on their own are less likely to possess the collective “gravitas” to create a groundswell of difference to upscale their existing individual work. To this end, the best approach (impact) would be enable larger small and medium enterprises (SMEs) or businesses (that have been in existence for 5 years) to communicate a collective way forward and to identify potential for sourcing revenue for such “at risk” communities. For example, within the Vaisigano catchment area, in 2019, one enterprise was a café whom were keen to develop and adopt new recycling techniques for its business. Of note, some other recycling proposals are currently be reviewed within the CfP2, though these are small and limited to applicants whom are either existing businesses and NGOs.
- To help improve the dissemination and hence replication of good innovative ideas, CSSP need to encourage (through an improved MoU with SBH) the wider uptake of good ideas. The MoU currently in place between CSSP and SBH only requests the latter to provide support with the CfP application process and to provide support with ongoing community trainings. Broadening this support (updating the existing MoU) would be advantageous with regards to both idea dissemination plus also support to better formalise the use of “enterprises” as defined above.
- ***A clear exit strategy needs to be set out from this point of the GCF-VCP onwards*** (see Section 3.12). Any exit strategy should set out a Data and Information inventory and protocol to reduce any future duplication of efforts regarding the access of available datasets that may exist. GCF-VCP has capitalized on this by capitalizing on previous projects and strengthening national mechanisms for collecting and sharing data on climate change and flood management topics that may exist between ministries and institutions for example, LiDAR which was procured under the World Bank for the Pilot Programme on Climate Resilience (PPCR) is now being utilized by the GCF-VCP for mapping purposes. A lesson learnt is this coordination and sharing of such data needs a clear and documented approach to determine levels of data that can be shared.

3.10 Gender Equity

A thorough review of all project outputs and activities, from a gender perspective, was conducted when the Gender Action Plan (GAP) for the project (Annex 6 of Project Document) was updated. Whether the intended actions have been effectively mainstreamed into the implementation of all project activities is, however, debateable. The GCF-VCP GAP appears to be quite a “stand alone” document and does not include any budget allocation as a result of the fact that the GAP was developed after project approval and thus mainstreaming of gender perspectives into the annual work plans so far was hampered. The successful implementation of the GAP, will continue to require ample attention of PMU staff, who need to share the responsibility to support and facilitate the further implementation of the GAP in the remaining project interventions. Regardless, while the PMU recognizes the importance of including both men and women in the project activities and including female headed households, the activities are limited to the involvement of project activities, such as workshops or community consultations. These often do not move beyond ‘equal participation’ of both sexes to ‘equal engagement and transformational change’ of both groups.

Women with low income potential and with limited access to resources, restricted rights, limited mobility and voice in community and household decision-making often make them more vulnerable than men to the climate change. Importantly, the GCF-VCP design does recognise a series of cross cutting issues (and associated risks) associated with climate change and vulnerability of women to such risks. The knowledge provided by the GCF-VCP is intended to help empower women and advance resilience to the climate change. To this end, the IE confirms that at the project development phase, specific efforts were made to consult women groups and collect information regarding the impacts of climate change on women. The GCF-VCP has made arrangements to provide direct benefits to women by giving priority to vulnerable women with disrupted livelihoods, particularly during the training programmes. Attempts were also made to work with other health agencies which link to reproductive health issues and to assess the vulnerability of women after disaster flood events to ensure health centres are well equipped with required equipment etc. Indirectly linked to this, yet an important gender focused GCF-VCP observation, relates to the fact that the current PMU is represented by 15 women and 9 men (24 in total).

Training sessions for males and females have taken place whereby women were targetted during training and awareness programs to make them appreciative of climate change risks and mitigation options for their business thereby providing help to protect their livelihoods and enhance their adaptive capacities. Data collected during this IE shows that the majority of attendees were women and most proposals proposed in the CfP1 were put forward by women. Training events also seem to be well attended by women, but that this recording is more linked to the fact that men are at work or unavailable at the time when training events are scheduled, hence wives or daughters are more likely to attend on behalf of families. The levels of literacy within families also suggest that the female presence at the CfP training events was (more often than not) required as they were called upon to write the CfP application forms and to understand the criteria. Therefore, a gender imbalance recorded may be linked to men purely not being available at the times of the training events. Whist not a gender specific issue, the age ranges attending the CfP training events often spanned from youth through to village elders. During CfP1 the elders were interested early on in the process, though during the application phase, it was recorded that younger family members made up the majority of the audiences attending the events. The GCF-VCP also includes attempts (within activities) to increase women’s participation in community levels and selection as project beneficiaries is adhered according to the agreed selection criteria and proposed areas of improvement. Baseline data reviewed during this IE shows a positive outcome with regards to an equal gender balance coupled with persons with disabilities. Gender representation within national government and in the communities appears close to being 50/50. The LTA, for example, has set up a good inclusive enabling environment for employing both women and men.

Consideration needs to be given to address socially constructed gender related barriers. This would require project staff to fully understand the different needs, priorities and challenges of men and women in the target population and strategize measures to ensure that these are addressed. In addition, **generic but unachievable indicators need**

to be reviewed with regards to gender issues. A number of sex-disaggregated indicators (per population statistics) appear to have been inappropriately set which are not based on real Samoan situations. For example, Activity 2.2.6 states that “50% of cash for work activities will target women, young people, people living with disability and older people”. Whilst it is acknowledged that a large part of the work under the CfW requires skills that are more in line with men-related abilities, there are many opportunities for women that relate to nursery work. This observation is not reported by the PMU as part of the Logical Framework in APR 2018 nor the APR2019. **It is recommended that the APR 2020 consistently aligns this new APR with the Funding Proposal, the Project Document and the MEF.** In the beginning, MNRE hired 30 Male CfW workers to carry out rehabilitation works as per Project Document budget \$2,046,000 Replanting and rehabilitation, nurseries, river ecosystem health however taking into consideration gender as part of Project Adaptive management, MNRE hired 4 females (total of CfW workers 2019 to date) to work in the nurseries when as a few male workers left to find other employment. There is no budget to recruit more CfW workers as CfW are now hired on a full time basis. Therefore, the ‘how’ in promoting employment opportunities for women within the local VCP community should be geared towards attracting more women (e.g. finding ‘triggers’ that women find attractive to convince them to work in nurseries or other CfW work) and putting additional financial resources/project activities needed to have been explicitly allocated within the project design to enable women to benefit from project interventions. In addition, **it is recommended that the project should source extra opportunities also for womens employment**, in particular in the reforestation nursery related work. This is valid as in past reforestation programmes, most nursery workers were women from local villages (also of note is that women are mostly the head of households). Now, it appears mainly men work in, for example, the Vailima nursery. This closely relates to how the employment opportunities are promoted among the local communities, so that interest can be triggered and incentives are geared towards attracting more women.

3.11 Coherence in Climate Finance Delivery with Other Multilateral Entities

It should be noted that the Vaisigano catchment is exposed to a number of donor interventions at present (including GCF) as part of the GoS integrated programmatic approach towards delivering climate change adaptation. For instance, LTA has completed the Loto Samasoni Bridge works (funded by DFAT) and the Leone Bridge works (funded by World Bank) whilst Lelata upgrade is being funded through the GCF-VCP. Importantly, GCF funds have elaborated and enhanced upon existing key Feasibility Studies that may be used to support other upscaling projects in Samoa for adjacent catchments in the future which. It is agreed that the work produced to date under GCF-VCP could (or in fact should) be used to “lever” additional international climate financing if required. The potential for blending climate funds, inputs and opportunities remains high and there is an appreciation in Samoa that all donors have attempted to mainstream their efforts to make their processes seamless in order to enable smoother implementation on tangible “on the ground” activities. Donors such as the European Union, World Bank, Asian Development Bank (ADB) and DFAT for example are all currently present and funding a series of complimentary projects/programmes in Samoa and interestingly, within the same Vaisigano catchment boundary.

Another positive finding is that GoS have adopted a very programmatic approach to the role of the GCF-VCP towards supporting the sustainable delivery of flood resilience in Samoa. For example, other projects such as the Alaoa Multipurpose Dam Project (AMDP) are being discussed in parallel to help complement the intended outcomes of the GCF-VCP and there are for example high expectations that funding may be sought (via ADB or through the Australian Govt) into 2021 (subject to procurement and financial commitment issues pertaining to COVID-19), to improve flood storage and to support the delivery of sustainable flood management in Samoa. Of note, the AMDP was only mentioned as a “concept” within the GCF proposal though this was not envisaged as a tangible activity at the start of the project. The wider ESS implications of the proposed dam may mean that every aspect of the GCF-VCP may need to be reviewed (e.g. is upgrade of Lelata bridge needed and is design still valid; are floodwalls still required and does design need to be revised?).

What is important, based on initial findings from this IE is the need of GoS to place a stronger emphasis on “flood resilience” which should be a focus for future climate finance related projects/interventions in the future within Samoa. To this end, a stronger emphasis on Nature based Interventions (Nbi) and the role of ecosystem services should be inculcated into any future “hard engineering” flood wall construction design, building on the PES initiative that GCF-VCP has started to initiate. Donor support may be directed, for example, towards elaborating sub-activity 1.4.2.2 to produce an “Upland Watershed Policy” in order to produce a National Flood Policy (under the mandated responsibility of MWTI) to complement the existing GCF-VCP support to update or adapt existing national policies to embrace climate resilience.

3.12 Impact of COVID-19

The COVID-19 (SARS-CoV-2 coronavirus) crisis has unfolded around the globe with startling speed. Six months after the first outbreak, most governments, businesses, communities, and assistance agencies are still scrambling to respond to the challenges posed by the virus and lockdown measures. The COVID-19 crisis has consequently exposed new and unanticipated challenges for project beneficiaries and there remain many uncertainties on the impact of COVID-19 on the GCF-VCP. In fact at the time of writing this IE (28 September 2020), commercial flights to and from Samoa remain very limited (if at all)⁵⁴. What is clear is that the economic effects of the COVID-19 pandemic and response in Samoa may stress existing social safety nets and reduce community resilience. For example, many standard resilience measures, such as disaster or flood evacuation centres allocated for use during disaster events, are poorly suited for the social distancing requirements imposed by the pandemic.

The IE stresses that the GCF-VCP project development process was designed for a world before COVID-19. Its implementation subsequently requires a combination of national and international teams who (since April 2020) have no longer been able to travel easily to Apia and internally to the Vaisigano catchment. For its part, in the short term, the GCF has announced initial measures to respond to the impacts of COVID-19. Ironically, The Fund announced in April that it has enhanced its own ICT capabilities to better enable its staff to work from home to minimise risk of infection and comply with travel restrictions. However, the GCF also announced *some flexibility for project partners*⁵⁵. It is not clear whether ongoing project (such as GCF-VCP) have a degree of flexibility and importantly, what this actually means (i.e.: budget re-allocations/programme extensions etc). As the GCF project was new (to both Samoa and the GCF regarding this scale of project), at the outset of GCF-VCP, no clarity was given at the project outset with regards to “*force majeure*” related issues. However, guidance⁵⁶ has recently (May 2020) been offered by GCF from which to address issues such as the COVID 19 pandemic issue. The key issue here relates to whether a change is defined as a “minor” or “major” change (which separately will require Secretariat or Board approval – the latter being a timely process).

What is important is that GoS has confirmed they will be reducing the budget for all activities and redirecting the funds to support basic domestic needs to cope with COVID-19. Capacity issues at MoH has also inevitably arisen as a consequence of both the COVID-19 and measles outbreaks where the disease surveillance division, who are leading

⁵⁴ <https://www.samoairports.com/library/notices/covid-19-notice.pdf>

⁵⁵ Eco Ltd (June 2020) GCF insight #15: How is COVID-19 impacting Green Climate Fund projects? Insights from project developers & other stakeholders

⁵⁶ The GCF Board decision relating to extensions and major changes can be found at <https://www.greenclimate.fund/sites/default/files/decision/b22/decision-b22-14-b22-a06.pdf>



the border control response, have been too busy to try to assimilate data in order to do all project analysis required. The GoS has already increased the budget for the health sector infrastructure (MoH) who have recently upscaled the CDSC Guidelines to include measles and COVID-19 to help determine thresholds for diseases linked to disasters (e.g. typhoid, resurgence of NCDs etc).

There is now a need for new emphasis on the production of ‘contingency plans’ which in hindsight should have been produced to address the measles outbreak but now applies with regards towards assessing and mitigating against COVID 19 impacts. Such a **contingency plan (termed a “COVID-related impact risk assessment”⁵⁷) should be prepared and included as a sub-section within existing Quarterly Reports** to also help identify potential solutions for consideration as part of the GCF-VCPs “exit strategy” to ensure sustainability of the project after implementation. This may identify strategies to help Samoa access international contractors plus where to source materials/supplies from hardware merchants etc). It is acknowledged that at present, all overseas contractors (such as BMT, BECA, Stantec) are required to secure local counterparts. Hence, an opportunity arises (within this contingency plan) to quickly identify the actions required to build the capacity of local contractors and suppliers to help ensure that project money is better circulated within Samoa to help with economic recoveries (see Section 3.5).

AE/EE/PMU all need to urgently work together help “unstuck” the GCF project execution processes (i.e.: a review of internal processes is needed as a priority task – see Section 3.5). **This revised “communication response” (or Plan) between the AE, EE and GCF Secretariat should also address other issues, such as the impact of COVID-19 on the projects ability to secure existing co-financing commitments. A separate consultancy is recommended to provide recommendations on how to improve this situation.** In addition, discussions need to support, for example, how to re-allocate contingency budget to help strengthen ICT infrastructure (i.e.: Zoom technology training etc) and business continuity planning within IAs in particular. With regards to the former issue, internet access is becoming a critical issue and online capacity building programmes will become the likely “norm” for the remainder of the project. In fact, online training for local staff/consultants is paramount to help staffs gain the correct level of qualifications (eg. Procurement accredited courses; gender accredited courses; social safeguard courses etc). In line with this issue, but with specific regard towards delivering stakeholder consultation events (since April 2020), it remains usual that most donor projects (including GCF) often request attendance sheets and other supporting documents to be prepared. Despite this, and since April 2020, the GCF-VCP has successfully enabled the project to move forward by undertaking virtual consultations. The PMU remain uncertain whether this approach will be accepted by the GCF and so based on the situation, **there is a need for the AE to closely engage with the GCF Secretariat to ensure they are able to provide some alternatives and these new approaches are acceptable to help sanction disbursement payments.** The challenge facing local community consultations in the Vaisgano catchment is that beneficiaries often do not have internet access to attend virtual consultations.

Finally, and with regards to the latter point raised above, there is a need for advanced debate on how to continue debate⁵⁸ on develop a “Samoa Green Stimulus” which will require the use of identified co-benefits that are linked to forging economic stimuli/climate actions etc. The GCF need to be shown how (with a degree of GCF agreed “leniency” towards access to and use of Contingency budgets) to seize the opportunity to help Samoa to “Build Back Better” (specific reference to flood resilience etc) that is in alignment with the Sendai Framework for Disaster Risk Reduction. For example, among other objectives, the Sendai Framework aims to increase the number of countries with national and local disaster risk reduction strategies, increase the availability of and access to multi-hazard early warning systems, reduce global disaster mortality, and reduce disaster damage to critical infrastructure etc. All of these align very neatly to the GCF-VCP project outcomes defined within the Project Document and FAA. To support

⁵⁷ The purpose of this assessment is not to help support a project extension request to the GCF as COVID-19 is defined as a “force majeure situation” which is already recognized by GCF which may be submitted to the GCF with all other conditions remaining unchanged.

⁵⁸ In line with the principles of the SDS (2020-2024)



this, there is a need for the PMU, AE and EE to immediately focus on how the project could target the creation of accreditation schemes for local staff/consultants.

4 CONCLUSIONS AND RECOMMENDATIONS

4.1 Conclusions

Following an assessment of findings and project performance derived from desk research, interviews and stakeholder meetings, the evaluation scores demonstrate that the project is at a **moderately satisfactory level**. Scores for each GCF criteria are set out below (Table 4.1 below), with descriptive conclusions and lessons learned to help set out some strategic recommendations for the projects next steps.

Table 4.1: IE Ratings and Achievement Summary Table

Measure	IE Rating ⁵⁹	Achievement Description (summary)
Project Strategy	Not rated	The project is well aligned with national development policies, as reflected in the Funding Proposal and Project Document, and reiterated in the Strategy for the Development of Samoa (SDS 2020-2024) and the Environment Sector Plan which were both being updated at similar times to the Funding Proposal preparation (during late 2016) to support the NAPA process. Sustainable flood management, linked to climate change resilience, is very relevant and acknowledged by all stakeholders consulted, from community representatives to national institutions. The design phase was challenging, partly due to tight deadlines to produce the necessary documentation ahead of the GCF Board meeting held in Apia in 2016, technical requirements and confusion over GCF guidelines, being one of the first projects to be funded globally. The logical framework design is relevant and is designed to coordinate stakeholders and to help better define roles and functions to better implement flood resilience within the Vaisigano catchment and climate change.
Progress towards Results (Relevance, Effectiveness and Efficiency)	Overall rating: Satisfactory (S)	The relevance is confirmed with regard to the GCF-VCPs selection of key segments within the Vaisigano catchment (interventions) which strategically built up the work defined within the EWACC project (which funded interventions up to Segment 1) by funding flood schemes, bridge works and drainage within Segments 2, 3 and 4 plus and in the Apia area. The project also links closely to previous World Bank funded projects to support LTA to identify vulnerable stretches of the nation's road and bridge networks. Project effectiveness may have been improved upon if certain institutional management structures could have perhaps been set up differently to make more efficient lines of communication between the PMU and the IAs. However, there is no reason, based on evidence to date, that the project cannot achieve all planned outcomes/objective by the expected closing date.
	Output 1: Satisfactory (S)	<p>Activity 1.1 The 4 main Feasibility Studies undertaken are now almost complete in addition to the Flood buffering Feasibility Study and the Central Cross Island Road (CCIR) study. A tender has also recently been awarded for the Apia Integrated Sewage System (AISS). Five (5) manuals have been produced linked to National Building Code and handbooks produced are being used for training of engineers, carpenters, builders in the infrastructure industry to ensure they understand the building code requirements. Contractors and Design consultants work in Output 1 (BMT flood modelling) has been used to assist in the new design work undertaken.</p> <p>Activity 1.2: Establish health surveillance systems to track and manage flood-related health issues – progress has been slow. Timelines taken to develop, submit and review ToRs and other works remains a pressure especially as staff numbers in MoH are low. Problems have also been experienced with regards to the writing and acceptance of ToRs linked to the undertaking of aspects of Output 1.2. Regarding Activity 1.2.2 (“Train Health practitioners dealing with flood-related emergencies on how to respond”) there is a need for clarification on whether this amounts to duplication of effort and why it is sub-activity that is reported in 1.2.2. Regarding Activity 1.2.3 (“Train village councils on how to prepare for and evacuate flood-related victims”), UNDP/PMU need to determine whether this activity should be in collaboration and under the responsibility of MNRE-DMO as it is entirely related to disaster emergency issues. Regarding Activity 1.2.4 (“Awareness raising among health practitioners and village councils about flood related EWS”), UNDP/PMU need to determine whether this activity should be delayed until EWS system for flooding and health are integrated in the Samoa CLEWS. A key problem was found in relation to the clarity of how to communicate what the H-EWS surveillance system</p>

⁵⁹ Reference: The ratings for performance follow a six point scale (Highly satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU)). The rating for sustainability follows a four point scale (Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U); Highly Unlikely (HU)). The ratings explanations are found in Annex VI: Rating Scales).

		intends to do. Activity 1.2 – progress has been slow. There are several issues related to activities being implemented under the coordination of MoH and this relates/stems from a clear discrepancy within the Funding Proposal between the narrative and the Activities being undertaken. Good progress is being made on Activity 1.3 (e.g.: the work being undertaken by NIWA) plus also MNRE have been successful to date regarding the purchase of 5 EWS sirens though installations have not yet taken place. MNRE-WRD is leading discussions on possible virtual TUFLOW flood modelling training by BMT, which is intended to start later in 2020. Regarding Activity 1.4, progress is being made though one issue is that there is no Builders Association in Samoa, and so the revised activity being undertaken to date is instead to create a licensing and registration “policy” for building regulators. Concerning Activity 1.4.2, although the Project Document allowed for the design and build of 5 FMH in the VC area, to date (September 2020), MWTI have only secured 1 location. However, the costs received for these FMHs are way in excess of the allocated budgets set within the FAA. Concerning Activity 1.4.3 (MoU with SUNGO), “Training of Trainers” for SUNGO has taken place and MWTI (through SUNGO) plans to conduct up to 6 workshops at different community locations within the Vaisigano catchment.
	Output 2: Moderately Satisfactory (MS)	Activity 2.1 (Design for Segments 1, 2 and 3) had previously been completed (under management of MNRE funded via a different project) though actual implementation has been taken over by MWTI. Activity 2.1.2 (Establishment of flood protection measures along Segments 2, 3 and 4 of Vaisigano River) – works to construct four structures (as reported in 2018 APR funded by GCF-VCP) is complete and includes Sheraton Aggie Grey river wall-Segment 1, EPC Penstock river-wall-Segment 2, floodwall extensions at Leone bridge downstream, Apia Waterfront drainage works. Activity 2.1.3 (Capacity building of maintenance teams for flood protection measures): this activity does not have a specific budget line within the FAA, although maintenance (during and beyond the project) is supposed to be included in the US\$8M co-financing budgets from GoS. Activity 2.1.4: (Contracting members of the local communities for execution of activities with regards to building and landscape restoration along the Vaisigano river) - this activity has been very much misinterpreted from the FP and current activities have shown progress in engaging communities in waste management, river rubbish cleaning and focusing on a partnership with SROS to monitor the river ecosystems health. The PMU has now recognized this discrepancy in implementation and is working with the STA to realign this activity better. The Ground-truthing activity for biodiversity (Activity 2.2.1) will inform further the rehabilitation works for the catchment, in particular the Magiagi areas. Activity 2.2.4: The Operational Manual production (to guide the EbA implementation) was slow to be approved (by GCF) (submitted in July, considered/discussed though virtual meeting at the end of October and approved in November 2018) which has impacted on the progress of other activities which demanded either staff time, or higher authorization to proceed. The Operational Manual for the 3 key sub-activities (PES, CfW and EbA-ADP) needs to be reviewed in light of lessons learnt from the first three years of the project, and to ensure that the manual makes full reference not only to these sub-activities but all activities included in Activity 2.2. Activity 2.2.5 – CSSP received 330 application forms during the CfP1 process. An application assessment process report was produced (between Sept to Nov 2019) leading to 195 applications needing to be processed and grants awarded (leading to formal contract agreements). So far, 174 contracts (out of 195) have signed funding agreements (from the CfP1 process). Activity 2.3: The 4 main bridge crossing designs (Lelata being the first using GCF funds) have been completed in line with other crossings that are funded by other donors such as DFAT Australia and World Bank. Activity 2.4.1 – this should be moved up to Output 2.1 as it is realistically the same work but was in the original Funding Proposal to allow the option of incorporation as part of the bridge construction work. Regarding Activity 2.4.2, this again should link better to 2.1.2 (construction works only). Having these split out is causing administrative issues as MWTI has 1 contracted designer (2.1 and 2.4.1) and one contracted construction company. This would help with internal accounting purposes to reduce administrative burdens. Disbursements are higher in 2.4.2 due to the penstock walls (linked to Lelata Bridge from river bed to ground level) being constructed and so more disbursement has taken place on this activity).
	Output 3: Satisfactory	Activities 3.1 and 3.2 - A key success relates to the push to have drainage upgrade constructions within the Apia CBD which are 1 year ahead of programme. This is a good GoS achievement as rate of utilization/delivery will subsequently increase to reflect input and performance spent to date. The drainage works also has been brought forward within the programme and is ahead of the original proposed work plan and budget (almost 1 year ahead of programme).

Project Implementation and Adaptive Management	Moderately Satisfactory (MS)	<p>The current PMU has been helpful in coordinating work between other agencies and provision of technical advice and assistance has greatly improved. The PMU are now perceived as being more competent and experienced in managerial work and in general, it has demonstrated good adaptive management skills to help address problems as they arise. Management arrangements are generally hands-on, however, due to the complexity of the GCF-VCP, coupled with the challenging demands that a GCF project brings, the PMU in general should be stronger in its ability to represent the intentions of the GCF-VCP whilst respecting GoS protocols and procedures. A review is now needed to potentially streamline and make more effective the PMU for the remainder of the GCF-VCP to ensure all GCF impact criteria and indicators are achieved.</p> <p>Work planning and implementation progress have been hampered by a series of diverse delays (political, design, measles, issues with final signatures of contractor/consultant contracts and now COVID 19) leading to concerns about the progress, financial delivery and ability to timely achieve the set goals. Present implementation progress reflects clear improvement of efficiency and ability to timely implement as planned. A review of the APR 2018, 2019 and Q2 demonstrates a series of inconsistencies which are noted within key documents produced for the project which has impacted on project efficiency levels. Financial management (planning, reporting, fund flow etc) is assessed as satisfactory with no issues reported. The financial delivery rate needs to improve from minimal to ambitious (contracting works to start subject to COVID-19 restrictions and subject to award of engineering contracts (Output 2) bringing the project “back on track” towards anticipated delivery of expected disbursement rates. As the flood walls and bridge tenders within the Vaisigano catchment have recently been awarded, but no construction activity has taken place as yet, no O&M costs have yet been incurred.</p> <p>The current (4th) project disbursement is delayed and every effort is now needed to ensure that all matters pertaining towards addressing and answering the “Risk Flag” issues are prioritised with immediate effect. Despite setting no timelines for their response, GCF have now agreed (2020) to help GoS on a “side letter” which now must be formalized before the release of the 4th disbursement (due by March 2021). This 4th disbursement is likely to require moneys to be drawn down from the Contingency Package.</p> <p>Quality of project reporting is assessed as being satisfactory. Reports do outline the causes of any delays in implementation. A M&E reporting system is in place, but mostly internal and should gradually be providing essential input for external communication of lessons learned through documentation of emerging good practices and broader knowledge management.</p> <p>Stakeholder engagement is satisfactory facilitated by the PMU and technical committee as key stakeholder platforms and has to be supported by proactive external communication. The GCF-VCP continues to have significant stakeholder involvement including both government and non-government representation on the PSC/PB and direct involvement to support delivery of its various outputs. Important GCF-VCP partnerships have also been formed, such as through the CSSP. A Communications and Knowledge Management Strategy was designed in close consultation with all key stakeholders to support the project’s external and internal communication needs. No document has however been produced to convey the project “message” on EbA or ecosystem service delivery, especially as a precursor to the pending CfP2 process.</p>
Sustainability (Overall)	Moderately Likely (ML)	<p>The GCF-VCP has had the advantage of being implemented within an enabling environment lead by the GoS, and it’s SDS (2020-2024) where sustainable development is a high national priority. The adoption of National Building Codes remains paramount and continued effort is needed to ensure this remains a key action for GoS to help support the delivery of sustainable and climate compatible development in Samoa. Engaging Samoan or Pacific Island nationals may have proven a useful addition to the CfP1 (and 2) training events and to bring them along to the community</p>

		demonstrate “living project” examples. If the programming had been rescheduled or re-designed to build on “lessons learned” from CfP1 projects, this could have meant that CfP2 projects were more targeted towards the GCF-VCP project intentions (i.e.: flood resilience mitigation support etc).
Financial Risks	Moderately Likely (ML)	The robust engineering Feasibility Study outputs already produced (Output 1) should be have value towards delivering cost-effective flood resilience in the Vaisigano catchment. In addition, these studies may also prove of use (from a financial risk perspective) for future replication/upscaling purposes elsewhere around Samoa (possibly utilized to replicate and or leverage financing from other partners). The outlook for the long-term financial sustainability of the project does, however, remain closely connected to the interest of national government and commitment of international donors. Contingency budgets set aside at the outset of the GCF-VCP (US\$8M) are proving difficult to access without GCF Secretariat intense and lengthy scrutiny which is impacting on the sustainability potential of the project. The project outcomes hereby run the risk of not be sustained unless GCF can introduce an improved degree of flexibility on their existing (pre-COVID19) rulings to enable the PMU and MoF to rectify budgeting allocations set out in the project formulation stage.
Socioeconomic Risks	Likely (L)	There is clear political support for the project and its overall objective during the term of this government period. At present, the socio-economic reality provides a rather conducive environment for the project, recently reconfirmed in the SDS (2020-2024) and the commitment by the GoS as outlined in the policies and targets of the climate change sub-sector and as evidenced by the commitment to provide flood resilience within the Vaisigano catchment. One key socio-economic challenge that the GCF-VCP faces is linked to a shift of CfP focused engagement from CSOs to households and businesses and how enhanced education and outreach messages (on the role of ecosystems to support flood resilience) needs to be re-targeted. Also, any future flood resilient policy and measures introduced in Samoa needs to be flexible in terms of the variance of possible diseases that may occur after a major flood event (i.e.: not just water borne diseases are prevalent). This issue is part of the whole health surveillance system that falls under MoH activities. The lessons learned to date will be applicable to all diseases and not just flood-borne diseases, in terms of monitoring, early detection and response in a coordinated manner.
Institutional Framework and Governance Risks	Moderately Likely (ML)	GoS counterpart staff, currently residing and employed within the respective IAs, helps to support the integration of experience, best practice and adaptive management strategies under their areas of responsibilities. The institutional sustainability of the GCF-VCP is, however, likely to be tested by human resource capacities within a range of institutions, though most notably for those whose primary sector is not related to flood management, such as MoH. A more general constraint remains with regards to the absence of staff with specialized hydrology, flood engineering and more strategic flood management credentials, particularly those staff whom have professional expertise to address broader climate-induced impacts at more strategic (watershed) scales.
Environmental Risks	Moderately Likely (ML)	There is a need to “sell” the idea of new EbA related projects including the planting of native trees, or for vertiver grasses to help with buffer zone protection. To date, only 1 project (CfP1) has proposed this in the upper catchment for planting native trees in the VC. Encourage the project team to consider how best to communicate (to beneficiaries) new ways of thinking to initiate flood resilience measures in the upper catchment. Regional “virtual field missions” could be considered (subject to future COVID-19 travel restrictions) as good opportunities to promote regional EbA best practices at a household level that all seek to improve resilience to climate change and flooding in particular (Fiji or Tonga) to demonstrate regional resources that are being used and potentially are available, especially in light of the challenges being faced to source hardware etc in light of the COVID 19 pandemic.
Country Ownership	Not rated	The GCF-VCP has strong country ownership and this is demonstrated by the commitment shown by the CEO, MoF as the Chair of the PB/PSC comprising of all IAs, MoF/EA, AE/UNDP and collaborating agencies. The GCF-VCP aligns well to highly relevant national priorities and needs. The GCF-VCP is on track to continue a high level of country ownership as a strong contribution to the investment criteria. Importantly for the remainder of the

		project, the expected performance against GCF investment criteria should focus on continued country ownership through a strong contribution to the Integrated Water Management Plan (IWMP) and NAPA and maintain outcomes in line with Samoa's priorities on climate change adaptation as spelled out in its Nationally Determined Contribution to the UNFCCC under the Paris Agreement. This is hoped to support all efforts to scale up the implementation and outcomes of other existing plans and policies at national level, mainly, National Environment Sector Plan (NESP), Nationally Appropriate Mitigation Adaptation (NAMA), NAPA and NAP.
Innovativeness in Result Areas	Not rated	Some key potential innovation related impacts including climate resilient building and the introduction of PES and associated income generating activities that provide the potential to support new ways of thinking that involve whole village communities (in a gender and socially inclusive manner. innovative opportunities also appear to have been positively attempted where a less rigid compliance to GCF implementation criteria exist. For example, opportunities to support the initiation of Activity 2.2 (EbA schemes) during the Cfp1 process have been pursued as well as possible (Activity 2.2.5), despite issues arising that relate to insufficient available lands for tree planting. A greater focus on "ecosystem services" and the role that home gardens can play as a "Nature based Solution" (NbS) is perhaps needed to address flood resilience (including targeted training and awareness on EbA principles and its role in climate change to help stabilize soils) to maximize the outcome potential of the project. A key observation amongst Samoan stakeholders interviewed is that the lack of GCF flexibility has diluted the appetite for innovative thinking as this is often stifled in favour of compliance with the approaches and techniques proposed within the Project Document and as financed within the FAA. Finally, the COVID 19 pandemic may indirectly be introducing a real innovative opportunity for changing the way that donor funded projects are (or could) be delivered in the future. Zoom technology capacity and needs (for example) must be more formally introduced within all IAs.
Unexpected Results	Not rated	Unexpected results from the measles outbreak and COVID 19 pandemic are being slowly realised. However, positively, stakeholders have reported "an improved social capital" in terms of creating a culture of working together and building trust among key stakeholders, perhaps due to the frequent and physical presence of project staff and continuous interaction and the appreciation of the swift progress of the civil (drainage) works in the Vaisigano catchment. GCF-VCP has also created an expectation that the GCF will be able to fund a whole host of flood schemes anywhere in Samoa (not just within the Vaisigano catchment). To this end, levels of expectations will have to be better managed for the remainder of the project to ensure that the wider populous appreciate that beneficiaries are essentially within the Vaisigano catchment. The inflexibility that GCF procedures impose on the project is hoped to have a positive unexpected outcome in terms of national stakeholders deducing new creative ways to ensure the GCF-VCP project continues as programmed despite the current COVID 19 challenges that are being imposed. It is highlighting the urgent need for Samoa to help itself by initiating "Service Agreements" with agencies which is not set out in the Multi-year Work Plan (MYWP). The Operational Guidance Manual should be updated to reflect this new COVID 19 situation and demand.
Replication and Scalability	Not rated	The IE envisages good scope for replication of project interventions and scalability of activities that have been implemented to date. For replication efforts to be successful, the lessons learnt by the GCF-VCP to date must be better documented and shared in the coming years, as these will be essential to facilitate take up of these interventions and approaches going forward. Also, for scalability and replication to work around Samoa, based on these lessons learned, GoS must be able to demonstrate how to mainstream and manage these new techniques/designs/measures, and to demonstrate budget lines (through the MoF) on how to mainstream climate resilient measures and systems in the future. Any new baseline assessment (from which to monitor progress and lessons against) especially in light of Cfp1 experiences (Activity 2.2.5) or Cfw successes to date (Activity 2.2.6) should be embraced within an update to the Activity 2.2 Operational Manual. To support future replication and scalability potential, future flood resilience needs must focus on how flood resilience can help support priority sectors in Samoa in light of COVID 19 (i.e.: water and food security issues) to better help vulnerable groups. Linked to this, consideration of using enterprises (through existing manufacturing businesses) could prove to be a core focus in the future to help replicate activities that support the most vulnerable communities and households from flood risk.

Gender Equity	Not rated	Baseline data reviewed during this IE shows a positive outcome with regards to an equal gender balance coupled with persons with disabilities, however, whether the intended actions set out within the GCF –VCP Gender Action Plan (GAP) have been effectively mainstreamed into the implementation of all project activities is debateable. The GCF-VCP GAP appears to be quite a “stand alone” document and does not include any budget allocation as a result of the fact that the GAP was developed after project approval and thus mainstreaming of gender perspectives into the annual work plans so far was hampered. The successful implementation of the GAP, will continue to require ample attention of PMU staff, who need to share the responsibility to support and facilitate the further implementation of the GAP in the remaining project interventions. Gender representation within national government and in the communities appears close to being 50/50. The current PMU is represented by 15 women and 9 men (24 in total). The GCF-VCP has also made arrangements to provide direct benefits to women by giving priority to vulnerable women with disrupted livelihoods, particularly during the training programmes. Attempts were also made to work with other health agencies which link to reproductive health issues and to assess the vulnerability of women after disaster flood events to ensure health centres are well equipped with required equipment etc. A number of sex-disaggregated indicators (per population statistics) appear to have been inappropriately set which are not based on real Samoan situations (notably for Activity 2.2.6 - CfW).
Coherence in Climate Finance Delivery with Other Multilateral Entities	Not rated	The GoS have adopted a very programmatic approach to the role of the GCF-VCP towards supporting the sustainable delivery of flood resilience in Samoa. The Vaisigano catchment, for example, is already exposed to a number of donor interventions at present (including GCF). The potential for blending climate funds, inputs and opportunities remains high and there is an appreciation in Samoa that all donors have attempted to mainstream their efforts to make their processes seamless in order to enable smoother implementation on tangible “on the ground” activities. Based on initial findings from this IE there is a continued need (for GoS) to place a strong emphasis on “flood resilience” which should be a focus for future climate finance related projects/interventions in the future. To this end, a stronger emphasis on Nature based Interventions (Nbi) and the role of ecosystem services should be inculcated into any future “hard engineering” flood wall construction design, building on the PES initiative that GCF-VCP has started to initiate. Donor support may be directed, for example, towards elaborating sub-activity 1.4.2.2 to produce an “Upland Watershed Policy” in order to produce a National Flood Policy (under the mandated responsibility of MWTI) to complement the existing GCF-VCP support to update or adapt existing national policies to embrace climate resilience.
Impact of COVID-19	Not rated	Whilst there is currently no direct evidence of major COVID-19 related impacts on the GCF-VCPs overall project budget, and that these impacts are already being reported in the GCF-VCP monthly and quarterly reports. AE/EE/PMU all need to urgently work together help “unstuck” the GCF project execution processes (i.e.: a review of internal processes is needed as a priority task). This needs to determine what budget re-allocations are allowed, in addition to a better fast tracking of available contingency budget to help strengthen (amongst others) ICT infrastructure (i.e.: Zoom technology training etc) and business continuity planning within IAs. A “COVID-related impact risk assessment” should be prepared and included as a sub-section within existing Quarterly Reports to also help identify potential solutions for consideration as part of the GCF-VCPs “exit strategy” to ensure sustainability of the project after implementation.

4.2 Recommendations

The following IE recommendations (15, 7 and 5 per section amounting to 27 in total) have been formulated with the aim of improving project effectiveness and enhancing the likelihood that project results will be sustained after GCF funding ceases. Given its complexities, more than 10 IE Recommendations are provided under each of the 3 subject headings. With about 2 years formally remaining on the project, some advisory recommendations are put forward to help remove these barriers to allow the satisfactory progress towards the finalizing the project.

4.2.1 Corrective actions for the design, implementation, monitoring and evaluation of the project

1. PMU, MoF UNDP need to review the current GCF-VCP Implementation Plan and Funding Proposal Budget (divided by years of the project) as this needs re-assessing based on annually agreed disbursement amounts⁶⁰.
2. There is a need for UNDP (as AE) to establish clarity from the GCF Secretariat on Contingency payment rulings (in light of the COVID-19 pandemic). Also seek to provide some acceptable alternatives to help sanction future draw downs from the Contingency Budget in future disbursement payments (i.e.: flexibility in current rulings to increase the current 10% transfer ruling between different Outputs and Activities (e.g.: from Output 3 to Output 2.1 for river-walls)⁶¹.
3. MoF/UNDP to instruct PMU to update the MEF to better reflect latest project observations, clarities, consistencies and results attained since the start of the project. It is suggested to add (within the revised MEF) the need for an annual review workshop event to offer a platform for all stakeholders to be informed of and discuss progress and challenges of the project, also serving as a knowledge sharing event.
4. UNDP to produce a midterm “tracking tool” (see Annex XI of this IE) as an additional midterm tool.
5. UNDP/MoF to produce a new “Project COVID-19 Contingency Plan” (or “COVID-related impact risk assessment”) which may be annexed as a sub-section within existing Quarterly Reports or APRs. The unprecedented nature of this global pandemic has to be reported strongly back to GCF Secretariat and this modality approach is deemed the most suitable to help gain consensus with them as to agreeable ways forward, especially on more flexible strategic ruling revisions to enable an increased % reallocations to occur between outputs and activities.
6. PMU need to update the Project Results Framework Indicators as identified in Table 3.1 of this IE to make them SMART. The pending APR 2020 must also be aligned consistently with the Funding Proposal, the Project Document, the FAA and the MEF. In addition, the MoF also should consider revising the MYWPB based on current progress and future APR 2020 information in line with GCF and UNDP policies.

⁶⁰ This is because the GCF disbursement plan is set based on these budgets and hence the projects Implementation Plan is not aligned with regards to disbursements.

⁶¹ Any correspondence, from UNDP to the GCF, must be clear and concise, yet stringently thorough to avoid future delays due to the lack of, or purported inadequacy of information provision.



7. UNDP/MoF and PMU should partner to take action to streamline the PMU structure (streamlining and preparing updated ToRs for members) to enhance its mandate and internal decision making capacity.
8. Regarding Activity 1.2, MoH to clarify in more detail (via an advisory note or workshop event), to the PMU and UNDP, how the specific set of CDSC guidelines produced to date focus on flood-borne diseases and responses relating to trauma (injuries, cuts, hypothermia).
9. Regarding Activity 1.4.2 (Flood Model Houses), PMU to revise activity scopes and ToRs to better fit within allocated budgets and to re-tender the design and build with immediate effect.
10. Regarding Activity 1.4.4 (Building Practitioners Registration), the MoF/PMU and UNDP to determine whether this could be better focused and targeted to current national needs, as opposed to being restricted to the original 2017 wordings set out in the FAA. The outcome of this issue must be clarified and updated within the Procurement Plan and Operational Manual accordingly.
11. Need to reassess work planning needs associated with Activities 2.2.4 and 2.2.5 to ensure they focus on achieving intended results. EE need to review a series of possible strategies and budget re-allocations to support the PMU to devise options to manage these separate activities for the remainder of the project.
12. PMU (through MNRE) to confirm the number of women, young people and people living with disability and older people from the families of the hired CfW workers and the percentage will be used to determine the percentage of cash for work activities targeting the vulnerable groups.
13. Activity 2.4 should be moved up to Output 2.1 as it is realistically the same work but was in the original Funding Proposal to allow this work to be part of the bridge or wall construction work. Regarding Activity 2.4.2, this again should link better to 2.1.2 (construction works only).
14. There is a need for UNDP to consider new approaches to help with coordination of responses (under the role of the PMU) to consultancy/technical reporting outputs. A formal procedure is needed to improve comment collation in a more efficient manner (i.e.: 1 person needs to be formally tasked with compiling all IA comments and dispatching to UNDP etc or alternatively, to undertake and coordinate parallel report reviews etc).
15. MoF to review co-financing budget line amalgamations to help streamline the project as it progresses.

4.2.2 Actions to follow up/reinforce to ensure delivery of expected results as per the FAA with GCF

1. UNDP, PMU and MoF to ensure that all matters pertaining towards answering the “Risk Flag” issues are prioritised with immediate effect. Urgent attention is needed to improve progress to address this issue.
2. PMU to authorise the need to update the current Activity 2.2. Operational Manual to ensure it reflects the current project situation (with lessons learnt and experiences to date) to help it provide the evidence base required to help formulate a framework for effective and sustainable flood management policy delivery into the future. The Operational Manual (set up to improve contract procurements) may be easily updated to reflect this new COVID 19 situation and demands.



3. The PMU Procurement Team to support IAs to fast track procurement procedures or invite shortlisted consultants where appropriate on a “call down” preferred status basis to avoid any further delays regarding contract related implementation.
4. In light of the above recommendations, MoF/UNDP/GoS need to agree on strategies to enhance and use national contractors in light of COVID 19 travel restrictions. There is also a need to relook at reviewing the qualifications of national or international firms/contractors to help them “partner up” with local contractors/consultants. This may include the need to set up a register of national contractor capabilities and competencies (database etc).
5. MoH should internally review their combined commitments (in light of COVID-19 commitments) and, if suitable, request that certain budget lines within the GCF-VCP are used to help design new training programmes for staffs on climate change related issues that is also aligned to their current workloads.
6. Existing generic and unachievable indicators need to be reviewed with regarding gender issues, for example, PMU to determine the number of women, young people and people living with disability and older people from the families of the hired CfW workers and the percentage will be used to determine the percentage of cash for work activities targeting the vulnerable groups. The project should, where possible also be actively sourcing opportunities for women employment (including this within revised indicators).
7. UNDP should encourage use of lessons learned through the project so far. This could be done e.g. through: (i) National and local inter-institutional seminars and workshops with the participation of all project partners, and other organizations/projects working in the same areas; and (ii) coordinated regional Pacific focused initiatives. To this end, an improved and updated GCF-VCP project “Visibility Plan”, needs to be re-launched and effectively disseminated to all relevant parties is needed for the remaining project period. One additional idea is for UNDP to consider possible South-South Cooperation activities for already completed tasks and those about to be completed up to the end of the GCF-VCP.

4.2.3 Proposals for future directions underlining main objectives

1. The Communications and Knowledge Management Strategy and Action Plan needs updating in light of new methods of communication required to address the COVID-19 pandemic and the impacts this is having on project specific and wider outreach communication and awareness requirements.
2. It is important that the project team puts focus on wider lessons learned, documenting emerging best practices (at a national and regional level) to further build public awareness, including outreach to and collaboration with beneficiaries, community representatives, including schools. The collection of lessons learned from specific activities could also help inform the implementation of upcoming activities. The GCF-VCPs MEF should give a stronger emphasis on impacts and lessons learned, including PMU’s follow-up with IAs to assure that they establish good and reliable baselines and understand how to measure impact. UNDP should consider the option of adopting a “Community of Practice (COP) modality to support this. This can be used as a new “communication response” (or Plan) between the AE, EE and GCF Secretariat which can address new issues (such as the impact of COVID-19 on the projects ability to secure existing co-financing commitments). A separate consultancy is recommended to provide recommendations on how to provide this response strategy.
3. The PMU should undertake a forward-looking review of staffing and capacity needs for the IAs within the GCF-VCP spanning the current operational phase, reporting, closure period and “life after the GCF project” period. Capacity improvements may need to include the setting up and delivering more online training



courses as part of this GCF-VCP to help add value and demonstrate long term sustainability of GCF funds. Likewise, CSSP Project Officers, for example, may benefit from having expertise on EbA to be able to help convey to project beneficiaries (and SBH) how households and businesses may introduce nature based solutions into their work plans to address flood management.

4. GoS may wish to consider the creation of a new national Flood Policy (that is aligned to a new Spatial Plan and linked to Activity 1.4.2.2 to produce an “Upland Watershed Policy”) will help to influence the need for future policy implementation.
5. UNDP/PMU/MoF to produce a “Sustainability Plan, Replication/Upscaling and Exit Strategy” to help set out a framework for upscaling the results of the project as appropriate. This strategy or plan should make it clear which stakeholder(s) would assure sustainability and by what means (for example, through budget incorporations, work plan incorporations, hiring of staff, maintenance of infrastructure and other materials provided directly and indirectly by the Project. Whilst the Project Document doesn’t request an “exit plan” specifically, it may be necessary to prepare one with a view to making the sustainability of the project more likely and shall help to gain consensus on the activities required for a possible future upscaling strategies. Hence it is recommended that the “exit plan” is enlarged to be a “Sustainability-Replication-Exit Strategy” to provide new flood engineering designs, clear finance and budget lines and clarity on lessons learned from the project to date, including (amongst others) the need to include specific surveying exercises on Government lands to help design flood “buffer” corridors etc.

ANNEXES

ANNEX I. IE MISSION SCHEDULE



GOVERNMENT OF SAMOA

GREEN CLIMATE FUND (GCF) SAMOA PROJECT

“INTEGRATED FLOOD MANAGEMENT TO ENHANCE CLIMATE RESILIENCE FOR THE VAISIGANO RIVER CATCHMENT” (GCF-VCP)

MID-TERM REVIEW MEETING SCHEDULE

REVISED SCHEDULE OF STAKEHOLDER ENGAGEMENTS

(BASED ON CLARIFICATION BY THE INDEPENDENT INTERIM EVALUATION (IIE) CONSULTANTS, 13TH AUGUST 2020 WITH FOCUS GROUPS ONLY)

Dates	Time ⁶²	Focus Group (FG) /Individuals	IA's Comments (confirm availability or propose available time)
Wednesday, 12 th August, 2020	9.30am – 10.30am	FG1: UNDP MCO	Completed
Thursday 13 th August, 2020	9.30am – 10.30am	FG3: GCF-VCP Project Management Unit (GCF-Project Manager (GCF-PM) Output Coordinators, Team Leaders, Assistant PM (GCF-APM), Monitoring and Reporting Analyst (MRA), Communication Officer (CO)	Completed
Thursday 13 th August, 2020	2.00pm – 3.00pm	MWTI ACEO PUMA: Limutau Kirisimasi Seumanutafa	Completed
Friday 14 th August, 2020	1.00pm – 2.00pm	ACEO CRICD: Litara Taulealo	Follow up feedback conducted via telephone/ email
Monday 17 th August, 2020	9.30am – 10.30am	UNDP Resident Representative	Completed
Monday 17 th August, 2020	10.50am – 12.20pm	UNDP Deputy Resident Representative	Completed
Tuesday 18 th August, 2020	9.00am – 10.30am	UNDP Assistant Resident Representative	Fortnightly zoom sessions agreed at 12 Sept meeting (IC,

⁶² Note: IC'S IR requested 90mins but majority of confirmed times are 60mins

			NC, ARR & Karen Komiti). Next session targeted for Wed 26 Aug
Thursday 20th August 2020	9:00am – 10:00am (UK time)	Aishath Azza – RTA-CCA, UNDP Bangkok	Completed
Thursday 20th August, 2020	9.30am – 10.30am	FG2: Executing Agency – Ministry of Finance: CEO, DCEO, ACEO CRICD, ACEO AID (Level 7, Central Bank)	Completed
Friday 21st August, 2020	9.30am – 10.30am	FG4: LTA CEO – Galumalemana Titi Tutuvanu-Schwalger + LTA Group: Maverick Wetzell, Tauvaga Ofoia + Hillary Tanielu	Completed
Monday 24th August, 2020	9.30am – 11am	FG6: MNRE: CEO Ulu Bismarck Crawley, ACEO Environment Sector Coordinator Frances Reupena + ACEO DMO, ACEO WRD, ACEO DEC	Completed
Tuesday 25th August, 2020	9:30am – 10:30am	FG5: Ministry of Health (CEO MOH + Victoria Faasili + Tagata Faitasia)	Completed
Wednesday 26 August, 2020	9:30am – 10:30am	UNDP MCO fortnightly meeting (IC, NC, Yvette or Anne Trevor & Taufao)	Completed
Thursday 27th August, 2020	10.50am – 12.20pm	FG7: MWTI – CEO Magele Hoe Viali, ACEO Assets & Building Management Tilianamua Aloalii, Project Officer Niureta Uili	Completed
Monday 31st August, 2020	9.30am – 10.30am	FG8: Civil Society Support Programme (CSSP) Group (Programme Manager & GCF-VCP Team members)	Completed
Tuesday 01st September, 2020	9.00am – 10.30am	FG9: Samoa Business Hub (SBH-General Manager & GCF-VCP Team members)	Completed
Monday 7th September 2020	9.30am – 10.30am	Initial Findings Presentation to EE/AE/PMU members	Completed
Thursday 10 September 2020	9:00am – 1:00pm	Site visits (National Consultant, PMU team, CSSP)	Completed

ANNEX II. LIST OF DOCUMENTS REVIEWED

Funding Proposal Files

FP Annex I NDA No Objection Letter	26/07/2020 21:05	Microsoft Word Doc...	330 KB
FP Annex II (a)(1) First draft of programmatic approach for samoa	26/07/2020 21:05	Microsoft Word Doc...	4,162 KB
FP Annex II (b1) Overlay to the market analysis for activity 2.2.	26/07/2020 21:05	Microsoft Word Doc...	122 KB
FP Annex II Technical feasibility assessment	26/07/2020 21:05	Microsoft Word Doc...	16,905 KB
FP Annex IX Maps Indicating Project Locations	26/07/2020 21:08	Microsoft Edge PDF ...	442 KB
FP Annex V Term Sheet	26/07/2020 21:08	Microsoft Word Doc...	72 KB
FP Annex VI (b) Environmental and Social Management Plan	26/07/2020 21:08	Microsoft Edge PDF ...	2,438 KB
FP Annex VIII Evaluation report of the baseline project	26/07/2020 21:08	Microsoft Word Doc...	72 KB
FP Annex X Timetable of project implementation	26/07/2020 21:08	Microsoft Word Doc...	46 KB
FP Annex X(1) Timetable of project implementation	26/07/2020 21:08	Microsoft Word Doc...	46 KB
FP Annex XII (a) Economic Analysis	26/07/2020 21:08	Microsoft Word Doc...	10,874 KB
FP Annex XII (b) Estimated Costs and Benefits of the Proposal Investment Project	26/07/2020 21:09	Microsoft Excel Work...	99 KB
FP Annex XIII(1) Additional Background Documents	26/07/2020 21:09	Microsoft Word Doc...	4,745 KB
FP Annex XIV Responses to GCF comments on ProDoc	26/07/2020 21:09	Microsoft Word Doc...	152 KB
FP Annex IV Confirmation Letter (Co-Financing Letter)	26/07/2020 21:09	Microsoft Word 97 - ...	475 KB
FP Gender Action Plan	26/07/2020 21:09	Microsoft Edge PDF ...	781 KB
FP Gender Assessment	26/07/2020 21:09	Microsoft Edge PDF ...	1,012 KB
FP Annex VI(b) Environmental and Social Management Framework and Management Plan	26/07/2020 21:09	Microsoft Edge PDF ...	2,438 KB
Funding Proposal_FP037_24Nov2016	26/07/2020 21:10	Microsoft Edge PDF ...	1,827 KB

UNDP Project Document and FAA

FP037 FAA_Signed UNDP and GCF_9Jun2017	26/07/2020 21:18	Microsoft Edge PDF ...	5,221 KB
ProDoc_undp_gcf_samoa_signed_21jul2017	26/07/2020 21:18	Microsoft Edge PDF ...	1,324 KB
ProDoc_Annex 1 Signed FAA	26/07/2020 21:19	Microsoft Word 97 - ...	2,220 KB
ProDoc_Annex 1 Signed FP037 FAA_9Jun2017	26/07/2020 21:19	Microsoft Edge PDF ...	5,221 KB
ProDoc_Annex 2 DPC LOA	26/07/2020 21:21	Microsoft Word 97 - ...	979 KB
ProDoc_Annex 3 Agreement between IP and RPs	26/07/2020 21:21	Microsoft Word 97 - ...	103 KB
ProDoc_Annex 4 Co-financing letter	26/07/2020 21:21	Microsoft Word Doc...	412 KB
ProDoc_Annex 5 SESP&ESMP	26/07/2020 21:21	Microsoft Edge PDF ...	8,244 KB
ProDoc_Annex 6 Gender Analysis and Action Plan	26/07/2020 21:22	Microsoft Word Doc...	834 KB
ProDoc_Annex 7 Maps Indicating Project Locations	26/07/2020 21:22	Microsoft Word Doc...	2,791 KB
ProDoc_Annex 8 Monitoring Plan	26/07/2020 21:22	Microsoft Word Doc...	22 KB
ProDoc_Annex 9 Evaluation Plan	26/07/2020 21:22	Microsoft Word Doc...	22 KB
ProDoc_Annex 10 Timetable for Project Implementation	26/07/2020 21:19	Microsoft Word Doc...	400 KB
ProDoc_Annex 11 Procurement Plan	26/07/2020 21:19	Microsoft Word 97 - ...	239 KB
ProDoc_Annex 12 TORs for Project staff	26/07/2020 21:20	Microsoft Word Doc...	200 KB
ProDoc_Annex 13 Quality Assurance Report	26/07/2020 21:20	Microsoft Edge PDF ...	3,693 KB
ProDoc_Annex 14 UNDP risk log	26/07/2020 21:20	Microsoft Word Doc...	26 KB
ProDoc_Annex 15 HACT Micro Assessment Report	26/07/2020 21:20	Microsoft Edge PDF ...	4,957 KB
ProDoc_Annex 16 Economic Analysis	26/07/2020 21:20	Microsoft Word Doc...	3,281 KB
ProDoc_Annex 17 Integrated watershed management plan in Apia	26/07/2020 21:21	Microsoft Edge PDF ...	9,262 KB
ProDoc_Annex 18 UNDP Samoa's statement on Activity 2.2	26/07/2020 21:21	Microsoft Word Doc...	287 KB
UNDP letter to MOF 16Mar20_re_GCF Notification Risk Flag	26/07/2020 21:22	Microsoft Edge PDF ...	482 KB
UNDP Letter_MoF_GCF-VCP_Delivery Progress	26/07/2020 21:23	Microsoft Edge PDF ...	1,007 KB

Annual Performance Reports

2019 APR	27/07/2020 09:00	File folder	
2017-GCF-APR-PIMS5919-GCFIDFP037 (1)	29/07/2020 10:27	Microsoft Word Document	100 KB
FP 037 UNDP Samoa APR Assessment Form UNDP Response	29/07/2020 10:27	Microsoft Word Document	46 KB
FP037 Samoa UNDP 5919 2018 GCF APR Assessment Form -28062019	29/07/2020 10:27	Microsoft Word Document	92 KB
FP037 Samoa UNDP 5919 GCF APR 2019_FINAL 27Feb2020	29/07/2020 10:42	Microsoft Word Document	379 KB
2019 APR FP037_GCF Assessment Form_UNDP responses_sent to GCF_13Jul20	26/07/2020 21:23	Microsoft Edge PDF ...	833 KB
Att.1 9 Drainage Priority Sites Map incl Clock Tower & Event Space	26/07/2020 21:23	Microsoft Edge PDF ...	2,340 KB
Att.2 & Att.3 - Pernix Walls 1 & 2 As Builts Drawings (1)	26/07/2020 21:23	Microsoft Edge PDF ...	2,874 KB
Att.4 PCC-Events Space issued 16July2019	26/07/2020 21:23	Microsoft Edge PDF ...	153 KB
Att.5 Practical Completion Certificate - Clocktower Boulevard issued 16July2019	26/07/2020 21:23	Microsoft Edge PDF ...	154 KB
Att.6-FCC for Aggie Grey's Wall - Segment 1 issued 16Mar20	26/07/2020 21:23	Microsoft Edge PDF ...	331 KB
Att.7-FCC for Leone Floodwall Extension Segment 2 issued 16Mar20 (1)	26/07/2020 21:23	Microsoft Edge PDF ...	331 KB
Final GoS combined Response 17Apr20-GCF special request information new versi...	26/07/2020 21:23	Microsoft Word Doc...	31 KB
UNDP Letter_MoF_GCF-VCP_2019 APR_ASSESSMENT FORM	26/07/2020 21:23	Microsoft Edge PDF ...	6,501 KB

Implementing Partners Progress Reports and Work Plans

2019 AWP's	27/07/2020 09:00	File folder	
2019 Combined Delivery Report	27/07/2020 09:00	File folder	
2019 Coordination Meetings between PMU and IAs	27/07/2020 09:00	File folder	
2019 Procurement Plan	27/07/2020 09:00	File folder	
2019 Quarterly Progress Reports	27/07/2020 09:00	File folder	
2020 AWP's	27/07/2020 09:00	File folder	
2020 Coordination Meetings between PMU and UNDP	27/07/2020 09:00	File folder	
2020 Quarterly Progress Reports	27/07/2020 09:00	File folder	
Cross Island Road_SMEC	27/07/2020 09:00	File folder	
Drainages_STANTEC	27/07/2020 09:00	File folder	
Lelata Bridge_BECA	27/07/2020 09:00	File folder	
Payment for Ecosystem Services_Live and Learn Consults	27/07/2020 09:00	File folder	
Payment for Ecosystem Services_LIVE n LEARN	27/07/2020 09:00	File folder	
Project Grievance Mechanism	27/07/2020 09:00	File folder	
Tinai and Gordon Associates	27/07/2020 09:00	File folder	
Tonkin+ Taylor Reviews	27/07/2020 09:00	File folder	
Cover letter FACE FORM Q2 2020	26/07/2020 21:24	Microsoft Edge PDF Document	203 KB
FACE FORM Q2 2020 Apr to June 20	26/07/2020 22:01	Microsoft Edge PDF Document	1,721 KB
GCF Q2 2020 FF_15072020_042559.pdf_signed_2020.07.14.20.59.00	26/07/2020 22:02	Microsoft Edge PDF Document	1,139 KB

EWACC Reports

Evaluation Information	26/07/2020 21:10	Microsoft Word Document	24 KB
EWACC_UNDP-GEF MTR Samoa Final Report Oct 2017_Part1	26/07/2020 21:10	Microsoft Edge PDF Document	2,305 KB
EWACC_UNDP-GEF MTR Samoa Final Report Oct 2017_Part2	26/07/2020 21:10	Microsoft Edge PDF Document	2,512 KB
EWACC_UNDP-GEF MTR Samoa Final Report Oct 2017_Part3	26/07/2020 21:10	Microsoft Edge PDF Document	2,088 KB
EWACC_UNDP-GEF MTR Samoa Final Report Oct 2017_Part4	26/07/2020 21:10	Microsoft Edge PDF Document	2,142 KB
Final EWACC MTR TOR	26/07/2020 21:11	Microsoft Edge PDF Document	605 KB
Management Response	26/07/2020 21:11	Microsoft Word Document	35 KB
Recommendations	26/07/2020 21:11	Microsoft Word Document	24 KB
UNDP_WS_LDCE_SignedSamoaProDocNov14	26/07/2020 21:11	Microsoft Edge PDF Document	8,939 KB

Minutes and Board Meeting Notes

3 October 2018 Board Meeting	27/07/2020 09:00	File folder
18 December 2018 Board Meeting	27/07/2020 09:00	File folder
19 January 2018 Board Meeting	27/07/2020 09:00	File folder
21 May 2018 Board Meeting	27/07/2020 09:00	File folder

1. Circular sending Papers to IAs - PB members -PB7 9July2019 issued ...	26/07/2020 21:13	Microsoft Edge PDF Document	600 KB
2. PB-PSC 2019.07 Agenda	26/07/2020 21:14	Microsoft Edge PDF Document	341 KB
3. DRAFT Minutes 6th CRSC Board Meeting verified GCFPM 5Jun2019 f...	26/07/2020 21:14	Microsoft Edge PDF Document	664 KB
4a. PB-PSC Paper No. 2019.07.5.1 Q22019 Progress Report GCFPM 28J...	26/07/2020 21:14	Microsoft Edge PDF Document	381 KB
4b. PB-PSC Paper No. 2019.07.5.1 Annex 1 Q2 2019 Progress Report_28...	26/07/2020 21:14	Microsoft Edge PDF Document	886 KB
5a. PB-PSC Paper No. 2019.07.5.2 REV2 2019 AWPB 28Jun19 FINAL	26/07/2020 21:14	Microsoft Edge PDF Document	439 KB
5b. PB-PSC Paper No. 2019.07.5.2 Annex 1 REV2 AWPB FINAL	26/07/2020 21:14	Microsoft Edge PDF Document	377 KB
6. PB-PSC Paper No. 2019.07.5.3 Finance Report Q2 2019 GCFPM final ...	26/07/2020 21:14	Microsoft Edge PDF Document	475 KB
7. PB-PSC Paper No. 2019.07.5.4 Updated Procurement Plan 2019 final ...	26/07/2020 21:14	Microsoft Edge PDF Document	666 KB
8. PB-PSC Paper No. 2019.07.6.1 Contingency Workplan 30June FINAL	26/07/2020 21:14	Microsoft Edge PDF Document	500 KB
9. PB-PSC Paper No. 2019.07.6.2 PMU General Salary Increase GCFPM ...	26/07/2020 21:15	Microsoft Edge PDF Document	467 KB
10. PB-PSC Paper No. 2019.07.6.3 MNRE Act2.2 TAG Report GCFPM 25J...	26/07/2020 21:13	Microsoft Edge PDF Document	381 KB
11. PB-PSC Paper No. 2019.07.6.4 EPC land surveys GCFPM 24Jun19 fi...	26/07/2020 21:13	Microsoft Edge PDF Document	410 KB
12a. PB-PSC Paper No. 2019.07.6.5 Infrastructure TAG GCFPM 26June19...	26/07/2020 21:13	Microsoft Edge PDF Document	380 KB
12b. PB-PSC Paper No. 2019.07.6.5 Annex 1 I-TAG TOR refined GCFPM ...	26/07/2020 21:14	Microsoft Edge PDF Document	442 KB
13. PB-PSC Paper No. 2019.07.6.6 ACommunity Engagement Plan GCF...	26/07/2020 21:14	Microsoft Edge PDF Document	383 KB
14a. PB-PSC Paper No. 2019.07.6.7 Review Stormwater TOR 30Jun19 Fl...	26/07/2020 21:14	Microsoft Edge PDF Document	403 KB
14b. PB-PSC Paper No. 2019.07.6.7 Annex 1-PB 7.6.7 Stantec Incep 17-2...	26/07/2020 21:14	Microsoft Edge PDF Document	2,654 KB
15a. PB-PSC Paper No. 2019.07.6.8 Feasibility Study for AISS 30Jun201...	26/07/2020 21:14	Microsoft Edge PDF Document	399 KB
15b. PB-PSC Paper No. 2019.07.6.8 Annex 1 Feasibility Study AISS TOR ...	26/07/2020 21:14	Microsoft Edge PDF Document	587 KB
FINAL GCF -PB 9Jul2019 Presentation validated GCFPM 3Jul19 FINAL	26/07/2020 21:15	Microsoft PowerPoint Presentati...	19,755 KB
GCF -PB 26Mar2019 Presentation GCFPM 24Mar2019	26/07/2020 21:12	Microsoft PowerPoint Presentati...	11,589 KB
Additional Paper_19MayDraft Minutes of CEO Virtual Forum held 31M...	26/07/2020 21:17	Microsoft Word Document	235 KB
Agenda 5.1_Quarter 2_2020 Progress Report Annex 1	26/07/2020 21:17	Microsoft Edge PDF Document	833 KB
Agenda 5.1_Quarter 2_2020 Progress Report	26/07/2020 21:17	Microsoft Edge PDF Document	276 KB
Agenda 5.2_Revised Q3_2020 AWP and Budget	26/07/2020 21:17	Microsoft Edge PDF Document	1,746 KB
Agenda 5.3_Finance Overview Report_Jan to June 2020	26/07/2020 21:17	Microsoft Edge PDF Document	338 KB
Agenda 5.4_Updated 2020 Procurement Plan	26/07/2020 21:17	Microsoft Edge PDF Document	546 KB
Agenda 6.1_Grievance Redress Mechanism	26/07/2020 21:17	Microsoft Edge PDF Document	645 KB
Agenda 6.2 Additional Paper_9Jun Draft Minutes of PMU_UNDP Meeti...	26/07/2020 21:17	Microsoft Word Document	222 KB
Agenda 6.2_Endorsement of Stantec Variation	26/07/2020 21:17	Microsoft Edge PDF Document	372 KB
Draft Minutes_Meeting December 2019	26/07/2020 21:17	Microsoft Edge PDF Document	342 KB
Meeting Notice 15 Jun 2020	26/07/2020 21:17	Microsoft Edge PDF Document	763 KB

Implementation Timetable (2018 only)

Annex F - Revised Implementation Timetable part of Assement 2018 ...	29/07/2020 10:29	Microsoft Word Document	45 KB
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UNDP Mid Term Guidance (2014)

Guidance_Midterm Review_EN_2014	28/07/2020 16:01	Microsoft Edge PDF ...	1,286 KB
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Other Documents Received (Google Drive links)

- GCF VC Project Inception Report (2017);
- Guidance for Conducting Mid Term Review of UNDP-supported, GEF-financed Projects - the document referenced in the TOR is dated 'GEF Directorate, 2014' and hence is possibly outdated for GCF Interim Evaluations);
- Segment Maps of the Vaisigano Catchment;
- Post Disaster Needs Assessment Report: 2012 Tropical Evan;
- Output 1 Feasibility Studies - from BMT, ADB, etc;
- Operational Manual - guidance for Call for Proposals;
- ESS Results;



- Project Finance Spreadsheets (per year⁶³);
- Annexes to Quarter 2, 2020 Progress Report;
- Risk Flag Letter received from GCF Secretariat.
- GCF-VCP Communications Strategy"
- GCF-VCP PMU personnel list.

⁶³ The latest spend to date against original budget allocations set out in the FFA/Project Document are requested in addition to "year on year" spend (i.e.: 2017/2018/2019/2020) against original allocations.

ANNEX III. IE EVALUATIVE MATRIX (EVALUATION CRITERIA WITH KEY QUESTIONS, INDICATORS, SOURCES OF DATA, AND METHODOLOGY)

The Review Evaluation Matrix Template

This Interim Evaluation matrix represents the core aspect of the project is structured along the following primary review criteria (1) Project Strategy; (2) Progress towards Results (3) (Project Implementation and Adaptive Management; (4) Sustainability. The Interim Evaluation will also assess the following:

- Coherence in climate finance delivery with other multilateral entities;
- Gender equity;
- Country ownership of projects and programmes;
- Innovativeness in results areas (extent to which interventions may lead to paradigm shift towards low-emission and climate resilient development pathways);
- Replication and scalability – the extent to which the activities can be scaled up in other locations within the country or replicated in other countries (this criterion, which is considered in document GCF/B.05/03 in the context of measuring performance could also be incorporated in independent evaluations); and
- Unexpected results, both positive and negative.

The review evaluation matrix below serves as a general guide for the IE. It provides directions for the review; particularly for the collection of relevant data. It is designed to provide overall direction for the review and shall be used as a basis for interviewing people and reviewing project documents.

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
Do the VCP activities address the gaps in the policy, regulatory and capacity framework at the national level? To what extent is the project suited to local and national development priorities and policies?	Degree to which the project supports national environmental objectives. Addressing gaps and/or inconsistency with the national and local policies and priorities Addressing gaps in capacity framework	National policies Project Document	Document analysis
How relevant are the VCP's intended outcomes?	Degree to which the project supports national environmental Objectives	Project Document and evaluations/progress reports	Document analysis

Are the VCP's objectives and components relevant, according to the social and political context?	Degree of coherence between the project and national priorities, policies and strategies.	Govt of Samoa, UNDP, PMU and GCF	Interviews Document Analysis
Are counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry? Are the stated assumptions and risks logical and robust? Have they helped to determine activities and planned outputs? Is the project coherent with UNDP programming strategy for Samoa? To what extent is the project in line with GCF operational programs?	Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities. Coherence with UNDP and GCF operational programming.	Project partners and relevant stakeholders GCF, UNDAF, /GCF Programming statement	Interviews Document Analysis
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
What expected outputs have been achieved thus far? To what extent have the expected outcomes and objectives of the project been achieved thus far?	Degree of achievement vis a vis expected outcome indicators	PIRs, APRs etc Interviews	Document analysis Site Visits Stakeholder Interviews
Has the project been effective in designing policy guidance for the future development of Strategic Flood Risk Management in Samoa in general and in the intervention sites in particular?	Indication of policy guidance in project outputs, documents, products. Changes in policy attributable to project regarding climate change adaptation in all sectors	Project outcomes Norms, policies debated, adopted	Document analysis Site Visits Stakeholder Interviews
How well has the project involved and empowered communities to implement management strategies and interventions as they relate to the Strategic Flood Risk Management intervention measures adopted?	Involvement of beneficiaries in project development and implementation Analysis of participation by stakeholders (communities, civil society, etc.). Effect of projects implemented at specific sites	Project outputs and outcomes	Site Visits Stakeholder Interviews
What is causing delays in implementation in particular outputs for the project? Where are the implementation 'bottlenecks'? How can these issues be solved? What changes need to be implemented?	Discrepancies between expected outputs/outcome by the time of mid-term and actual achievements.	Findings in project documents, achievement indicators	Minutes of meetings/document analysis Site visit observations Stakeholder Interviews

Partnerships for implementation	Working relationship between PMU, UNDP, and other strategic partners. Board functions	Findings in project documents (PIRs, minutes of meetings) Indications from interviews	Minutes of meetings/ Project partners and relevant stakeholders Stakeholder Interviews
In what ways are long term emerging effects to the project foreseen?	Level of coherence between project expected results and project design internal logic.	PMU/UNDP Govt of Samoa	Stakeholder Interviews
Were the relevant representatives from government and civil society involved in project implementation, including as part of the project	Level of coherence between project design and project implementation approach Role of committees in guidance Harness effectiveness by analysing how project's results were met vis-à-vis intended outcomes or objectives Draw lessons learned/good practices from the implementation and achievement of results	Project partners and relevant stakeholders	Minutes of meetings/ Project partners and relevant stakeholders
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Is the project being implemented efficiently, in line with international and national norms and standards?	Policies adopted / enacted Policies implemented Budgetary / financial means to implement policies drawn	Policy documents contain sustainability factors policy adopted, implemented)	Documentation analysis Stakeholder interviews
Is adaptive management being used thus far and if so, how have these modifications to the project contributed towards obtaining the objectives? Has the project 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?	Quality of existing information systems in place to identify merging risks and other issues	Policy documents contain sustainability factors policy adopted, implemented)	Project documents
How are institutional arrangements influencing the project's achievement of results?	Quality of risk mitigations strategies developed and followed	Policy documents contain sustainability factors policy adopted, implemented)	Govt of Samoa and PMU/UNDP

Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
Sustainability possibilities	In what way may the benefits from the project are likely to be maintained or increased in the future?	See indicators in project document results framework and log frame	Project documents and reports
Social sustainability factors	Is there sufficient public/stakeholder awareness in support of the project's long term objectives?	Evidence that particular partnerships/linkages will be sustained	Govt of Samoa/PMU/UNDP
Political/financial sustainability	Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits?	Evidence that particular practices will be sustained	Govt of Samoa/PMU/UNDP
Replicability	Which of the project's aspects deserve to be replicated in future initiatives?	Evidence that particular practices will be sustained	Govt of Samoa/PMU/UNDP



ANNEX IV. EXAMPLE QUESTIONNAIRE OR INTERVIEW GUIDE USED FOR DATA COLLECTION



INTERIM EVALUATION REPORT THE INTEGRATED FLOOD MANAGEMENT TO CLIMATE RESILIENCE OF THE VAISIGANO RIVER CATCHMENT PROJECT (VCP)

Executing the Interviews - Factors to Consider

- As all Focus Group interviews shall be carried out using Zoom technology, **they shall be recorded** to help the IE team gather all discussions undertaken. To this end, **no names shall be asked for** either as introductions prior to the meeting, nor completed on the questionnaire sheets (collated at the end of the meeting by the National Consultant). **Should any interviewee wish not to be included on any recording, that person shall be asked to write down answers on the questionnaire sheet and not identify their name on the written sheet to ensure anonymity.**
- Throughout all interviews being undertaken, attention shall be paid towards stressing the importance of the IE team to listen to stakeholders' views and also to reassure all stakeholders that the purpose of the evaluation is **not to judge performance** in order to apportion credit or blame but to **measure the relative success of implementation** and to **determine learnt lessons** for the wider GCF context.
- The **confidentiality of all interviews is paramount**. Wherever quotes from interviews are used in the final report, they will be unattributed to an individual unless they wish otherwise. Wherever possible, and within time constraints, information collected will be **cross-checked between various sources** to ascertain its veracity.
- Interviews will be carried out informally, **focussing on certain key (strategic) points**, thereby allowing the evaluator to pick up on certain issues and draw vital information out from what often starts as a seeming "throw-away" answer to a question. **A little preparation is required by the interviewee** to help capture key messages (due to the virtual delivery) however, there are no "right" or "wrong" answer to each question posed. What is important is to learn stakeholder experiences, insights, reflections, and suggestions on the project.

Focus Group Number and Title

Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?

(1) To date, how relevant has the project design been towards implementing national priorities

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(2) To what extent has the project strategy (to date) contributed to: (i) national mechanisms for collecting, managing and using data on climate change and sustainable flood risk management (SFRM), (ii) national development plans and policies on issues of climate change adaptation with specific reference to SFRM, and (iii) improved multi-sectoral/departmental integration (or mainstreaming) of these plans and policies?

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Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?

(3) What have been the project's achievements/results to date (at the output, outcome, and result levels)? Has the project outcome to date helped leverage on existing or future projects and efforts?

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(4) To what extent has the VCP (to date): (i) succeeded in developing climate resilience through effective flood risk management practices for a range of sectors leading to improvement of livelihoods, (ii) encourage ownership of these efforts with the local communities and other interest groups, and (iii) put in place measures to encourage replicability and sustainability of these efforts?

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(5) What approaches have been designed, adopted and / or implemented to date that have supported effective flood risk management in the specific site-specific areas and around the Vaisigano Catchment as a whole?

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(6) To date, what positive (or negative) effects or impacts (i.e.: any “change”) have occurred as a consequence of the GCF project (i.e.: engineering works, policies, investments, etc.)? How was each intervention site selected (i.e.: site selection criteria) and as a consequence of this, how successful has the project been in creating an inclusive process to undertake flood risk management related planning?

Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting and project communications supporting the project’s implementation?

(7) To date, how have relevant country representatives (from government and civil society, as well as the private sector and universities, NGOs, CBOs, Associations, etc) been involved in project preparation and execution? How effective has the role of the steering committee (PSC) been so far? Could their role be improved to support efforts to increase resilience to coastal and catchment “buffers” through ecosystem-based adaptation and flood risk management?

(8) To date, are VCP project management arrangements (between different Samoan institutions) currently working well to support the project? Is this currently effective? Do you feel it is efficient?

Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?

(9) To date, what have been the priority issues, problems or weaknesses encountered in the implementation of the project that are jeopardizing sustainability and have hindered the achievement of any of the intended mid-term results?

(10) In light of your answer to Question 8, what probability would you give that the projects outcomes will be sustained for the remainder of the project?

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(11) Based on experience to date, what aspects of the project do you feel could have been designed differently to support a sustainable outcome and are there sufficient measures in place to enable and sustain current efforts? Do you feel that based on current evidence, that intervention measures have the potential to be replicated or upscaled around Samoa? If not, what lessons could be learnt? (Positive or negative?).

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Any other comments

Send completed Questionnaire forms to Satui Bentin (WhatsApp scans to +(685) 7515944 or email at satuib@gmail.com)

Many thanks for your involvement and cooperation

ANNEX V. CO-FINANCING INFORMATION

Initial Letter (as part of the Funding Proposal submission to GCF).

Please address all correspondence
To Chief Executive Officer
In reply, please quote the file reference



File ref:

MINISTRY OF FINANCE

13th October, 2016

Ms. Adriana Dinu
Executive Coordinator
UNDP- Global Environmental Finance
New York, USA.

RE: Confirmation of co-finance to the Green Climate Fund (GCF) project on "Integrated Flood Management to Enhance Climate Resilience of the Vaisigano Catchment in Samoa"

Dear Ms. Adriana Dinu,

This letter serves to re-confirm the Government of Samoa (through the Ministry of Finance) co-financing for the above mentioned GCF project, totalling 8 Million USD per letter dated 9th September 2016, submitted to the GCF with the above mentioned proposal.

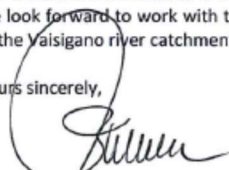
As you are aware the proposed project will enable the Government of Samoa to reduce the impact of recurrent flood related impacts in the Vaisigano river catchment, in particular the Greater Apia urban area where the majority of the population and economic activity is located.

The Government of Samoa will commit USD8 million as cash contributions for 25 years from project start for operation and maintenance (O & M) to ensure the sustainability of the project activities. Please be assured that the Government of Samoa is committed to allocate these resources from its annual budgeting process to line ministries so that the requisite O&M costs related to the infrastructure developments financed by the GCF are maintained. The amount of USD8 million is based on the estimates by our engineers working with the UNDP technical team, and we believe this will be sufficient to cover all relevant expenses related to O&M. The contributions are in the form of office space, utilities and costs of staff, who will spend time on implementing project activities. It will also include operations and maintenance of early warning systems, river works, bridges and drainage, including community and ecosystem-based interventions.

On behalf of the Government of Samoa, we would like to thank the GCF for the opportunity to submit this proposal for an integrated approach to flood management, to enhance the resilience of the Vaisigano catchment and the Greater Apia urban area in Samoa.

The Government of Samoa is fully committed to ensure the successful implementation of the GCF project and we look forward to work with the GCF on this project to reduce the impact of recurrent flood related impacts in the Vaisigano river catchment.

Yours sincerely,



Lavea Tupai matuna Iulai Lavea
GCF National Designated Authority (NDA)
Chief Executive Officer
Ministry of Finance, Samoa.

Private Bag
APIA, SAMOA
Telephone: (685) 34333/34334

E-Mail: mof@mof.gov.ws

Fax: (685) 21312, 24779

Updated "Status" Co-financing Letter (20 January 2020).

Please address all correspondence
To Chief Executive Officer
In reply, please quote the file reference



GOVERNMENT OF SAMOA

MINISTRY OF FINANCE

File ref:

20th January 2020

Mr. Pradeep Kurukulasuriya
Director, Global Environmental Finance
Bureau for Policy and Programme Support
United Nations Development Programme

Dear Mr Pradeep,

Subject: Confirmation letter from the Government of Samoa indicating the status and amount of co-financing obtained for FP037 "Integrated Flood Management to Enhance Climate Resilience of the Vaisigano Catchment in Samoa"

I hereby confirm that the co-financing, as indicated in the table below, has been applied by the Government of Samoa for the implementation of the activities under the "Integrated Flood Management to Enhance Climate Resilience of the Vaisigano Catchment in Samoa" implemented by the Government of Samoa under a National Implementation Modality (NIM) and supported by the United Nations Development Programme (UNDP) as the Accredited Entity (AE) of the Green Climate Fund (GCF).

As of 20th January 2020, we confirm that the co-financing presented in the table below has been applied to support the implementation of the respective Project Outputs according to the GCF-VCP approved work plans for the period 1st January 2019 to 31st December 2019.

Government of Samoa	Total aggregate amount committed for the project as per FAA/FP (USD)	Amount committed – for Year 2 as per the FAA/FP (USD)	Confirmed amount of co-finance applied for reporting period (USD)	Total aggregate amount applied since the project implementation start (USD)
Output 1	130,000 [in-kind/grant]	5,200 [in-kind/grant]	\$ 15,031	\$20,013
Output 2	5,314,000 [in-kind/grant]	212,560 [in-kind/grant]	\$513,601	\$1, 006,571
Output 3	2,556,000 [in-kind/grant]	0 [in-kind/grant]	\$16,067	\$29,890

Appendix 1:

The Co-financing by the Government of Samoa was used for: Rental and Maintenance of Premises and Contractual services individuals as detailed in the Appendix for the GCF-VCP during the period 1st January to 31st December 2019.

Yours sincerely



(Leasiosiofa'asisina Oscar Malielegaoi)

CHIEF EXECUTIVE OFFICER

Encl-

Cc: Verena Linneweber, UNDP
Yvette Kerslake, UNDP
Leitaua Henry Ah Ching, DCEO, MoF
Litara Taulealo, ACEO CRICD, MoF
Pisaina Leilua-Lei Sam, GCF Project Manager

Appendix 1

GCF-VCP 2019 ANNUAL PERFORMANCE REPORT (2019 APR)

GCF-VCP CO-FINANCING REPORT

Financial Year ending 31 December 2019

OUTPUT	Budget code	Budget Description	APPROVED BUDGET FOR ENTIRE PROJECT PERIOD AS PER FAA	BUDGET FOR THIS REPORTING PERIOD (per FAA)	CUMULATIVE EXPENDITURE THROUGH TO THE END OF THIS REPORTING PERIOD	EXPENDITURE FOR THIS REPORTING PERIOD (A)	COMMITMENTS ^[1]	TOTAL	EXPLANATION OF VARIANCES FROM COMMITTED BUDGET ^[2]
				JAN-DEC 2019			(B)	(A+B)	(IF APPLICABLE) [2]
1	71400	Contractual services individuals	80,000	3,200	1,519	1,519		1,519	
	73100	Rental & Maintenance - Premises	30,000	1,200	18,493	13,493		13,493	
	74100	Professional Services	20,000	800				-	
2	71400	Contractual services individuals	525,000	21,000	6,331	6,331		6,331	
	73100	Rental & Maintenance - Premises	4,000,000	160,000	1,002,242	507,270		507,270	
	73400	Rental & Maintenance of other equi	789,000	31,560				-	
3	71400	Contractual services individuals	525,000		2,574	2,574		2,574	
	73100	Rental & Maintenance - Premises	1,750,000		27,316	13,493		13,493	
	73400	Rental & Maintenance of other equi	281,000					-	
Total			8,000,000	217,760	1,056,474	544,681	0	544,681	

[1] Refers only to the items as of the reporting date where a financier has signed a binding contract and the relevant expenses are not included under the expenditures column (e.g. Consultants hired for 3 years, with 33% of contract amount already under Expenditures after year 1 and the other 67% would remain).

[2] Provide explanations in case of variances from the originally agreed breakdown. If a more detailed description is needed, please provide it as Appendix 2.

ANNEX VI. RATINGS SCALES

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
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.

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



ANNEX VII. 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.

IE Consultant Agreement Form

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

Name of Consultant: Jonathan Warren McCue

Name of Consultancy Organization (where relevant): N/A

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

Signed at *Manchester, UK* on 28 September 2020

Signature:



ANNEX VIII. SIGNED IE FINAL REPORT CLEARANCE FORM

(To be completed by the Commissioning Unit (Accrediting Entity – UNDP Samoa and included in the final document)

Interim Evaluation Report Reviewed and Cleared By:

Commissioning Unit

Name: _____

Signature: _____ Date: 11 October 2020

UNDP-GCF Regional Technical Advisor

Name: _____

Signature: _____ Date: 11 October 2020

ANNEX IX. AUDIT TRAIL FROM RECEIVED COMMENTS ON DRAFT IE REPORT

Comments received by the PMU/AE and EE on 3 October 2020 from the Interim Review of the “Integrated Flood Management to Enhance Climate Resilience for the Vaisigano River Catchment Project (PIMS 5919)”

The following comments were provided by Accredited Entity consultees (UNDP Samoa) who use the correct table and the IE lead consultant provides their response commentary accordingly. These are referenced by “Author” and track change comment number (“#” column): NB: editorial updates provided by the reviewer are (if correct) accepted by the IE consultant and not listed below.

Due to the very tight timelines set for Final IE completion (3 working days only to update the Draft IE Report), a separate file (not included here) provides the evidence of how the IE Consultant has addressed compiled GoS stakeholder comments that were sent to the IE consultant as a stand-alone “tracked change” Word document to the draft Interim Evaluation Report. Only comments provided within “comment boxes” are included within the table below.

UNDP Samoa Author	#	Para No./ comment location	Comment/Feedback on the draft Interim Evaluation report	Interim Evaluation team response and actions taken
Yvette Kerslake		Responses to “track change” comments to the Draft Report are contained as “highlighted comment replies” within the body of the Draft IE Report (received on 1 October 2020).		
Aishath Azza		Responses to “track change” comments to the Draft Report are contained as “highlighted comment replies” within the body of the Draft IE Report (received on 1 October 2020).		
Siriboon Ketphichai	Page ii	Project details	Suggest to add Executing Entity and Brief Project Description	Updated – though brief project description is included in the newly produced Executive Summary only.
	Page ii	Project Timeframe	Suggest to add MTR timeframe	This is already included. No update needed.
	Page ii	Project Timeframe	Suggest to rephrase “Project Start Date” to “FAA Effectiveness (Project Start Date)”. The date is incorrect. It should be 11 July 2017	Updated
	Page ii	Project Timeframe	ProDoc signature date is 21 July 2017	Updated
	Page ii	Project Timeframe	Expected date of Terminal Evaluation is 11 Jan 2024 (reference from PIMS+)	Updated
	Page ii	Project Timeframe	Closing date is 11 July 2022 (reference from PIMS+)	Updated
F.Martel	6	2.4 Last paragraph	The Project Board is further supported by a Technical Advisory Group. I do not believe there is such a TAG. The PB is supported by two separate TAGs – the I-TAG (Infrastructure Technical Advisory Board – chaired by MWTI) and the MNRE –TAG (Activity 2.2 Technical Advisory Board – Chaired by MNRE). The latter TAG was also created under the GCF-VCP providing technical advice on catchment ecosystems work part of the Operational Manual for activity 2.2. (Cash-for-Work, PES and EbAEDP). Members of the TAG are MoF, CSSP, SBH, MAF,SROS, ILO, SUNGO,MWCSD, MCIL, PMU, UNDP and MNRE (DEC, FD, DMO, WRD,ESCD).	Text updated

F.Martel	7	Figure 2.2	The Chief Technical Advisor position has been vacant and not proposed to be further recruited as part of the project. UNDP has agreed with GoS that a Senior Technical Advisor will provide assistance to PMU part-time, mainly on Activity 2.2. There are arguments for a CTA to be full-time on the project. This may require a recommendation from IE.	This point is re-emphasised in the Recommendations plus also Section 3.4.
F.Martel	10	3.1.1 Project Design – second para.	<p>I would remove the “circa 45”, as a query at FAO office couldn’t locate the documents.</p> <p>You may also consider, for the record, is the lack of mention that during that same implementation period as EWACC, the Vaisigano and Greater Apia Urban Area watersheds had been identified as key priority for the GEF-UNDP SMSMCL project – Strengthening Multi-sectoral Management of Critical Landscapes - This project has just completed in July 2020, with many outputs of interest to the GCF project including a Soil Conservation Manual, and first training and development of a Payment for Ecosystem approach that led to the specific design components of the GCF PES activity, among others. Very little reference are made also on lessons learned from the GEF-ICCRF, the Integration of Climate Change Risks and Resilience into Forestry Management in Samoa or the AusAID Agro-forestry and Tree Farming project that both included extensive work on Manuals on agroforestry and climate resilience species. These projects ran concurrently from 2011-2015 and provided several published technical reports on Participatory community planning, Climate resilient agro-forestry systems, vulnerability assessment for Ecosystem-based approaches, etc.</p>	<p>Reference to 45 reports is deleted.</p> <p>Reference to the AusAID projects are briefly introduced to add to my point made.</p>
F.Martel	11	3.1.2 Results Framework 1 st Para. Duration of project	This is a 6-year (72 months) project. Start: July 2017 Ends: July 2023.	updated
F.Martel	11	3.1.2 1 st Para. Last sentence.	The Q3 report is being finalized to be approved by the Project Board on 7 October and due to UNDP before 15 October. The adoption consideration timeframe is very short, and this may be better reviewed for the Q4 report due in December 2020.	updated
F.Martel	11	3.1.2 2 nd Para. 9,000 beneficiaries in 18 villages	Note that the Operational Manual Table 3. Page 5. Refers to 19 villages with a total population of 8,254 (Census 2016). But more importantly, this has been increased by the PMU and approved by the Board at now 31 villages.	Text updated
F.Martel	12	Table 3.1? Fund level Impact.	In the commentary. Important to note the Total number of physical flood-resilient assets was not provided in the Results-framework this was not reported against in the APR2019 (and led to a GCF please explain comment). I assume 19 assets is now proposed by the IE as the figure to be reported on to GCF? Note that a total asset number missing in the FP is not measurable.	Text updated
F.Martel	14	3.2.2 Effectiveness	Designs being proposed for 1:50yr return for riverwalls are by the MWTI. The Lelata Bridge by LTA will withstand 1:100yr. My understanding is that all	My understanding is that MWTI (and LTA) all seek to ensure future designs of floodwalls (based on lessons learned from Cyclone Evan

			catchment flood wall designs are now at 1:50yr level – this needs to be confirmed.	and Gita) is that where possible, UP TO 1:2100yr flood return events should be designed for, Text is updated accordingly.
F.Martel	15	1 st Para. Last two sentences	UNDP Samoa MCO with the agreement of the CEO of the EE (MoF) for the GCF project decided...Note that my role is Senior Technical Advisor (not CTA), and the focus is in supporting PMU, with a focus on Activity 2.2 and ensuring IAs alignment of activities with the GCF project objectives. CTA would require a full time assignment for this project due to its complexity.	Point noted and text adapted to reflect this.
F.Martel	15	3.2.3 Efficiency, 2 nd Para.	Suggest to complete sentence. “GCF processes, in the view of many IAs (and EE?) are far more rigid and ambiguous than with long time donors to Samoa”	Text updated
F.Martel	17	1.4.1 Apia Spatial Plan	<p>“It was developed solely for the MWTI team to use as an Internal Guide”. This is an incorrect statement.</p> <p>The Apia Spatial Plan was completed and published in December 2014 under funding by AusAID. This was undertaken by the Planning and Urban Management Agency (PUMA) a division of MNRE, called the City Spatial Plan – this comprehensive plan (49 pages with maps and tables) was being revised by PUMA in light of the most recent studies under various donor projects, particularly on flood resilience. The recent shift of PUMA Division from MNRE to MWTI should have ensured the revised City Spatial Plan be turned into an updated document and simplified for the general public of the AUA. This remains a key deliverable output.</p>	<p>Text updated and used within this section</p> <p>The IE recommends that there are other key aspects that may require better targeted attention/budget. This conclusion is reached as it makes no sense to push to develop a simplified manual for the Apia Spatial Plan as this document is already straightforward and is only used by the PUMA staff for planning purposes.</p>
F.Martel	17	1.4.2 Flood model house. 2 nd to last sentence.	Part of the plans (not detailed plans) were finally provided to UNDP following the I-TAG meeting in September. You may want to revise sentence accordingly.	Text updated accordingly
F.Martel	17	1.4.2 Last sentence	The land-use practices manual should have been the third and last activity under 1.4 as per the FP narrative. This was mistakenly replaced in the Results-framework by two input MOUs. It remains a key deliverable and should have been available for awareness and examples for the EbAED and other activities under Activity 2.1.	Text updated accordingly
F.Martel	18	Activity 2.1.4	This activity has been very much misinterpreted from the FP and current activities have shown progress in engaging communities in waste management, river rubbish cleaning and focusing on a partnership with SROS to monitor the river ecosystems health. But, this activity in the budget is funded by GoS co-financing coming from the IAs budget and should be contracting members of the local community and develop to that effect a Local community involvement or employment plan so they can benefit economically. PMU has now recognized this discrepancy in the implementation	Text updated accordingly

			and working with STA to realign this activity with the intent in the FP.	
F.Martel	19	Activity 2.3 Bridges	Based on the TGA Investigation Study on the various segments there are issues with the Loto-o-Samasoni Bridge just built by DFAT and capacity to withstand a 1:20yr event – this could have an impact on the “lifeline connectivity” asset and may only be a temporary bridge– this comment needs to be confirmed by LTA.	Point updated – LTA will need to confirm this issue after the IE is completed.
F.Martel	20	3 rd Para. Output 1.2	I would suggest to amend the recommendation to what was tentatively agreed with PMU/STA and MoH, “It is recommended that MoH produces a separate/specific set of guidelines to focus on flood-borne diseases (water-borne, zoonotic, etc.) and responses relating to trauma...that are not infectious diseases, but relevant to emergency training of health officials...” under this activity.	Text corrected.
F.Martel	21	Top sentence	Should it be “...higher cost than in the project budget.”?	updated
F.Martel	22	3.4.1 Management Arrangement 3 rd Para.	This should be a Safeguard & Gender “ Advisor ”. The PMU hired a Safeguard & gender Specialist last year.	updated
F.Martel	27	Table 3.4 Last three sentences	I fully agree with these statements and this is compounded by the discrepancy of the Multi-year budget allocation in Schedule 2. Budget and Disbursement Plan (p.15 FAA) and Schedule 5. Implementation Plan (p.24 FAA) – as it clearly indicates that construction work was not expected to start before end of 2019/beginning of 2020 (essentially at mid-term where we are), but 48% of the budget is allocated in the first 3 years. Have a look how funding/disbursement vs implementation plan do not match!	Point acknowledged but not added text made to re-affirm this point.
F.Martel	28	d) Risk flag issue	Note the PMU has already commissioned an updated flood mitigation and modeling study in response to this risk flag.	Text updated to reflect this.
F.Martel	38	3.5	Need to mention the PES – potentially the main tool for the sustainable conservation of the upper watershed.	This is mentioned already in Section 3.5.4, more emphasis is however, made on this being the main tool
F.Martel	39	3.5.1 Last Para. Last sentence on CFW	This has now been clarified by MNRE and the CFW field assistants are not involved in existing reserves and water intakes. The sentence should read: “...and reforestation of critical sites in the watershed.”	Text updated
F.Martel	43	3.7 Innovation. Last sentence.	Design and implementation of a PES for the VCP has been contracted and now moving to stage II since approval of options and recommendations by MNRE and PMU. It is moving now at pace despite earlier delays and building from strong regional experience	Text updated
F.Martel	44	Cash-for-Work	Many of the issues related to Cash-for-Work have been clarified by MNRE following a recent meeting with PMU and STA. This means some earlier concerns, comments and observations no longer apply and were mainly linked to poor planning, monitoring and reporting that are now being	Text and recommendation corrected

			addressed. I would suggest editing for IE to consider as follows: 1) The CfW activities are not operating in the “same geographic space” as previous activities, and they are replicating approaches defined by the DEC in terms of landscape rehabilitation (spacing and climate resilient species among others); 2) Known commodities are part of the MNRE co-financed activities within the VCP and so the CfW are being focused on new areas to be rehabilitated. STA and MNRE are now reviewing the Operation Manual and addressing issues raised. <i>Please delete the last two sentences has I was able to ascertain they are not an accurate representation of the CfW activity.</i> Including the: “myopic thinking” reference in the following paragraph. I would replace the recommendation as follows: <i>“To this end, a revised project approach should focus on capitalizing on existing and innovative land-use and landscape rehabilitation practices, as well as clearly defined rehabilitated targets areas for each of these practices that are achievable under the CfW”.</i> Or something to that effect.	
F.Martel	57	4.2 Recommendations 10. CfW	Suggest to amend according to new info and suggested changes above.	Updated accordingly
UNDP HQ (author name unknown)	1-4	1.2 Scope and Methodology	Include text on how gender-responsive tools and methodologies were used for this evaluation	Updated
UNDP HQ (author name unknown)	15	3.2.3 Efficiency	Two Typos in the second to last paragraph on this page: “Efficiency levels appear to relate to a combination of <u>multiple</u> levels of approval processes required coupled with aspects of poor planning at the Project Design phase, as opposed to any inconsistencies in existing governance mechanisms that are in place. The MoF (as EE) can only operate within the confines set by GCF, hence, if the initial project had <u>implementaiton</u> flaws contained within it then this is not the fault of the MoF. MoF are highly dependent on the technical input of all IAs.	Updated
UNDP HQ (author name unknown)	33	Figure 3.2	Change “Global Environment Finance (GEF)” to “Nature, Climate and Energy”. Our unit used to be called the ‘Global Environmental Finance Unit’ but that has been changed.	Updated as a footnote to Figure 3.2
UNDP HQ (author name unknown)	48-49	3.10 Gender Equity	I recall the GCF’s comments regarding gender in an earlier Interim Evaluation report. The comment asked how the project incorporated gender in its governance and staffing. Could something be included about the number of women in the PMU?	This figure is updated to declare that it comprises of 15 women and 9 men (data provided by the MoF/PMU on 2 October 2020).
UNDP HQ (author name unknown)	52-55	4.1 Conclusions	Could the conclusion include text on whether the project will be able to achieve planned development objective and outcomes at the end of project? This comment was made by the GCF on a different Interim Evaluation report. The comment wrote that the conclusions only speak to individual components, so an overarching statement (or statements) would be useful about whether or not	



			the project can achieve planned outcomes/objective by the expected closing date.	
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ANNEX X. IE TERMS OF REFERENCE (EXCLUDING TOR ANNEXES)

TERMS OF REFERENCE FOR INTERIM EVALUATION OF THE INTEGRATED FLOOD MANAGEMENT TO CLIMATE RESILIENCE OF THE VAISIGANO RIVER CATCHMENT IN SAMOA PROJECT (INTERNATIONAL CONSULTANT)

A. Introduction:

This is the Terms of Reference (ToR) for the Interim Evaluation of the UNDP-supported GCF-financed project titled ***Integrated Flood Management to Enhance Climate Resilience for the Vaisigano River Catchment (PIMS 5919)*** also as known as the *Vaisigano Catchment Project (VCP)* implemented through the Ministry of Finance (MoF), which is to be undertaken in 2020. The project started on 9th June 2017 and is in its third year of implementation. This ToR sets out the expectations for this Interim Evaluation. The MTR process must follow the guidance outlined in the document [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#)

B. Project Description or Context and Background:

As a Small Island Developing State (SIDS) in the Pacific, Samoa has been heavily impacted by increasingly severe tropical storms. Given the topography of the country, these extreme events have caused significant river discharge that results in flooding of lowland areas. Recent tropical storms like Cyclone Evan have caused floods resulting in serious health impacts and significant damage to both public and private assets. The resulting damages have been estimated at US\$200 million. Urban infrastructure has suffered considerably and is expected to further degrade as extreme weather events are becoming more frequent

The project was designed to strengthen the adaptive capacity, and to reduce exposure to extreme weather events of vulnerable communities, infrastructure, and the built environment in the Vaisigano River Catchment area. This is the river that flows through the Apia Urban Area (AUA)

The project represents the Government of Samoa's initial steps in operationalizing a comprehensive flood management solution and it promotes a paradigm shift through its integrated and holistic approach to both hard and soft flood protection of the Greater Apia Catchment, and specifically, the Vaisigano River through three inter-linked outputs:

- Assessments and mechanisms in place for an integrated approach to reduce vulnerability towards flood-related risks
- Infrastructure in the Vaisigano River are flood-proofed to increase resilience to negative effects of excessive water
- Drainage in downstream areas upgraded for increased regulation of water flows.

In conjunction with Government of Samoa co-financing leveraged for this project, GCF resources will be used to address a number of key technical issues including infrastructure; capacity and information-based barriers to enhancing the effectiveness of flood management systems. The primary direct beneficiaries include approximately 26,528 people in the Vaisigano river catchment area and 37,000 people indirect beneficiaries.

The total GCF funds for this project are US\$57,717,748 with government co-financing of US\$8,000,000. The project document was signed on the 21st July 2017. The Accredited Entity for this project is the United Nations Development Programme (UNDP), whilst the Executing Agency (EA) is the Ministry of Finance (MoF). The Responsible Parties are the Ministry of Natural Resources and Environment (MNRE), Ministry of Works, Transport and Infrastructure (MWTI) Land Transport Authority (LTA), Ministry of Health (MoH), and the United Nations Development Programme.

COVID-19 in Samoa

A national state of emergency has been in place since 20 March 2020, restricting flights to and from the country and limiting public gatherings. As of 7 May 2020, Samoa does not have any confirmed cases of COVID-19. The Government of Samoa is focused on prevention of an outbreak, implementing strict point of entry arrangements. With this controls in place the project has experienced delays in project implementation with

procurement and implementation of consultancies of feasibility studies, infrastructure works, postponed consultations and activities with communities.

C. Scope of Work:

The objective of this consultancy is to undertake the Interim Evaluation of the Integrated Flood Management to Enhance Climate Resilience for the Vaisigano River Catchment project (otherwise known as the “Vaisigano Catchment Project” or “VCP”).

1. OBJECTIVES OF THE INTERIM EVALUATION

The Interim Evaluation will assess implementation of the VCP and its alignment with Funded Activity Agreement (FAA) obligations and progress towards the achievement of the VCP objectives and outcomes as specified in the Project Document. The evaluation will 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 Interim Evaluation will assess the following:

- Implementation and adaptive management
- Risks to sustainability
- Relevance, effectiveness and efficiency of projects and programmes;
- Coherence in climate finance delivery with other multilateral entities;
- Gender equity;
- Country ownership of projects and programmes;
- Innovativeness in results areas (extent to which interventions may lead to paradigm shift towards low-emission and climate resilient development pathways);
- Replication and scalability – the extent to which the activities can be scaled up in other locations within the country or replicated in other countries (this criterion, which is considered in document GCF/B.05/03 in the context of measuring performance could also be incorporated in independent evaluations); and
- Unexpected results, both positive and negative.

2. INTERIM EVALUATION APPROACH & METHODOLOGY

The Interim Evaluation must provide evidence-based information that is credible, reliable and useful. The Interim Evaluation team will review all relevant sources of information including documents prepared during the preparation phase (i.e. baseline Funding proposal submitted to the GCF, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Performance Reports (APR), Quarterly Progress Reports (QPR), project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review).

The Interim Evaluation team, comprising of a home-based lead Evaluator (international consultant) and support consultant (national consultant), is expected to follow a collaborative and participatory approach⁶⁴ ensuring close engagement with the Project Team, government counterparts (the GCF National Designated Authority), the UNDP Multi-country Office, UNDP-GEF Regional Technical Specialist, and other key stakeholders.

Engagement of stakeholders is vital to a successful Interim Evaluation.⁶⁵ Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to the *Ministry of Finance and responsible parties are the MNRE, MWTI, LTA, MoH, Samoa Business Hub (SBH), Civil Society Support Programme (CSSP), SUNGO, relevant community members and beneficiaries*; senior officials and team leaders, key experts and consultants in the subject area, VCP Board, Technical Advisory Groups (TAG), project stakeholders, academia, communities and villages within the Vaisigano River Catchment Area (VRCA) and Civil Society Organisations (CSOs) etc. Additionally, the National Consultant is expected to conduct field visits to a selection of the project sites in Samoa.

As of 11 March 2020, The World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to Samoa has been restricted since 20 March 2020 and travel is currently not restricted within the country there are some restrictions on public gatherings.

Due to the travel restrictions, the lead evaluator will be home-based and will work closely with the national consultant in engaging stakeholders virtual consultations via telephone or online (Zoom, Skype, etc.). Field missions will be conducted by the national consultant and findings shared with the lead evaluator. Furthermore, all stakeholder engagement will be strongly supported by the PMU and the UNDP MCO in Samoa.

⁶⁴ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

⁶⁵ For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

Consideration should be taken for stakeholder availability, ability and willingness to be interviewed remotely and the constraints this may place on the Interim Evaluation. These limitations must be reflected in the final Interim Evaluation report. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

The Interim Evaluation team is expected to develop a methodology and approach that takes into account the COVID-related restrictions. This will require the use of remote interview methods, extended desk reviews, data analysis, surveys and evaluation questionnaires. These approaches and methodologies must be detailed in the Inception Report and agreed with the Commissioning Unit.

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

3. DETAILED SCOPE OF THE INTERIM EVALUATION

The Interim Evaluation team will assess the following categories of project progress.

i. Project Strategy

Project design:

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

Results Framework/Logframe:

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

ii. Relevance, Effectiveness and Efficiency

- Were the context, problem, needs and priorities well analysed and reviewed during project initiation?
- Are the planned project objectives and outcomes relevant and realistic to the situation on the ground?
- Is the project Theory of Change (ToC) and intervention logic coherent and realistic? Does the ToC and intervention logic hold or does it need to be adjusted?
- Do outputs link to intended outcomes which link to broader paradigm shift objectives of the project?
- Are the planned inputs and strategies identified realistic, appropriate and adequate to achieve the results? Were they sequenced sufficiently to efficiently deliver the expected results?
- Are the outputs being achieved in a timely manner? Is this achievement supportive of the ToC and pathways identified?
- What and how much progress has been made towards achieving the overall outputs and outcomes of the project (including contributing factors and constraints)?
- To what extent is the project able to demonstrate changes against the baseline (assessment in approved Funding Proposal) for the GCF investment criteria (including contributing factors and constraints)?
- How realistic are the risks and assumptions of the project?
- How did the project deal with issues and risks in implementation?
- To what extent did the project's M&E data and mechanism(s) contribute to achieving project results?

- Have project resources been utilized in the most economical, effective and equitable ways possible (considering value for money; absorption rate; commitments versus disbursements and projected commitments; co-financing; etc.)?
- Are the project's governance mechanisms functioning efficiently?
- To what extent did the design of the project help or hinder achieving its own goals?
- Were there clear objectives, ToC and strategy? How were these used in performance management and progress reporting?
- Were there clear baselines indicators and/or benchmark for performance measurements? How were these used in project management? To what extent and how the project apply adaptive management?
- What, if any, alternative strategies would have been more effective in achieving the project objectives?

iii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

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

Project Strategy	Indicator ⁶⁶	Baseline Level ⁶⁷	Level in 1 st APR (self-reported)	Midterm Target ⁶⁸	End-of-project Target	Midterm Level & Assessment ⁶⁹	Achievement Rating ⁷⁰	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

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

- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

⁶⁶ Populate with data from the Logframe and scorecards

⁶⁷ Populate with data from the Project Document

⁶⁸ If available

⁶⁹ Colour code this column only

⁷⁰ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

iv. Project Implementation and Adaptive Management

Management Arrangements:

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

Work Planning:

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

Finance and co-finance:

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

Coherence in climate finance delivery with other multilateral entities:

- Who are the partners of the project and how strategic are they in terms of capacities and commitment?
- Is there coherence and complementarity by the project with other actors for local other climate change interventions?
- To what extent has the project complimented other on-going local level initiatives (by stakeholders, donors, governments) on climate change adaptation or mitigation efforts?
- How has the project contributed to achieving stronger and more coherent integration of shift to low emission sustainable development pathways and/or increased climate resilient sustainable development (GCF RMF/PMF Paradigm Shift objectives)? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

Project-level Monitoring and Evaluation Systems:

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

Stakeholder Engagement:

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

Reporting:

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

Communications:

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

v. Sustainability

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

Financial risks to sustainability:

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

Socio-economic risks to sustainability:

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

Institutional Framework and Governance risks to sustainability:

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

Environmental risks to sustainability:

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

vi. Country Ownership

- To what extent is the project aligned with national development plans, national plans of action on climate change, or sub-national policy as well as projects and priorities of the national partners?
- How well is country ownership reflected in the project governance, coordination and consultation mechanisms or other consultations?
- To what extent are country level systems for project management or M&E utilized in the project?
- What level and types of involvement for all Is the project as implemented responsive to local challenges and relevant/appropriate/strategic in relation to SDG indicators, National indicators, GCF RMF/PMF indicators, AE indicators, or other goals?
- Were the modes of deliveries of the outputs appropriate to build essential/necessary capacities, promote national ownership and ensure sustainability of the result achieved?

vii. Gender equity

- Does the project only rely on sex-disaggregated data per population statistics?
- Are financial resources/project activities explicitly allocated to enable women to benefit from project interventions?
- Does the project account in activities and planning for local gender dynamics and how project interventions affect women as beneficiaries?
- Do women as beneficiaries know their rights and/or benefits from project activities/interventions?
- How do the results for women compare to those for men?
- Is the decision-making process transparent and inclusive of both women and men?
- To what extent are female stakeholders or beneficiaries satisfied with the project gender equality results?
- Did the project sufficiently address cross cutting issues including gender?

viii. Innovativeness in results areas

- What role has the project played in the provision of "thought leadership," "innovation," or "unlocked additional climate finance" for climate change adaptation/mitigation in the project and country context? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

ix. Unexpected results, both positive and negative

- What has been the project's ability to adapt and evolve based on continuous lessons learned and the changing development landscape? Please account for factors both within the AE/EE and external.
- Can any unintended or unexpected positive or negative effects be observed as a consequence of the project's interventions?
- What factors have contributed to the unintended outcomes, outputs, activities, results?

x. Replication and Scalability

- What are project lessons learned, failures/lost opportunities to date? What might have been done better or differently?
- How effective were the exit strategies and approaches to phase out assistance provided by the project including contributing factors and constraints?
- What factors of the project achievements are contingent on specific local context or enabling environment factors?
- Are the actions and results from project interventions likely to be sustained, ideally through ownership by the local partners and stakeholders?
- What are the key factors that will require attention in order to improve prospects of sustainability, scalability or replication of project outcomes/outputs/results?

xi. Impact of COVID-19

- Review of the impact of COVID-19 on overall project management, implementation and results (including on indicators and targets).
- Assess the project's response to COVID-19 impacts including and not limited to responses related to stakeholder engagement, management arrangements, work planning and adaptive management actions.

Conclusions & Recommendations

The Interim Evaluation team will include a section of the report setting out the Interim Evaluation's evidence-based conclusions, in light of the findings.⁷¹

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

The Interim Evaluation team should make no more than 15 recommendations total.

Ratings

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

Table. Interim Evaluation Ratings & Achievement Summary Table for GCF Vaisigano Catchment Project

Measure	Interim Evaluation Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	

⁷¹ Alternatively, Interim Evaluation conclusions may be integrated into the body of the report.

	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

D. Expected Outcomes and Deliverables:

#	Deliverable	Description	Timing	Responsibilities
1	Interim Evaluation Inception Report	Interim Evaluation team clarifies objectives and methods of Interim Evaluation	No later than 1 week before the Interim Evaluation field work: 28 th July 2020	Interim Evaluation team submits to the Commissioning Unit and MoF/Project Management Unit (GCF-PMU)
2	Presentation	Initial Findings	End of Interim Evaluation field work: 13 th August 2020	Interim Evaluation Team presents to MoF/Project Management Unit (GCF-PMU) and the Commissioning Unit
3	Draft Interim Evaluation Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the Interim Evaluation mission (21 st August 2020)	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, MoF/GCF NDA/GCF-PMU
4	Final Interim Evaluation Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final Interim Evaluation report	Within 2 week of receiving UNDP comments on draft: 24 th August 2020	Sent to the Commissioning Unit

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

E. Institutional Arrangement:

The principal responsibility for managing this Interim Evaluation resides with the Commissioning Unit. The Commissioning Unit for the International Consultant of this Interim Evaluation is the UNDP Samoa Multi-country office for Cook Islands, Niue, Samoa and Tokelau based in Samoa.

The UNDP Samoa Multi-country office for Cook Islands, Niue, Samoa and Tokelau based in Samoa and the MoF/GCF Project Management Unit (PMU) will be responsible for liaising with the Interim Evaluation team to provide all relevant documents, set up stakeholder interviews, and arrange field visits for the National Consultant, etc.

Due to the travel restrictions, the lead evaluator will be home-based and will work closely with the national consultant in engaging stakeholders via virtual consultations via telephone or online (Zoom, Skype, etc.). Field missions will be conducted by the national consultant and findings shared with the lead evaluator.

F. Duration of the Work:

The total duration of the Interim Evaluation will be *26 working days* over a time period of *18 weeks* starting *15th July 2020* and shall not exceed five months from when the consultant(s) are hired. The tentative Interim Evaluation timeframe is as follows:

COMPLETION DATE	NUMBER OF WORKING DAYS	ACTIVITY
1 st July 2020		Application closes
15 th July 2020		Select Interim Evaluation Team
20 th July 2020		Prep the Interim Evaluation Team (handover of Project Documents)
24 th July 2020	7 working days	Document review and preparing Interim Evaluation Inception Report
28 th July 2020		Finalization and Validation of Interim Evaluation Inception Report- latest start of Interim Evaluation mission
28 th July - 17 th August 2020	7 working days	Interim Evaluation fieldwork/stakeholder meetings, interviews, field visits
13 th August 2020		Mission wrap-up meeting & presentation of initial findings- earliest end of Interim Evaluation mission
21 st August 2020	7 working days	Preparing draft report
24 th August 2020	5 working days	Incorporating audit trail from feedback on draft report/Finalization of Interim Evaluation report (note: accommodate time delay in dates for circulation and review of the draft report)
28 th August 2020		Preparation & Issue of Management Response
31 st August 2020		Expected date of full Interim Evaluation completion

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

G. Duty Station:

Home-based. It is expected that the consultant will conduct stakeholder interviews and site visit via virtual means (Zoom, skype etc.) in lieu of the International consultant's mission in Samoa due to COVID19 travel restrictions

H. Qualifications of the Successful Contractor:

A team of two independent consultants will conduct the Interim Evaluation – **International consultant/team leader (with experience and exposure to projects and evaluations in other regions globally)** and National consultant/team expert (separate TOR), from the country of the project. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including writing of the project document) and should not have a conflict of interest with project activities.

Education:

- A Master's degree in environmental/climate science, development studies, disaster risk management, international development, coastal engineering, hydrology or other closely related field (20%);

Experience:

- Minimum of 10 years of relevant professional experience in climate change adaptation, disaster risk management and coastal or flood management (20%);
- 5 years' experience in project evaluations, results-based management, and/or evaluation methodologies (20%);
- Experience in applying SMART targets and reconstructing or validating baseline scenarios (10%);
- Project evaluation experience within the United Nations system will be considered an asset (10%);
- Demonstrated understanding of issues related to gender and climate change adaptation; experience in gender sensitive evaluation and analysis (5%)
- Experience working in the Pacific region or SIDS preferred (5%)
- Fluency in English (oral and written) is a requirement, with excellent written and presentation skills (10%)

I. Scope of Bid Price & Schedule of Payments:

DELIVERABLES	DUE DATE (%)	AMOUNT IN USD TO BE PAID AFTER CERTIFICATION BY UNDP OF SATISFACTORY PERFORMANCE OF DELIVERABLES
Upon approval and certification by the Commissioning Unit of the final Interim Evaluation Inception Report	28 th July 2020 (20%)	\$xxx
Upon approval and certification by the Commissioning Unit of the draft Interim Evaluation report	21 st August 2020 (40%)	\$xxx
Upon approval and certification by the Commissioning Unit and UNDP-GEF RTA of the final Interim Evaluation report and completed Audit Trail	24 th August 2020 (40%)	\$xxx
TOTAL	26 working days	\$xxx

J. Recommended Presentation of Proposal:

Complete proposals must be submitted by **1 July 2020** electronically via email: procurement.ws@undp.org. Incomplete applications will not be considered and only candidates for whom there is further interest will be contacted. Proposals must include:

- [Letter of Confirmation of Interest and Availability](#) using template provided by UNDP;
- **CV or P11 Form** indicating all past experience from similar projects, as well as the contact details (email and telephone number) and at least three (3) professional references (most recent)
- **Statement of capabilities addressing the evaluation criteria** of why the you consider yourself the most suitable for the assignment,
- **A brief methodology** on how you will approach and conduct the work (2 pages maximum),
- **Financial Proposal** specifying the daily rate in US Dollars and other expenses, if any (Annex II)

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



K. Criteria for Selection of Best Offer

Offers will be evaluated according to Combined Scoring Method – where the technical criteria will be weighted a maximum of 70% (refer to section H. for breakdown of technical criteria) and the financial offer will be weighted at 30%.

IMPORTANT NOTE:

Following the request for clarifications raised by the International Consultant, UNDP HQ provided the following document on 19 August 2020 (nearly 3 weeks after contract signature) which represents the latest guidance that was shared by UNDP in July 2020. From this date, the GCF TOR and template for IE reports remains under discussion with the GCF. Insertions of updates within the above TOR includes sections that are derived from “unofficial” preliminary discussions held with GCF.



ANNEX XI. RELEVANT MIDTERM TRACKING TOOL (OR SIMILAR)

No formal GCF-VCP Tracking Tool appears to have been produced.

ANNEX XII. ANNUAL WORK PLAN FOR 2020

GREEN CLIMATE FUND - INTEGRATED FLOOD MANAGEMENT TO ENHANCE CLIMATE RESILIENCE OF THE VAISIGANO OF THE VAISIGNO RIVER CATCHMENT (GCF-VCP)						
APPROVED REVISED 2020 ANNUAL WORK PLAN AND BUDGET (REV1, 2020 AWPB /Q3,WPB), 10TH GCF-VCP BOARD, 24 JUNE 2020						
Exchange Rate	2.76					
GCF PROJECT OUTPUT	SUB OUTPUTS AND MAIN ACTIVITIES	Q1	Q2	Q3	Q4	APPROVED REV 1 2020 AWPB GCF-VCP BOARD 24 JUNE 2020
GCF-VCP Output 1	1.1 Strengthen capacities and information requirements to pursue an integrated programme approach to flood management.	\$ 536,883	\$ 103,727	\$ 165,662	\$ 109,836	\$ 916,109
Output 1 : Integrated Flood Management to Enhance Climate Resilience of the Vaisigano River Catchment in Samoa	1.1.1 Review the interdependence of flood mitigation options	-	11,476	-	-	\$ 11,476
	1.1.2 Conduct feasibility studies for Flood-buffering reservoir in Vaisigano River	432,216	-	-	-	\$ 432,216
	1.1.3 Conduct feasibility studies for flood-proofing Central Cross Island Road	74,717	75,882	124,013	-	\$ 274,612
	1.1.4 Conduct feasibility studies for Apia integrated Sewage system	-	-	-	28,000	\$ 28,000
	1.1.5 Strengthen capacities of GCF-PMU & Implementing Agencies(IAs) allocated to Output 1	29,950	16,369	41,650	81,836	\$ 169,805
	1.2. Establish health surveillance systems to track and manage flood-related health issues	\$ 9,658	\$ 1,510	\$ 18,400	\$ 80,080	\$ 109,649
	1.2.1 Include flood-related information in CLEWS messaging system	5,524	-	-	27,580	\$ 33,104
	1.2.2 Train health practitioners dealing with emergencies how to respond to flood-related emergencies	3,009	1,066	18,400	17,500	\$ 39,975
	1.2.3 Train village councils on how to prepare for and evacuate flood-related victims	-	-	-	35,000	\$ 35,000
	1.2.4 Awareness raising among health practitioners and village councils about the flood-related EWS	1,125	444	-	-	\$ 1,569
	1.2.5 Establish health surveillance systems to track and manage flood-related health issues - Transportation Equipment and operational support	-	-	-	-	\$ -
	1.3 Expand EWS coverage to provide flooding alerts in Apia	\$ 59,352	\$ 85,534	\$ -	\$ 161,659	\$ 306,545
	1.3.1 MNRE conduct hydrological modelling to generate flood scenarios	59,352	85,534	-	105,498	\$ 250,384
	1.3.2 Integration of flood warning into the EWS by training technical officers	-	-	-	56,161	\$ 56,161
	1.3.3 Increase awareness of updated EWS with at risk populations (mock drills etc)	-	-	-	-	\$ -
GREEN CLIMATE FUND - INTEGRATED FLOOD MANAGEMENT TO ENHANCE CLIMATE RESILIENCE OF THE VAISIGANO OF THE VAISIGNO RIVER CATCHMENT (GCF-VCP)						
APPROVED REVISED 2020 ANNUAL WORK PLAN AND BUDGET (REV1, 2020 AWPB /Q3,WPB), 10TH GCF-VCP BOARD, 24 JUNE 2020						
Exchange Rate	2.76					
GCF PROJECT OUTPUT	SUB OUTPUTS AND MAIN ACTIVITIES	Q1	Q2	Q3	Q4	APPROVED REV 1 2020 AWPB GCF-VCP BOARD 24 JUNE 2020
	1.3.4 Miscellaneous -Insurance for activities 1.1 and 1.3 under Output 1. Insurance cost has been added in responses to GCF's comments in order to protect against risks of non-performance and/or natural disasters for those activities that involve infrastructures and constructions works by selected contractors.	-	-	-	-	\$ -
	1.4 Conduct awareness raising campaigns on building practices and designs for at risk communities living along the Vaisigano River	\$ 6,595	\$ 1,878	\$ 11,901	\$ 73,140	\$ 93,514
	1.4.1 Translation of the new building code and Apia spatial plan into simple manuals for builders to follow	6,459	-	-	-	\$ 6,459
	1.4.2 Production of exhibition on flood-proof building and land use practices to be used in water tower and Two (2) million trees campaign	-	1,878	-	50,000	\$ 51,878
	1.4.3 MOU with SUNGO and members to participate in campaign	-	-	11,901	18,140	\$ 30,041
	1.4.4 MOU with builders associations on flood-proof building	135	-	-	5,000	\$ 5,135
Total for OUTPUT 1		\$ 612,488	\$ 192,650	\$ 195,964	\$ 424,716	\$ 1,425,817
GCF-VCP Output 2	2.1 Channelization of segment 2 and 3 of the Vaisigano river streambed to accommodate increased water flow and decrease flood risks	\$ 121,352	\$ 48,072	\$ 359,907	\$ 3,027,984	\$ 3,557,315
	2.1.1 Review proposed designs for channelization of Segments 2,3 and 4 of the Vaisigano River including the impact on channel capacity of the new Lelata Bridge and the potential for optimizing scheme design and durability.	79,857	-	323,832	81,920	\$ 485,609
	2.1.2 Establishment of flood protection measures along Segments 2, 3 and 4 of Vaisigano River	1,125	-	-	2,899,988	\$ 2,901,113
	2.1.3 Capacity building of maintenance teams for flood protection measures	-	-	-	-	\$ -
	2.1.4 Contracting members of the local communities for execution of activities with regards to building and landscape restoration along the Vaisigano river.	-	15,367	-	-	\$ 15,367

GREEN CLIMATE FUND - INTEGRATED FLOOD MANAGEMENT TO ENHANCE CLIMATE RESILIENCE OF THE VAISIGANO OF THE VAISIGNO RIVER CATCHMENT (GCF-VCP)						
APPROVED REVISED 2020 ANNUAL WORK PLAN AND BUDGET (REV1, 2020 AWPB /Q3,WPB), 10TH GCF-VCP BOARD, 24 JUNE 2020						
Exchange Rate	2.75					
GCF PROJECT OUTPUT	SUB OUTPUTS AND MAIN ACTIVITIES	Q1	Q2	Q3	Q4	APPROVED REV 1 2020 AWPB GCF-VCP BOARD 24 JUNE 2020
Output 2 - Key infrastructure in the Vaisigano River are flood-proofed in increase resilience to negative effects of excessive water	2.1.5 Channelization of segment 2 and 3 of the Vaisigano river streambed to accommodate increased water flow and decrease flood risks - (Transportation Equipment and operational support)	-	-	-	-	\$ -
	2.1.6 Strengthen capacities of GCF-PMU & IAs allocated to Output 2	40,370	32,704	36,075	46,075	\$ 155,225
	2.2 Implement ecosystem responses upstream for decreased flows during extreme weather events	\$ 46,756	\$ 46,667	\$ 67,727	\$ 218,680	\$ 379,830
	2.2.1 Determining the best protection options for flood management activities from Ridge to Reef, depending on landscape, land tenure, existing land use and planned developments.	18,408	4,877	-	133,893	\$ 157,178
	2.2.2 Demarcation process of one area within the Vaisigano River Catchment as a 'no development zone' in combination with a 'restricted zone' below it and assign this as a "Water Source Protection Area" as mandated under the Water Resources Management Act 2008 and the Water Resources Management Regulation 2013	-	17,353	-	-	\$ 17,353
	2.2.3 Follow development consent process for demarcation	-	-	-	-	\$ -
	2.2.4 Develop a community based adaptation strategy for ecosystem based alternative income generating activities.	-	-	18,727	37,453	\$ 56,180
	2.2.5 Train Members of local population of this alternative income as well as business incubation for entrepreneurial agribusiness and climate change and flood-related business options.	-	-	-	-	\$ -
	2.2.6 Provision of a cash-for-work option for flood-related catchment rehabilitation (anti-erosive measures, landscaping options).	12,104	12,824	24,000	24,000	\$ 72,928
	2.2.7 Implement ecosystem responses upstream for decreased flows during extreme weather events (Transportation Equipment and operational support)	-	-	-	-	\$ -
	2.2.8 Strengthen capacities of GCF-PMU & IAs allocated to Output 2.2	16,244	11,613	25,000	23,334	\$ 76,192
GREEN CLIMATE FUND - INTEGRATED FLOOD MANAGEMENT TO ENHANCE CLIMATE RESILIENCE OF THE VAISIGANO OF THE VAISIGNO RIVER CATCHMENT (GCF-VCP)						
APPROVED REVISED 2020 ANNUAL WORK PLAN AND BUDGET (REV1, 2020 AWPB /Q3,WPB), 10TH GCF-VCP BOARD, 24 JUNE 2020						
Exchange Rate	2.75					
GCF PROJECT OUTPUT	SUB OUTPUTS AND MAIN ACTIVITIES	Q1	Q2	Q3	Q4	APPROVED REV 1 2020 AWPB GCF-VCP BOARD 24 JUNE 2020
	2.3 Construction upgrade of Letata bridge to accommodate increase flood waters	\$ 1,670	\$ 351	\$ 280,057	\$ 24,571	\$ 306,649
	2.3.1 Review current design of Letata Bridge	1,670	351	280,057	-	\$ 282,078
	2.3.2 Construction of Letata bridge according to upgraded design	-	-	-	24,571	\$ 24,571
	2.3.3 Construction upgrade of Letata bridge to accommodate increase flood waters - (Transportation Equipment and operational support)	-	-	-	-	\$ -
	2.4 Extension of floodwalls at Letata and Leone Bridges to prevent damage during extreme events	\$ 34,394	\$ -	\$ -	\$ 437,714	\$ 472,108
	2.4.1 Review current design of floodwalls adjacent to both bridges	34,192	-	-	137,714	\$ 171,906
	2.4.2 Construction of floodwall extensions at both bridges.	202	-	-	300,000	\$ 300,202
	2.4.3 Insurance for activities 2.1, 2.2, 2.3 and 2.4 under Output 2. Insurance cost has been added in responses to GCF's comments in order to protect against risks of non-performance and/or natural disasters for those activities that involve infrastructures and constructions works by selected contractors.	-	-	-	-	\$ -
	Total for OUTPUT 2	\$ 204,173	\$ 95,889	\$ 707,691	\$ 3,708,948	\$ 4,715,901
	GCF Output 3	\$ 7,201	\$ 5,951	\$ 27,596	\$ 469,439	\$ 510,187
	3.1 Develop a climate resilient Stormwater Master Plan	-	-	-	423,745	\$ 423,745
	3.1.1 Review the current drainage systems existent in the Vaisigano river flood plain. (Review and update existing Stormwater Master Plan to include management of urban storm water (in the Vaisigano river floodplain), consolidate in a masterplan for urban areas (Apla Urban Area-AUA) - and detail designs for 9 hazard areas identified)	-	-	-	-	\$ -
	3.1.2 Identification of specific design options for current hazard spots in order to flood proof these in line with expected flood risks	-	-	-	-	\$ -
	3.1.3 Consultation process for selection of additional priority hazard areas to be upgraded	-	-	-	-	\$ -

GREEN CLIMATE FUND - INTEGRATED FLOOD MANAGEMENT TO ENHANCE CLIMATE RESILIENCE OF THE VAISIGANO OF THE VAISIGNO RIVER CATCHMENT (GCF-VCP)						
APPROVED REVISED 2020 ANNUAL WORK PLAN AND BUDGET (REV1, 2020 AWPB /Q3,WPB), 10TH GCF-VCP BOARD, 24 JUNE 2020						
Exchange Rate	2.75					
GCF PROJECT OUTPUT	SUB OUTPUTS AND MAIN ACTIVITIES		Q1	Q2	Q3	Q4
Output 3: Drainage in downstream areas upgraded for increased regulation of water flows	3.1.4	Elaborate a multi-year climate resilient stormwater master plan for the Vaisigano River floodplain.	-	-	-	-
	3.1.5	Capacity building of the relevant stakeholder agencies with regards to implementation of the Master Plan	-	-	-	-
	3.1.6	Strengthen capacities of GCF- PMU & IAs allocated to Output 3	7,201	5,951	27,596	45,694
	3.2	Upgrade drainage systems and outfalls in hazard areas to accommodate flooding events	\$ 6,249	\$ 89,185	\$ 422,436	\$ 614,029
	3.2.1	Assessment and design of the priority drainage upgrades and critical hazard areas with regards to needed upgrade.	-	-	70,624	-
	3.2.2	Implementation drainage upgrades.	1,244	85,730	348,358	614,029
	3.2.3	Integration of upgrades in the Masterplan (Activity 3.1) Upgrade drainage outfalls and adjacent piped reticulation in critical hazard coastal (AUA) areas	5,005	3,454	3,454	-
	3.2.4	Insurance for activity 3.2 under Output 3. Insurance cost has been added in responses to GCF's comments in order to protect against risks of non-performance and/or natural disasters for those activities that involve infrastructures and constructions works by selected contractors.	-	-	-	-
Total for OUTPUT 3			\$ 13,450	\$ 95,136	\$ 450,032	\$ 1,083,468
GCF-VCP Output 3	4.1	International Consultants	-	11,761	-	30,000
Output 4: Project Management Unit	4.2	Contractual Services individuals	57,897	27,715	49,471	49,136
	4.3	Travel	-	-	6,603	6,603
	4.4	Landline and Connectivity Services	1,306	599	599	599
	4.5	Information Technology Equipment	-	-	-	2,000
	4.6	Equipment & Furniture	61	68	68	68
	4.7	Communications	-	8,596	-	-
Total for OUTPUT 4			\$ 66,190	\$ 51,335	\$ 63,698	\$ 95,364
GCF-VCP TOTAL BUDGETS			\$ 896,301	\$ 434,210	\$ 1,417,385	\$ 5,312,495

Prepared By:

Tevaga Pisania Leliua-Lai Sam
Tevaga Pisania Leliua-Lai Sam
GCF Project Manager

Litara Taulealo
Litara Taulealo
ACEO Climate Resilience Investment Coordination Division
Ministry of Finance

Endorsed By:

Lebagaiafa Pisania Oscar Malielegaoi
Lebagaiafa Pisania Oscar Malielegaoi
Chief Executive Officer
Ministry of Finance/National Designated Authority

Endorsed By:

Jorn Sorensen
Jorn Sorensen
UNDP Deputy Resident Representative

ANNEX XIII. PROJECT ACTIVITY “DASHBOARD PROGRESS REPORT (PRODUCED BY PMU AND INTERPRETED/EVALUATED BY THE INTERNATIONAL CONSULTANT FOR THIS IE)

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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Part A of this Annex addresses the “dashboard” of progress to date (up to September 2020).

Part B: of this Annex address commentary on a separate document produced by the PMU (GCF-VCP Project Documents’ Assessment Documentation of Issues, Discrepancies and Impact on Implementation by Ministry of Finance (MoF)/GCF Project Management Unit (GCF-PMU) and Implementing Agencies (IA), 2 September 2020 for Mid Term Review (MTR)



Francois Martels' role has been to support UNDP MCO to produce APRs from 2019 onwards he also has produced the following "traffic light" report (Technical Delivery Assessment) which outlines a series of priority actions that link to weaknesses and problems. This was produced to help support the IE as only the IE will be read by GCF to consider any recommended alteration.

PART A: Q3-JULY 2020/GCF-VCP Technical Assessment Matrix. Progress Update on Outcomes/Outputs | General Template
Senior Technical Advisor - Due diligence – Samoa MCO ECC

FP037 – INTEGRATED FLOOD MANAGEMENT TO ENHANCE CLIMATE RESILIENCE OF THE VAISIGANO RIVER CATCHMENT IN SAMOA						
PIMS#: 5919		GCF ID: FP037			ATLAS ID: 00098736	
Q3 JULY-2020 TECHNICAL ASSESSMENT – PROGRESS UPDATE AND ISSUES						
Activity 1.1 Strengthen capacities and information requirements to pursue an integrated programme approach to flood management						
Status at end of Q2 2020		Progress (%) at end of Q4 2019	Progress (%) at end of Q2 2020	Mid-Target (2020)	End-Target (2023)	
Activity Started -progress on track		71%	80%	87.5%	100%	
Input/Milestones			Status at end of Q2 2020	Progress (%) Q2 2020	Flag	Comments/Issues identified
1.1.1	Feasibility Study: Review of Interdependence of Flood mitigation Options.		Completed	100%		Additional flood-modeling approved for Activity 2.1.1. Strategy 2 endorsed by the PB as if no Reservoir built, but without results of BMT study used for the final design of channelization for segments 2, and 3.
1.1.2	Conduct Feasibility Studies: Flood buffering Reservoir in the Vaisigano River.		Activity Started - progress delayed	96%		Nearly completed. Only biodiversity offsetting plan to be completed by ADB selected consultants. Final draft EIA to be completed in Q3-Q4 subject to SoE restrictions.
1.1.3	Conduct Feasibility Studies: Conduct Feasibility Studies for flood-proofing Central Cross-island Road.		Activity Started - progress delayed	97%		Nearly completed. Final design and bidding documents under review to accommodate LTA/ADB comments. Contract of SMEC extended to 30 th Nov 2020 to complete final contract deliverables. Although the start was slow due to unforeseen survey needs (private surveys with MNRE – cadastral and



FP037 – INTEGRATED FLOOD MANAGEMENT TO ENHANCE CLIMATE RESILIENCE OF THE VAISIGANO RIVER CATCHMENT IN SAMOA					
PIMS#: 5919		GCF ID: FP037		ATLAS ID: 00098736	
Q3 JULY-2020 TECHNICAL ASSESSMENT – PROGRESS UPDATE AND ISSUES					
				topographic), progress since has been smooth. An international surveyor was hired who worked closely with MNRE. Design standards are being used that now reflect NZ and Australian standards. BMT have recently been engaged to carrying out flood hydraulic analysis work and to support QA checks on the Cross Island Road work. ADB are helping to fund this engineering work (not GCF) and although a challenge when dealing with 2 different donors under 1 component, communication between the two projects and donors appears to be working.	
1.1.4	Conduct feasibility studies and concept design for Apia Integrated Sewerage System	Activity Started - progress delayed	27%		Contractor selected is Hunter H20. Issue with 6 month delay payment for Deliverable 1 – Inception Report – I-TAG recommendation to split Deliverables so first payment can be made in 2020. Negotiations on Samoa taxation issues on-going – Tender Board has been approved and awaiting Cabinet approval.

Activity 1.2 Establish health surveillance systems to track and manage flood-related health issues					
Status at end of Q2 2020		Progress (%) at end of Q4 2019	Progress (%) at end of Q2 2020	Mid-Target (2020)	End-Target (2023)
Activity Started -progress delayed		11%	19.5%	47.5%	100%
Input/Milestones		Status at end of Q2 2020	Progress (%) Q2 2020	Flag	Comments/Issues identified
1.2.1	Inclusion of flood related information in CLEWS messaging system.	Activity Started - progress delayed	50%		Surveillance Guidelines not targeting water-borne/flooding diseases – no indication funds from GCF. Important to review this



				activity to align with CLEWS work under 1.3.1. STA meeting with MoH agreed in principle to produce a separate output on flood-related diseases but on hold for DG approval. MoH sign an MOU with MNRE for H-CLEWS and training with SPC– but this needs to be put on hold. FP activity doesn’t include funding for H-CLEWS, although FP narrative does refer to GCF funding H-CLEWS – need to be clarified. An MoU was set up with the Met Service which sets out how data is collected, what data is collected etc and to ensure they get the data for free (rain fall data is free to MoH). However, MoH need to interpret how this data and how to link to the MOH data collecting system how this links to the nearest hospitals.	
1.2.2	Train Health practitioners dealing with flood-related emergencies how to respond	Activity Started - progress delayed	7%		Water testing for VRCA is contracted to SROS in activity 2.1.4 and is not related to Training of Health practitioners. Need better documentation on lab equipment and relationship with SROS testing.
1.2.3	Train village councils on how to prepare for and evacuate flood-related victims	Activity Started - progress delayed	12%		Critical that both equipment and training completed by end of Q3-Q4 (before rainy season). Standard Operating Procedures for EFSS has also been completed but GoS are awaiting the re-opening of international borders to allow experts from NIWA to arrive into Samoa (after being quarantined) to try and test flood disaster simulation events within the Vaisigano catchment. Online training & workshops being conducted by NIWA on EWS has subsequently been delayed though this is hoped to commence when international travel restrictions are lifted.
1.2.4	Awareness raising among health practitioners and village councils about flood related EWS.	Activity Started - progress delayed	10%		This activity should be delayed until EWS system for flooding and health are integrated in the Samoa CLEWS and integrated with DMO. This activity should be reprogrammed accordingly.

Activity 1.3 Expand EWS coverage to provide flooding alerts in the Apia Urban Area.



<i>Status at end of Q2 2020</i>		<i>Progress (%)</i> <i>Q4 2019</i>	<i>Progress (%)</i> <i>Q2 2020</i>	<i>Mid-Target</i> <i>(2020)</i>	<i>End-Target</i> <i>(2023)</i>	
<i>Activity Started -progress delayed</i>		10%	20%	69.3%	100%	
<i>Input/Milestones</i>			<i>Status at end of Q2 2020</i>	<i>Progress (%)</i> <i>Q2 2020</i>	<i>Flag</i>	<i>Comments/Issues identified</i>
1.3.1	MNRE conduct hydrological modelling to generate flood scenarios for the Vaisigano River		<i>Activity Started - progress delayed</i>	40%		Good progress. Need update on contract/order to MCS Digital Ltd. Important that sirens order and shipping made in Q3 so payment in 2020 budget. Contract under Legal MNRE review. MNRE have been successful to date regarding the purchase of 5 EWS sirens though installations have not yet taken place.
1.3.2	Integration of flood warning into the EWS by training technical officers		<i>Activity Started - progress delayed</i>	10%		MNRE-WRD is leading discussions on possible virtual Tuflow flood modeling training by BMT. Could possibly be started in late 2020 – with a first group. Currently, contract with BMT is with MNRE legal for clearance. Need follow-up with MNRE and update on signing.
1.3.3	Increase awareness of updated EWS with at risk population in the VRCA and AUA.		<i>Activity Started - progress delayed</i>	10%		Pending completion of two activities above.
<i>Activity 1.4 Conduct awareness raising campaigns on building practices and designs for at risk communities living along the Vaisigano River</i>						
<i>Status at end of Q2 2020</i>		<i>Progress (%)</i> <i>Q4 2019</i>	<i>Progress</i> <i>Q2 2020</i>	<i>Mid-Target</i> <i>(2020)</i>	<i>End-Target</i> <i>(2023)</i>	
<i>Activity Started -progress delayed</i>		33.75%	36.5%	85%	100%	
<i>Input/Milestones</i>			<i>Status at end of Q2 2020</i>	<i>Progress (%)</i> <i>Q2 2020</i>	<i>Flag</i>	<i>Comments/Issues Identified</i>
1.4.1	Translation of the new building code and Apia spatial plan into simple manuals for builders		<i>Completed</i>	100%		Although activity stated as completed. The manuals do not include a simplified Apia Spatial Plan that's part of the FP outputs. This was raised by UNDP in due diligence, but MWTI has



				indicated it will not produce a simplified Apia Spatial Plan for the project. The IE believes that this is not deemed a critical aspect for the project as it makes no sense to push to develop a simplified manual for the Apia Spatial Plan as this document is already straightforward and is only used by the PUMA staff for planning purposes.
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<i>Input/Milestones</i>	<i>Status at end of Q2 2020</i>	<i>Progress (%) Q2 2020</i>	<i>Flag</i>	<i>Comments/Issues identified</i>
1.4.2 Production and exhibition on flood-resilient buildings.	<i>Activity Started - progress delayed</i>	30%		Evaluation of bids halted as total construction cost is over budget substantially. RTA recommended that UNDP due diligence on plans needed prior to award of contract. In addition, the FP also refer to appropriate land-use practices that is not reported on. UNDP need to conduct due diligence on building plans. These have not yet been provided because the design stage of this activity has not yet been completed. Procurement of the Design and Construct contractor has been cancelled due to budget constraints. No action yet taken on the issue raised at MNRE TAG last June regarding land-use practices manual.
1.4.3 MOU with SUNGO for capacity-building and outreach campaigns	<i>Activity Started - progress delayed</i>	10%		Need to consider re-allocating funds to help support develop capacity-building training on land-use practices by SUNGO or qualified NGOs. Training of trainers for SUNGO staff on simplified building manuals was however completed by KEW Consult Ltd. Community Engagement Programme and scheduling by SUNGO is yet to be implemented.
1.4.4 MOU with Builder's Association for capacity building	<i>Activity Started - progress delayed</i>	7%		Not a deliverable activity in the context of the project. Budgets for this activity need reviewing.
Activity 2.1 Channelization of segment 2, 3 of the Vaisigano River streambed to accommodate increased waterflow and decrease flood risks				



<i>Status at end of Q2 2020</i>		<i>Progress (%)Q4 2019</i>	<i>Progress (%) Q2 2020</i>	<i>Mid-Target (2020)</i>	<i>End-Target (2023)</i>
<i>Activity Started -progress delayed</i>		7%	24.5%	30%	100%
<i>Input/Milestones</i>		<i>Status at end of Q2 2020</i>	<i>Progress (%) Q2 2020</i>	<i>Flag</i>	<i>Comments/Issues identified</i>
2.1.1	Review design for channelization of Segment 2, 3 and 4 of the Vaisigano river (including Lelata and optimizing)	<i>Activity Started - progress delayed</i>	40%		<p>TGA investigation report for Package 1 recommends 1:50 event designs and not based on BMT study. Tender for the Construction of the Package 1 – Lot 1 has been approved and is now advertised. Consultations and consent form have been completed. 31 families have been identified to be affected by the construction over the proposed Option 1 – box culvert system for runoff from Magiagi Uelington – Lelata area. This has not been approved by the Client (MWTI) and hence TGA are to design an alternative solution to address this storm-water runoff. ESIA report is still in draft form at this stage</p> <p>This may require additional consultations but ESIA report is completed. Pre-bidding meeting to be held on 15 September. TGA response to Tonkin & Taylor due diligence comments were received. UNDP due diligence currently delayed on final designs and bidding documents. UNDP also need to clarify whether the Riverwall construction needs to be held up until GCF have reviewed these designs. IE proposed to possibly utilise the T&T review for their due diligence to confirm proceeding with the construction as this may as well delay delivery even further.</p>
2.1.2	Establishment of flood protection measures along segments 2, 3 and 4 of Vaisigano river.	<i>Activity Not Yet Due</i>	20%		<p>Progress made based on EWACC additional work on Segment 2 and 3 (Penstock wall and floodwalls additions). Based on force majeure explanation. Awaiting GCF review as part of risk flag.</p>
<i>Input/Milestones</i>		<i>Status at end of Q2 2020</i>	<i>Progress (%) Q2 2020</i>	<i>Flag</i>	<i>Comments/Issues identified</i>



2.1.3	Capacity building of maintenance teams for flood protection measures	<i>Activity Not Yet Due</i>	0%		Pending completion of 2.1.1 and 2.1.2
2.1.4	Contracting members of local communities for execution of activities regards to building and landscape restoration	<i>Activity Started - progress on track</i>	35%		This activity has been misinterpreted in its implementation and will be reviewed by MNRE to align with FP. Employment Plan needs to be completed with project funding. Comments raised at TAG-MNRE. Need follow-up with PMU and MNRE – also realign the SROS engagement within project activities. STA engaged by PMU to draft Local community Involvement and Employment – issue is now being addressed.

Activity 2.2 Implement ecosystem responses upstream for decreased flows during extreme weather events					
Status at end of Q2 2020		Progress (%) Q4 2019	Progress (%) Q2 2020	Mid-Target (2020)	End-Target (2023)
Activity Started -progress delayed		21%	39%	78%	100%
Input/Milestones		Status at end of Q2 2020	Progress (%) Q2 2020	Flag	Comments/Issues identified
2.2.1	Determining the best protection options for flood management activities from ridge-to-reef	<i>Activity Started - progress delayed</i>	52%		Ground-truthing for biodiversity doesn't align as an output to reach project objectives for this activity. This was raised in TAG-MNRE and should be reviewed. Suggest to revise Operational Manual for component 2.2 before going ahead with RapBio. Most of required information is already provided through ADB Environmental Impact Assessment for Alaoa reservoir conducted by EPC (refer to draft EIA) and GIS mapping for the



				entire watershed. On-going work not aligned with GCF FP and need to be integrated in Operational Manual review with MNRE. As a result ,the Ground-truthing call for proposals for a Rapid Baseline Ecological Survey has been put on hold.	
2.2.2	Demarcation process of one area within the Vaisigano catchment as a no development zone and restricted zone.	Activity Started - progress delayed	10%		This activity requires a zoning plan to be completed. Should be extracted from IWMP for Vaisigano. This was raised in TAG-MNRE in June. Current demarcation is on the field with one “no development zone” demarcated of Govt land 71 acres. No demarcation mapping of the two zones have been made available.
2.2.3	Follow development consent (DC) process for demarcation	Activity Not Yet Due	0%		Pending completion of Activity 2.2.2.

<i>Input/Milestones</i>		<i>Status at end of Q2 2020</i>	<i>Progress (%) Q2 2020</i>	<i>Flag</i>	<i>Comments/Issues identified</i>
2.2.4	Develop a community–based adaptation strategy for ecosystem-based alternative for income generating.	<i>Activity Started - progress delayed</i>	42%		Issue of alignment with FP on integration of trees and agro-forestry practices in income-generating activities. This is an FAA requirement for due diligence. Need to review criteria for selection in Operational Plan. These have been reviewed but final changes have not been endorsed and reviewed by PMU. Also need a disaggregation of types of income-generating activities.
2.2.4.1	Ecosystem-based Alternative income-generating activities (CSSP)	<i>Activity Started - progress delayed</i>			Major delays that are not following the Operational Manual for this activity as submitted to GCF. CSSP technical capacity has now been reinforced with three staff. 2 nd Call for proposals was launched in July with detailed programme of local consultations. Potential issue of alignment of selected EbAEDP activities with FP and FAA requirement to comply with agro-forestry and trees in landscape. Need a review of criteria for alignment and impact on Operation Manual review. Raised at TAG-MNRE in June. 2 nd



				Call for proposals was launched in July with detailed programme of local consultations. No update on contracts awarded from 1 st Call, nor monitoring report on implementation of businesses. Need additional info.
2.2.4.2 Payment for Ecosystem Services	Activity Started - progress delayed			Good progress on contract with Live and Learn. Inception Report completed, and was reviewed. Important activity for the paradigm shift criteria for GCF. Draft PES Options and Recommendations report, including workshop was completed in July/Aug. STA provided comments to PMU – only one tasks not fully completed for the report in regards to points for Samoa NDCs review to UNFCCC.

Input/Milestones		Status at end of Q2 2020	Progress (%) Q2 2020	Flag	Comments/Issues identified
2.2.5	Train members of local populations on these alternatives activities and resources for business incubation	Activity Started - progress delayed	45%		SBH conducted group trainings from 11 th – 19 th August to provide assistance to all potential applicants. Applications forms for the final call will be closed on 4 th September. SBH indicated additional technical support was needed by CEO during TAG-MNRE in June (follow-up required) This will require further TAG and STA input refer to comments in 2.2.4.1 above.
2.2.6	Provision of cash-for-work option for flood related catchment rehabilitation	Activity Started - progress delayed	15%		Although work is progressing – planning and execution of this activity appears limited to existing sites without having a baseline. MNRE/WRD provided a better update on these issues at raised in TAG-MNRE in June and this activity is currently being reviewed by MNRE. Main issue is both alignment with



					Operational Manual (being reviewed) and also with FP in terms of other landscape rehabilitation work.
Activity 2.3 Construction upgrade of Lelata Bridge to accommodate increase flood waters					
Status at end of Q2 2020	Progress (%) Q4 2019	Progress (%) Q1 2020	Mid-Target (2020)	End-Target (2023)	
Activity Started -progress on track	42%	43%	60%	100%	
Input/Milestones		Status at end of Q2 2020	Progress (%) Q1 2020	Flag	Comments/Issues identified
2.3.1 Review of current design of Lelata Bridge		Activity Started - progress delayed	95%		Discussed in I-TAG in June. Final upgraded design almost completed. UNDP provided due diligence - comments where addressed by BECA – final design and tender documents were approved by LTA. Final negotiations on land acquisition were completed with consent forms from families affected. ESIA/PEAR provide by BECA.
2.3.2 Construction of Lelata bridge according to upgraded design (to maintain design capacity of channel works)		Activity Not Yet Due	0%		Call for tender for the construction of the Lelata bridge is now advertised – award of contract and works expected to start in Q4. UNDP due diligence on documents and GCF review are pending.
Activity 2.4 Extension of floodwalls at Lelata and Leone bridges to prevent damage during extreme events					
Status at end of Q2 2020	Progress (%) Q4 2019	Progress (%) Q2 2020	Mid-Target (2020)	End-Target (2023)	
Activity Started -progress delayed	2%	28%	43.75%	100%	
Input/Milestones		Status at end of Q2 2020	Progress (%) Q2 2020	Flag	Comments/Issues identified



2.4.1	Review of current design of floodwalls adjacent to both bridges to align with the designs of the new bridges	Activity Started - progress delayed	15%		Progress should be 40% due to TGA Investigation Report. This is aligned with 2.1.1 Output. Meeting was held in July between MWTI and LTA to coordinate designs of river-walls and Lelata bridge, as well as proposed drainage, as well as drainage design by Stantec NZ in Output 3.
2.4.2	Construction of floodwall extensions at both Leone and Lelata bridges	Activity Not Yet Due	15%		This was reported in the APR 2018 as completed. Construction of priority works to protect vulnerable infrastructure (hydroelectric penstock in Segment 2) and wall extension for the Leone bridge. Progress is being reviewed but engineering assessment will be required to align with Segment 2 and 3 new designs. This was undertaken in the TGA investigation report and new designs.
Activity 3.1 Develop a climate resilient Stormwater Master Plan					
Status at end of Q2 2020		Progress (%) Q4 2019	Progress (%) Q2 2020	Mid-Target (2020)	End-Target (2023)
Activity Started -progress on track		47%	72%	70%	100%
Input/Milestones		Status at end of Q2 2020	Progress (%) Q2 2020	Flag	Comments/Issues identified
3.1.1	Review the current drainage systems existent in the Vaisigano River floodplain	Activity Started - progress on track	93%		Very good progress on Stantec NZ contract. Agree to redesign of site 2 and revised variation to contract needed. Design completion Report finalized for sites 2-4, 8-10. Discussions with Stantec NZ on-going to review and finalize designs for additional drainage sites (sites 11-20). Supervision of construction on going for sites 2-4, 8-10. Stantec NZ have integrated BMT study in their final designs.
3.1.2	Identification of specific design options for current hazard spots for flood proofing	Completed	100%		Activities integrated in 3.1.1. Completed in Q1-2020
3.1.3	Consultation process for selection of priority areas to be upgraded.	Activity Started - progress on track	50%		Activities integrated in 3.2.1.



Input/Milestones		Status at end of Q2 2020	Progress (%) Q2 2020	Flag	Comments/Issues identified
3.1.4	Elaborate a multi-year climate resilient Stormwater Masterplan for the Vaisigano River floodplain	Activity Started - progress on track	10%		Pending completion of final designs and consultations on priority hazard sites in 3.1.1 and 3.2.1.
3.1.5	Capacity building of the relevant stakeholder agencies with regards to implementation of masterplan.	Activity Not Yet Due	0%		Pending completion of Stormwater Master Plan in 3.1.4.
Activity 3.2 Upgrade drainage systems and outfalls in hazard areas to accommodate flooding events					
Status at end of Q2 2020		Progress (%) Q4 2019	Progress (%) Q2 2020	Mid-Target (2020)	End-Target (2023)
Activity Started -ahead of schedule		6.7%	44%	78.2%	100%
Input/Milestones		Status at end of Q2 2020	Progress (%) Q2 2020	Flag	Comments/Issues identified
3.2.1	Assessment and design of the priority drainage upgrades and critical hazard areas with regards to needed upgrades	Activity Started - ahead of schedule	60%		Assessment and Design of needed upgrades for additional critical hazard sites 11 to 20 were completed. Contingency Request made by UNDP for additional Stantec NZ supervision work on 4 sites. Pending final official reply from GCF.
3.2.2	Implementation of priority drainage upgrades	Activity Started - progress on track	40%		Contract variation issues with Stantec NZ for approval by Board has been resolved. Construction on-going and for sites 4 and 8 call for bidders has been advertised. As built sites 5-7 completed by Stantec NZ. Evaluation report for construction sites 2, 3 and 9 awarded to King Construction.
3.2.3	Integration of upgrades in the Master Plan (Activity 3.1)	Activity Started - progress on track	32%		ESIA for the drainage work was completed on 16 th July. Final draft submitted to UNDP for due diligence. Draft workplan and budget has been prepared and will be submitted for approval while awaiting completion of 3.2.2 above with as built final data.



PART B: GCF-VCP Project Documents' Assessment - Documentation of Issues, Discrepancies and Impact on Implementation by Ministry of Finance (MoF)/GCF Project Management Unit (GCF-PMU) and Implementing Agencies (IA), 2 September 2020 for Mid Term Review (MTR)

The following is adapted from a specific report entitled “*Consolidated GCF-VCP Documents Assessment by the Government Agencies*” compiled by the GCF-PMU. This outlines the implementation challenges faced by the GCF-VCP and all its implementing partners since Inception due to the discrepancies, inconsistencies and non-alignment of the key documents of the project in addition to the design issues of the Project. Some IE commentary and potential action is now proposed based on that document produced.

a) GCF FUNDING PROPOSAL – Version 1.1 (Date of submission 2nd November 2016)

Section	Issue Identified	Discrepancy	Impact on Implementation	PMU Comment Raised	IE Response
C – Detailed Project/Programme Description – Activity 1.1 Strengthen capacities (Para.50) – Page 17	The activity has three sub-activities for Feasibility Studies in the project narrative but four specific inputs in the Results Monitoring & Reporting Framework (RMRF)-Section H.	In section H – RMRF (Page 66) – there are four feasibility studies/reviews inputs including Central Cross-island Road (CCCI) Feasibility Study	Project team used the RMRF & VCP Logical Framework in Monitoring and Evaluation Plan (MEP) as guidance and included CCCI as a fourth feasibility study	Accept slight change in scope. Include CCCI as fourth FS under GCF-VCP based on RMRF. Activity direction changed relative to the RMRF description- completing designs of CCIR as FS completed under World Bank funding prior to approval of GCF-VCP.	Agreed – a minimal change but correct to identify and update.
C – Detailed Project/Programme Description – Activity 1.2 Establish health surveillance system (Para.56) – Page 19.	This activity is dependent on EWS coverage for flooding in Activity 1.3. Expend EWS coverage for flooding.	In section H – RMRF (Page 66) – Sub-activity 1.2.1 Include flood-related info in CLEWS messaging system and is linked to Activity 1.3	MoH Project team interpret this Activity as developing a Health-CLEWS (refer to APR 2019) and started training activities ahead of flooding being included in CLEWS.	Acknowledge linkage of HCLEWS in Activity 1.2 with Activity 1.3. H-CLEWS is a tool and part of Health Surveillance to be applied to inform the public and health sector stakeholders. Trainings conducted are not just for HCLEWS but also designed for enhancing capacity of community and health sectors practitioners in prevention and response to flood-related health issues. H-CLEWS objective is to forecast the impacts of climatic parameters (i.e. flood, heavy rainfall) on the health of the target population based on past and current trends. Although there are caveats, these are to be minimized to the extent possible based on data collected, analysed and input into the system. Activity 1.2 is not totally dependent on Activity 1.3 which focused on developing an actual integrated warning system that is operationalized in real time based on monitoring thresholds. Activity 1.2 focuses on all aspects of health surveillance in terms of monitoring, prevention, preparedness and response. Although it is related to the EWS in Activity 1.3 it is not dependent on it and can be executed independently.	The PMU is correct to request MoH, to address this issue by specifically including flood-borne diseases to align better with the GCF-VCPs intended outcomes. So far this has not been achieved. See Section 3.3.1 of this IE.



C – Detailed Project/Programme Description – Activity 1.3 Expand EWS coverage for flooding (Para.60) – Page 19.	This activity has two sub-activities in the project narrative but three specific inputs in RMRF.	In section H – RMRF (Pages 66-67) – there are three inputs with Sub-activity 1.3.2 Integration of flooding in EWS split to cover increase awareness with “at-risk” populations.	Project team used the RMRF as guidance and 1.3.3 is reported separately. No impact on delivery.	No change	Agreed
C – Detailed Project/Programme Description – Activity 1.4 Conduct awareness raising campaigns on resilience (Para.64-65) – Page 20.	This activity has three sub-activities in the project narrative but four specific inputs in RMRF. Two of them not being sub-activities but wrongly input into the RMRF.	In section H – RMRF (Pages 67) – there are four Sub-activities. Two of them, MOU with SUNGO and MOU with builders’ associations – are not sub-activities in the narrative but only means of achieving them.	Technically – achieving the MOUs should be considered the target for achievement. The RMRF is incorrectly drafted and one important sub-activity left out of the project RMRF.	Change or improve wording of the two sub activities by focusing on objective/ result to be achieved following the signing of MoUs with relevant partners	This is not a result based indicator and so this should be changed to be more outcome focused (i.e.: what the MoU intends to offer, not just the production of a MoU). The PMU and UNDP now need to determine whether the activity of setting up fines and enforcing the need for a regulation is more important that just setting up a Builders Association and have an associated Registration database (especially if that is not enforceable). See Section 3.3.1 of this IE.
C – Detailed Project/Programme Description – Activity 1.4 Conduct awareness raising campaigns on resilience (Para.65b) – Page 20.	In the narrative, the signing of MOU with builders’ associations on promoting flood-resilient buildings assumes such Associations exist in Samoa which is not the case during design of the project.	There are no existing builders’ association in Samoa to sign an MOU with the GCF-VCP project and the reason for insertion in the FP document is unknown.	Project team interpreted this sub-activity as providing support by Government in developing the legal means for private sector to establish such an association and spent resources doing so without a guaranteed outcome.	Process driven result which IA/MWTI is establishing opportunity/ environment for private sector engagement through development of policy to enable the engagement of builders/ contractors through registration under the Policy which will form a builder/contractors database.	
H – Results Monitoring and Reporting – H.1 Logic Framework – H.1.1 Paradigm Shift Objectives and Impacts at Fund level – Page 64	Fund-level impact 3.1 is the number of physical assets made more resilient to climate variability but no target number is specified in Final target.	The final target is in narrative and only refers to three physical assets – (1) Channelization of segment 2, 3 and 4; (2) Construction upgrade of Lelata bridge and (3) Extension of floodwalls at Lelata and Leone bridges. Additional project physical assets also include priority drainage sites.	GCF has queried the APR2019 reporting for not having a target number of assets in the RMRF. AE suggested that this particular target should be independently reviewed as part of the MTR so it can be reported on from APR2020.	Final target to be reviewed/ confirmed to include additional physical assets - priority drainage sites, model houses, extension of Segment 2- Aggies river-wall, Penstock wall, Apia waterfront drainage	See response in Table 3.1 of this IE. Also, whilst the no. of assets (19) has been made more resilient, but this quantifiable figure may need to be reviewed again by the PMU in line with MWTI and LTA expectations to ensure it is achievable

b) GCF FUNDED ACTIVITY AGREEMENT – UNDP/GCF (Date of signing 9th June 2017)

Section	Issue Identified	Discrepancy	Impact on Implementation	PMU Comment Raised	IE Response
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Clause 8. Conditions Precedent to Disbursement - 8.01 (b) Conditions to second disbursement – Page 6	No issues were identified within the FAA as signed – the requirement by the AE to develop and have approved an Operational Manual (OM) with detailed guidelines and procedures for implementation of Activity 2.2 had an impact on alignment of activity with FP and reporting.	No discrepancy were assessed within the FAA as signed.	Project team now follows the OM approved by GCF in November 2018. The OM has refocused on three specific sub-activities (Payment for Ecosystem Services, Ecosystem-based Income generating and Cash-for-work) and this doesn't fully align with the RMRF sub-activities reporting	Note the inconsistencies and confirm current repackaging. Activities at third level changed and reflected in AWPB which is realigned with the RMRF based on virtual meetings with GCF/ UNDP on GCF queries on the 2018 APR. Realignment of Activity 2.2 with FP and RMRF reflected in 2019 APR.	On-going work not aligned with GCF FP and need to be integrated in Operational Manual review with MNRE. Agree that the realignment process is required to reflect the APR 2019. Update to the OM is recommended in this IE (see Section 3.3.1) to include disaggregated types of income-generating activities if possible.
Clause 9. Additional Representations, Warranties and Covenants of the AE – 9.02 (b) (iii) Selection criteria to be delivered to the Fund – Page 7.	No issues were identified within the FAA as signed but in relation to criteria – it specifies that agricultural activities must consist of proper agroforestry systems, which involves planting agricultural crops together with tree crops.	In the Funding proposal under Activity 2.2, there is no reference to “proper agroforestry systems” in the implementation of the project, thus a discrepancy in the FAA conditions with the FP narrative.	Implementing Agency MNRE with CSSP have focused on green initiatives but not clear if implementation of agro-projects focused on agro-forestry or trees and crops – the project team follows the Operational Manual and the FP as approved by GCF – not the FAA. CSSP Criteria were revised following review of first call for proposal.	Alignment of Activity 2.2 sub-activities with FP and RMRF, for consistency across the GCF-VCP implementation.	Both the MEF and Operational Manual both do not place specific mention of agro-forestry within EbAED activities. Such activities are acknowledged to require a longer programmatic duration than the remaining project/monitoring period (2-3 years) in order to grow, generate income and hence demonstrate results. IE agrees to better align activities for consistency.
Schedule 2. Budget and Disbursement Plan A – Budget: Cost per component/ Breakdown – Page 15	The FAA final budget includes a contingency for the GCF budget, but the FP budget has no specified contingency and total budget does not match FP	Total Budgets between FP (\$65.718m) and FAA (\$65.587m) are not the same – difference of USD\$130,636.	Created a financial management issue from the onset of the project.	Consistency of basis for use in monitoring, implementation, and reporting – Confirmation required to exclude reference to Contingency allocation/line in total MYB as its not assured base on recent communications with GCF on Request for Contingency Funds submitted in February 2020	UNDP (in partnership with the MoF) need to confirm whether the total assured GCF funding should (or should not) exclude contingency allocation. Confirmation is also needed that the Funding Proposal is the version that is associated with the FAA.
Schedule 2. Budget and Disbursement Plan A – Budget: Cost per component/ Breakdown Note 1D – EWS Technology (addition of 5 nodes) - Page 16	The FAA budget refers to 5 sirens per site for 5 sites for a total of 25 siren units.	The number and budget for sirens is different with the FP narrative where 5 new sirens to be integrated in the national emergency siren network.	Project team had to revise the tender's call to align with a reduced budget, so that only 1 siren will be installed on each of the 5 sites.	Huge cost implications due to discrepancies in three core project documents. Realignment to be confirmed and acknowledged impact on implementation and objective of procuring and installation of sirens with cost variations based on three rounds of procurement.	The IE deems this rejection (from GCF to procure more than 5 sirens) a missed opportunity as more sirens could have been purchased to avoid future administrative burdens, though as only 5 sirens were stated in the Project Document, only 5 sirens



					were allowed to be purchased. No new request for change can be made now.
Schedule 2. Budget and Disbursement Plan A – Budget: Cost per component/ Breakdown Note 3C – Design and supervision drainages 9 sites - Page 18	The FAA budget refers to costs of design, supervision and construction of 9 priority sites as the only drainage physical assets to be covered/budgeted by the project.	This doesn't align with the FP activities and physical assets to be built as per C-Detailed Project Description Activity 3.2 Upgrade drainage systems and outfalls in hazard areas to accommodate flooding events. Para. 97 stipulates 9 specific priority upgrades, but Para.98 states that the project will also upgrade a number of outfall locations from a hazard area at the northern edge of the CBD – but there is no number nor budget for this set of additional drainage sites	Project team reverted to identify and additional 4 priority hazard sites in that part of the CBD and has made a Contingency fund request to GCF for design and supervision while looking at alternative sources of funding for construction.	Acknowledge discrepancies in budget and recommendation to prioritise these activities for implementation if savings are identified towards last year of project	Agreed
Schedule 2. Budget and Disbursement Plan A Note 2D – Construction of Flood Protection Measures along Segment 2 and 3 (based on the cost of construction of Segment 1 @5,740,500)	The FAA refers to costs based on the design of Segment 1(based on a 1 in 20 ARI)	The allocated costs do not take into account the possible changes with the revised designs as per Activity 2.1.1 Review proposed designs for channelization of Segment 2, 3, and 4.	The allocated budget does not align with actual projected costs from revised designs (based on 1 in 50 ARI after revised modelling and analysis)	Important consideration to change/confirm the design scope of the channelization work to 1 in 50 ARI instead of 1 in 20 ARI, as this is same as doing nothing. Additionally, impact on budget-Allow flexibility in % reallocation between outputs and activities to be more than 10% upon provision of clear justification	IE agrees with these suggestions (see Table 3.1 of this IE. Also, it is important to demonstrate to GCF that the GCF-VCP has been adaptive in its approach, especially following the experience from Cyclone Gita (2018) which was a 1:50 year event).

c) GCF-UNDP-GoS – Project Document (Date of signing 21st July 2017)

Table of Content	Issue Identified	Discrepancy	Impact on Implementation	PMU Comment Raised	IE Response
IV. Results and Partnerships –	Similar to issue in FP - The activity has three sub-activities for Feasibility Studies in the project	In FP section H – RMRF (Page 66) – there are four feasibility studies/reviews inputs –	Project team used the RMRF as guidance and included CCCI as a fourth feasibility study.	Confirm key source documents to use such as the RMRF and FP for consistency and avoiding confusion.	IE recommends that UNDP formally confirm which is the key source to use. At present where discrepancies exist amongst the 3



i) Expected Results - Activity 1.1 Strengthen capacities – Page 10.	document narrative but four End of Project targets in Section VI. Project Results Framework on page 25.	including CCCI Feasibility Study. Budget is also allocated for CCCI in Budget note 1D page 46.			key documents (the FP approved by the Board, the FAA and associated FP, and the Project Document), the FAA and associated FP take precedence as the legally binding document – this document has been consistently referred to by UNDP in its messages to GoS.
IV. Results and Partnerships – i) Expected Results - Activity 1.2 Health Surveillance System – Page 10.	Same as for FP issue. This activity is dependent on EWS coverage for flooding in Activity 1.3. Extend EWS coverage for flooding.	Sub-activity 1.2.1 Include flood related info in CLEWS messaging system and is linked to Activity 1.3 – integration of two activities	Project team interpreted this Activity as developing a Health-CLEWS (refer to APR 2019) and started activities ahead of flooding being included in CLEWS.	No change needed – Acknowledge integration of two activities under 1.2 and 1.3. H-CLEWS was identified separately by MoH as a component of the Health Surveillance System in the context of forecasting health-related issues spawning from flood events – No change needed	Agreed – no change required. See Section 3.3 of this IE for further clarification.
IV. Results and Partnerships – i) Expected Results - Activity 1.3 Expend EWS coverage for flooding – Page 11.	Same as for FP issue. This activity has two sub-activities in the project narrative but three specific inputs in RMRF of the FP.	In FP section H – RMRF (Pages 66-67) – there are three inputs with Sub-activity 1.3.2 Integration of flooding in EWS split to cover increase awareness with at risk populations.	Project team used the RMRF as guidance and 1.3.3 is reported separately. No impact on delivery.	No change	Agreed
IV. Results and Partnerships – i) Expected Results - Activity 1.4 Expend EWS coverage for flooding – Page 11.	This activity is accurately reported in the Project Document based on the FP, but it is not included in the RMRF of the FP.	In FP section H – RMRF (Pages 67). This sub-activity for designing of the resilience campaign to be implemented by NGOs is not part of the RMRF.	Project team interpreted this missing input/sub-activity and produced a Tree management DRM Policy – not fully addressing the issue and output expected for design of awareness campaigns. Sub-activity need reviewing.	Confirm interpretation on output expected and focus of activity.	APR 2020 should consider the response presented in Table 3.1 of this IE.
VI. Project Results Framework – Fund level Impact 1.1 – Page 24.	Same issue as Funding proposal. Fund-level impact 1.1 in the table is the number of physical assets made more resilient to climate variability but no target number is specified in Final target.	The final target is in narrative and only refers to three physical assets – (1) Channelization of segment 2, 3 and 4; (2) Construction upgrade of Lelata bridge and (3) Extension of floodwalls at Lelata and Leone bridges. Additional project physical	GCF has queried the APR2019 reporting for not having a target number of assets in the RBF. AE suggested that this particular target should be independently reviewed as part of the MTR so it can be reported on from APR2020	Confirm Final Target to include additional physical assets - priority drainage sites, model houses, extension of Segment 2- Aggies river-wall, Penstock wall, Apia waterfront drainage	



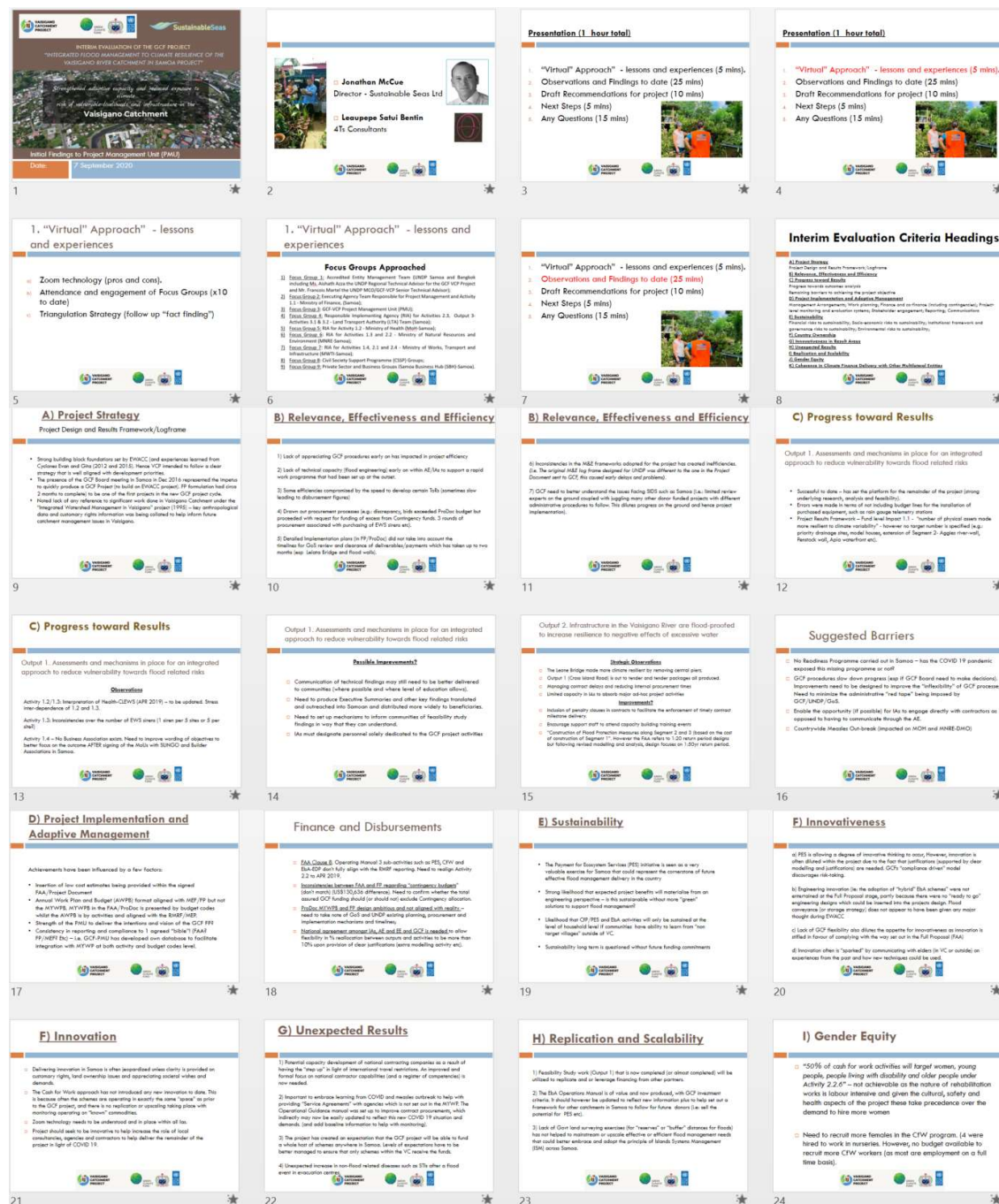
		assets also include priority drainage sites.			
X. Total Budget and Work Plan – Page 45	Same issue as the FAA – budget in the Project Document is similar table budget of FAA. It includes a contingency for the GCF budget, but the total budget does not match FP.	Total Budgets between FP (\$65.718m) and Project Document and FAA (\$65.587m) are not the same – difference of USD\$130,636	Created a financial management issue from the onset of the project.	Consistency of basis for monitoring, implementation, and reporting. Confirm total assured GCF funding to exclude Contingency allocation/ line in total MYB. Important for timely review of contingency funding requests and improve communications with MoF/EA through UNDP.	UNDP (in partnership with the MoF) need to confirm whether the total assured GCF funding should (or should not) exclude contingency allocation. Confirmation is also needed that the Funding Proposal is the version that is associated with the FAA
X. Total Budget and Workplan – page 46. Note 1D – EWS Technology (addition of 5 nodes)	Same issue as the FAA. The Project Document budget refers to 5 sirens per site for 5 sites for a total of 25 siren units	The number and budget for sirens is different with the Project Document narrative on page 11 where 5 new sirens to be integrated in the national emergency siren network.	Project team had to revise the Procurement and scope of tender to align with a reduced budget, so that only 1 siren will be installed on each of the 5 sites.	Tender specifications changed three times to align with details in MYWPB - Impact huge, drawn out procurement process due to discrepancy, bids exceeded Project Document budget but proceeded with request for funding of excess from Contingency funds. However objective will be achieved somewhat when relevant procurement is completed.	The IE deems this rejection (from GCF to procure more than 5 sirens) a missed opportunity as more sirens could have been purchased to avoid future administrative burdens, though as only 5 sirens were stated in the Project Document, only 5 sirens were allowed to be purchased. No new request for change can be made now.
X. Total Budget and Workplan – page 48. Note 3C – Design and supervision drainages 9 sites	Same issue as the FAA. Project Document budget refers to costs of design, supervision and construction of 9 priority sites as the only drainage physical assets to be covered/ budgeted by the project.	This doesn't align with the FP activities and physical assets to be built as per C-Detailed Project Description Activity 3.2 Upgrade drainage systems and outfalls in hazard areas to accommodate flooding events. Para. 97 stipulates 9 specific priority upgrades, but Para.98 states that the project will also upgrade number of outfall locations from a hazard area at the northern edge of the CBD – but there is no number nor budget for this set of additional drainage sites.	Project team reverted to identify additional 4 priority hazard sites in that part of the CBD and has made a Contingency fund request to GCF for design and supervision while looking at alternative source of funding for construction	Change noted. Discrepancy identified as additional 4 sites are not exclusively upgrades of outlets (although one of the sites is basically just that). The Contingency request was based on change in scheduling of priority sites as identified by communities. Upgrade of outfalls included in the designs for priority sites in the additional sites, so there would be no separate activity for upgrading of outlets. Project Document budget correct.	No change required or subsequent action recommendation within this IE.
X. Total Budget and Workplan	The budget and work plan	The inconsistency of budget format against the project	This has caused confusion and debate among implementing	Annual Work Plan and Budget (AWPB) format	See response presented earlier within this table.



page 43 to page 49 – Budget and Work Plan format vs Budget Notes	format do not clearly map out the allocation of funding towards each activity as per the GCF-VCP Monitoring and Evaluation Plan (MEP) Annex 1-VCP Logical framework (page 22 to 26)	activity format have mislead or assume the allocation and treatment of funding towards each activity during implementation.	agencies over the allocation and interpretation of funding during early stage of implementation.	aligned with MEF/FP but not the MYWPB. MYWPB in the FAA/Project Document is presented by budget codes whilst the AWPB is by activities and aligned with the RMRF/MEP. GCF-PMU has developed own database to facilitate integration with MYWP at both activity and budget codes level.	
X. Total Budget and Workplan page 43 to page 49 – Budget and Work Plan format vs Budget Notes	The MYWPB timing do not coincide or align with the logical timing of procurement process of the government, e.g. page 43 activity under budget code 71400 (Contractual Services Individual – Budget note 1B and 2B) and Page 44 Budget Code 71400 (Contractual Services Individual – Budget note PM2). Same for most Outputs.	The timing of Budget and work plan guides the implementation and measures the delivery performance of the project. The budget spread based on the activities as identified and highlighted determines yearly financial delivery rate which year 1 and year 2 rating were both overstated which resulted in a poor financial performance.	This has an impact on the spread of tranches application which requires the project to utilize 70% in order to access the programmed tranches in the following year. This has also affected the likelihood of the project to demonstrate the need to apply for Contingency funds provision.	Acknowledge implementation challenges and changes to date reflecting reality on ground. Project Document MYWPB and FP design ambitious and not aligned with reality taking note of government and UNDP existing planning, procurement and Implementation mechanisms and timelines, in addition to ensuring the Implementation Plan takes also into account principles of good governance, accountability, sustainability, internal controls and quality assurances for the GCF-VCP are complied with prior to disbursements of payments.	See comments linked to Table 3.5 in Section 3.4.3.

ANNEX XIV. INITIAL FINDINGS PRESENTATION TO AE/EE AND PMU – 7 SEPT 2020

A complete set of PPT slides can be supplied upon request from the UNDP Samoa or the PMU whom were sent this presentation under separate cover on 9 September 2020.



Lessons Learned from GCF (since COVID 19 outbreak)

- "COVID-19 is already delaying GCF project timeframes. These delays may have ripple effects on the GCF's project pipeline for years to come."

^aProjects implemented in countries with a poor network connection and limited access to computers or mobile devices were more difficult to submit to the journal. Could IT situations



Draft Recommendations (2)

- Management Arrangement Recommendations

- [illegible]



32

- Thankyou ...
- Any Questions?
- [jonathan.meeve@vrijeuniversiteit.nl]



36

ANNEX XV SITE VISIT PHOTOS (SEPTEMBER 2020)

Soft Solution(s): Ecosystem responses upstream for decreased flows during extreme weather events (Activity 2.2)



EbA activities under CSSP: Mix cropping and replanting in upstream area of Magiagi



EbA activity downstream: Leufisa area



EbA activity: Cash for Work also related to 2million tree campaign



EbA activity: 2million tree planting campaign. Also touches on gender inclusive activities

Hard solution(s): Extension of floodwalls at Lelata & Leone bridge to prevent damage during extreme events; Upgrade of Lelata & Leone bridges to prevent damage during extreme events (Activities 2.3 & 2.4); Upgrade drainage systems & outfalls in hazard areas to accommodate flooding events (Activity 3.2)



View from Samasoni bridge to Leone bridge and planned location of Seg.2 floodwalls up to Lelata bridge



Drainage systems and outfalls in hazard areas upgraded to accommodate for flooding events

Photos: Courtesy of PMU and NC, September 2020

SAMOA

FP 037

GCF Integrated Flood Management to Enhance Climate Resilience of the Vaisiagno Catchment in Samoa

Final Interim Evaluation Report Reviewed and Cleared By:

UNDP MCO

Name: VERENA LINNEWERBER

Designation: DNR

Signature: V. Linnewerber Date: 9 October 2020

UNDP Regional Technical Advisor (Nature, Climate and Energy)

Name: Aishath Azza

Signature: A. Azza Date: 9 October 2020

UNDP Principal Technical Advisor, Climate Change Adaptation (Nature, Climate and Energy)

Name: Srilata Kammila

Signature: S. Kammila Date: 9 Oct 2020