



**UNITED NATIONS DEVELOPMENT PROGRAMME**

**JAPAN-CARIBBEAN CLIMATE CHANGE PARTNERSHIP**

**(J-CCCP)**

Final

**Mid Term Evaluation Report**

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The analysis and recommendations of this report do not necessarily reflect the opinions of UNDP, its Executive Board or of the Members of the United Nations. This publication only reflects the opinion of the author.

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## Abbreviations and Acronyms

AOP	Annual Operational Plan
APR-PIR	Annual Progress Report – Project Implementation Review
AWP	Annual Work Plan
CANARI	Caribbean Natural Resources Institute
CARDI	Caribbean Agricultural Research and Development Institute
CARICOM	Caribbean Community
CARPHA	Caribbean Public Health Agency
CBO	Community Based Organisations
CCCCC	Caribbean Community Climate Change Centre
CDEMA	Caribbean Disaster Emergency Management Agency
CIMH	Caribbean Institute for Meteorology and Hydrology
CO <sub>2</sub>	Carbon Dioxide
CPDCBS	Clarendon Parish Development Committee Benevolent Society
CSO	Community Service Organisation
CYEN	Caribbean Youth Environmental Network
EE	Energy Efficient / Energy Efficiency
GE	Green Economy
GEF	Global Environment Facility
GHG	Greenhouse Gases
GoJ	Government of Japan
GWh	Giga Watt hour
HACT	Harmonised Approach to Cash Transfers
Ja REEACH	Jamaica Rural Economy and Ecosystems Adapting to Climate Change
JICA	Japan International Cooperation Agency
kWh	Kilo Watt hour
LEDS	Low-Emission Development Strategy
M&E	Monitoring and Evaluation
MWh	Mega Watt hour
NAMAs	Nationally Appropriate Mitigation Actions
NAPs	National Adaptation Plans
NGO	Non-governmental organization
OECS	Organisation of Eastern Caribbean States
PMU	Project Management Unit
PPP	Public private partnership
PSC	Project Steering Committee
QPR	Quarterly Project Review
RE	Renewable Energy
RTA	Regional Technical Advisor
UNDP	United Nations Development Programme

UNDP RBLAC United Nations Development Programme Regional Bureau for Latin America and  
the Caribbean  
UNDP SRO United Nations Development Programme Sub- Regional Office  
UNFCCC RCC United Nations Framework Convention on Climate Change Regional  
Collaboration Centre  
UWI University of West Indies  
YCCC Youth Climate Change Conference

# Index

Acknowledgment .....	ii
Abbreviations and Acronyms .....	iii
Index .....	v
Executive Summary.....	1
1. Introduction .....	6
1.1 Evaluation Objective .....	6
1.2 Evaluation Methodology.....	7
1.2.1 Data collection methods .....	9
1.3 Structure of the MTR report .....	11
2. Project overview and development context.....	13
2.1 Project Start and Duration .....	13
2.2 Development Context.....	13
2.2.1 Problems that the project seeks to address .....	13
2.2.2 Immediate and development objectives of the J-CCCCP.....	15
2.2.3 Baseline indicators established.....	15
2.2.4 Main Stakeholders .....	17
2.2.5 Expected Results .....	17
3. Analysis of the situation with regard to the outcomes and development results .....	20
3.1 Relevance.....	20
3.2 Effectiveness .....	21
3.2.1 Project design.....	22
3.2.2 Project implementation .....	24
3.2.3 Project strategy.....	25
3.2.4 Progress towards the achievement of outcomes and development results .....	27
3.3 Efficiency.....	41
3.4 Sustainability.....	43
4. Other key findings.....	45
4.1 Management arrangements .....	45
4.2 Adaptive management.....	46
4.3 Partnership arrangements .....	48

4.4	Monitoring and Evaluation .....	49
4.5	Gender considerations.....	50
5.	Forward looking analysis and lessons learned.....	51
6.	Conclusions and Recommendations.....	54
6.1	Conclusions .....	54
6.2	Recommendations .....	58

#### Tables

Table 1	Ratings for Progress Towards Results .....	10
Table 2	Progress towards results matrix.....	28
Table 3	Synopsis on Dominica communications campaign .....	38
Table 4	Budget execution through Q3 2017 .....	41
Table 5	Actual expenditures through Q3 2017 + planned expenditures for Q4 2017.....	42
Table 6	Roles of UNDP offices.....	46
Table 7	MTR implementation ratings .....	54

#### Figures

Figure 1	Management Arrangements for the J-CCCP project .....	45
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#### Annexes

Annex I	Terms of Reference
Annex II	Evaluation Matrix
Annex III	Mission Interviews
Annex IV	Survey Questionnaires
Annex V	J-CCCP Stakeholders
Annex VI	J-CCCP Project Proposal Template for NGOs and CBOs
Annex VII	List of Pilot Project and their status

## Executive Summary

### Project Summary

The Japan-Caribbean Climate Change Partnership (J-CCCP) is a regional project designed to strengthen the capacity of Caribbean countries to invest in climate change mitigation and adaptation technologies, as prioritised in their Nationally Appropriate Mitigation Actions (NAMAs) and National Adaptation Plans (NAPs). The J-CCCP intervention aims to support the following eight Caribbean countries: Belize, Dominica, Grenada, Guyana, Jamaica, Saint Lucia, Saint Vincent and the Grenadines, and Suriname based on the achievement of the following outcomes:

- **Outcome 1:** NAMAs and NAPs to promote alternative low emission and climate resilient technologies that can support energy transformation and adaptation in economic sectors are formulated and institutionalised,
- **Outcome 2:** Selected mitigation and adaptation technologies transferred and adopted for low emission and climate resilient development in the Caribbean, and
- **Outcome 3:** Knowledge networks strengthened in Caribbean to foster South-South and North-South cooperation through sharing of experiences surrounding climate change, natural hazard risk and resilience.

The signing of a \$15 million dollar grant from the Government of Japan for the J-CCCP project to be implemented by United Nations Development Programme (UNDP) took place during the first Japan CARICOM Summit Meeting held in Trinidad on July 28, 2014 with the presence of Mr. Shinzo Abe, the Prime Minister of Japan, and the attendance of leaders from 14 CARICOM member states. The Project was officially launched on January 28, 2016 and is currently in its second year of implementation and is scheduled to terminate on December 31, 2018. The Project has experienced delays during the early phase of implementation and as a result the achievement of the planned outputs is behind schedule, albeit that momentum has improved substantially during the last quarters. Less than 50% of the outputs have been completed so far.

### Main Conclusions

The main conclusions from the MTR, highlighting the strengths, weaknesses and results of the J-CCCP initiative are as follows:

- **Conclusion 1. The implementation of the J-CCCP is rated as Moderately Satisfactory.**  
The overall rating of the J-CCCP project based on the evaluation of findings is rated as Moderately Satisfactory. The ratings based of the MTR based on the evaluation criteria are presented below:

Criterion	Summary Assessment	Rating <sup>1</sup>
1. Relevance	The J-CCCP initiative is highly aligned with Caribbean climate change policies and UNDP's new Strategic Plan (2014-2017) which recognises the potentially disastrous consequences that climate change is likely to have across the region as well	HS

<sup>1</sup> See **Error! Reference source not found.** for the meaning of each rating



	as with other donor funded projects related to climate change impact in the region	
<b>2. Effectiveness<sup>2</sup></b>		MS
<ul style="list-style-type: none"> <li><b>Project design</b></li> </ul>	The J-CCCP initiative benefits from a balanced project design that combines country-driven components implemented in accordance with the national context and responding to specific country needs with an overarching component designed to enhance South-South and North-South cooperation and explore the development of PPPs to promote technology transfer	HS
<ul style="list-style-type: none"> <li><b>Project implementation</b></li> </ul>	The implementation of the J-CCCP project has been professionally managed and administered by the PMU team and executed in a flexible and adaptive manner. However, at the beginning the project suffered important delays which resulted in the need to request a one year / no-cost extension of the project end date from December 31, 2017 to December 31, 2018	MS
<ul style="list-style-type: none"> <li><b>Project Strategy</b></li> </ul>	The proposed project strategy of bringing together policy makers, experts and representatives of communities to encourage policy innovation for climate change incubation and diffusion has proven to be more demanding than what has been expected albeit of being considered as an effective approach.	S
<ul style="list-style-type: none"> <li><b>Progress towards the achievement of outcomes and development results</b></li> </ul>	<p>The progress towards the achievement of outcomes and development results has been assessed in terms of the project's success in producing the programmed outputs and in achieving progress indicators / milestones as per the Project Results Framework Project Objective and outcomes are rated as follows:</p> <ul style="list-style-type: none"> <li>Outcome 1</li> <li>Outcome 2</li> <li>Outcome 3</li> <li>Overall rating for progress towards the achievement of outputs and development results</li> </ul>	S MS MS MS
<ul style="list-style-type: none"> <li><b>Efficiency</b></li> </ul>	<p>The challenges of working with several sovereign governments and the low project formulation capacities of project proponents have been underestimated. Budget execution and delivery of outputs have been low and total funds disbursed as of September 2017 only account for 31% of the total funds that have been made available.</p> <p>The project seems to have adequate financial resources to undertake the planned activities, however given the high volume of planned activities and dependency on third parties in each of the countries, the timeline to achieve them may have to be extended to guarantee that the planned outcomes are fully achieved.</p>	MS

<sup>22</sup> All bullet items from below are under "effectiveness"

<ul style="list-style-type: none"> <li>• <b>Sustainability</b></li> </ul>	The long term financial sustainability of the proposed outcomes and results is relatively uncertain and depends on the success of the activities that have been programmed under each of the components and the establishment an enabling framework to sustain the intended results before the project end date.	ML
<ul style="list-style-type: none"> <li>• <b>Management arrangements</b></li> </ul>	The quality of the management arrangements are considered adequate. Responsibilities and reporting lines are clear and decision making has been transparent and undertaken in a timely manner.	HS
<ul style="list-style-type: none"> <li>• <b>Adaptive management</b></li> </ul>	The PMU has been effective in performing adaptive management to correct some of the shortcomings of the Project Results Framework	S
<ul style="list-style-type: none"> <li>• <b>Partnership arrangements</b></li> </ul>	The J-CCCP has been proactive and effective in taking advantages to develop strategic partnerships. However, virtually no progress has been made in exploring opportunities to develop links with the Japanese private sector in order to increase awareness of climate resilient innovative technology options for risk mitigation and adaptation suitable for the local contexts.	MS
<ul style="list-style-type: none"> <li>• <b>Monitoring and Evaluation</b></li> </ul>	The project has a comprehensive M&E plan in place with its corresponding budget and the results of the M&E are highlighted in the Quarterly Progress Reports.	S

- **Conclusion 2: Project design is too ambitious in its activities and targets** in relation to the amount of time and resources that have been allocated and given the complexities associated with the implementation of regional programmes.
- **Conclusion 3: Developing linkages with Japanese private sector is the most innovative element of project design.** The Evaluator considers this is as one of the main causal pathways from outputs to direct outcomes and as such should have been implemented as early on as possible with the view of exploring the potential of incorporating innovative technologies in the formulation of demonstration projects.
- **Conclusion 4: M&E has been negatively affected by shortcomings in the Project Results Framework** The Project Results Framework has several main shortcomings that have made M&E activities more difficult and as a result it should be streamlined and made more 'results-oriented' with clearer indicators and end of project targets<sup>3</sup>.
- **Conclusion 5: Project implementation and fund disbursement are behind schedule.** The project is behind schedule compared to the timeline that was planned originally. Cumulative fund disbursements through the end of the third quarter of 2017 have reached 31 % of the total available funds and the overall progress to date in the implementation of project activities is assessed to be between 30 to 35%.

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<sup>3</sup> This has been identified as a challenge by PMU and they are steps being taken to address it

## Recommendations

- **Recommendation 1: Expectations of project achievement and impact needs to be adjusted.** There is a need to take stock of what can be achieved realistically within the remaining budget and time frame and proceed to adjust the work plan and remaining budget, accordingly. The PMU has already identified the need for this and plans to achieve this after the Mid-term Evaluation based on recommendations outlined
- **Recommendation 2: Streamline the Project Results Framework to make it more results oriented with clear indicators and end of project targets.** An overall revision of the rest of the indicators and end of project targets needs to be undertaken to reflect the changes to the work plan that would result as per Recommendation 1. This is something that the PMU has already identified and plans to do based on the recommendations for the MTR.
- **Recommendation 3: Look for ways to accelerate the delivery of the remaining outputs.** Different strategies <sup>4</sup>may be needed to move the implementation of NAMAs and NAPs in each of the countries and the same applies to finding ways to ensure that the implementation of demonstration projects is achieved before the end of the project.
- **Recommendation 4. Speed up all activities related to the Japan-Caribbean transfer of technology.** Place special emphasis in ensuring the prompt establishment of linkages with the Japanese private sector to identify climate-smart technological options that could be made available for implementation in the Caribbean countries, such as the study tour that is planned for April 2018.
- **Recommendation 5. Request a 6-month extension.** In view of the extended start-up delays and since there is still a considerable amount of funds to be disbursed, request a 6-month extension to ensure that the maximum number of outputs are successfully delivered before the end of the project. Based on progress to date, the Evaluator considers that a 6 month extension should suffice to ensure that most if not all of the planned activities are completed. Remaining funds allocated to project management activities may not be sufficient to allow for a longer extension.
- **Recommendation 6. Develop and if possible begin implementation of strategies to secure additional funding sources in order to strengthen the long-term sustainability of the intervention.** Develop and if possible begin implementing strategies for securing additional funding to allow for the implementation of NAMAs and NAPs once their formulation is completed and / or to ensure the long-term sustainability of those pilot projects that may not be completed before the end of the intervention and / or that may require a certain level of financial support to undertake operation and maintenance activities over the long term.

## Lessons Learned

Based on the results of the Mid Term Review (MTR), the following key lessons have been identified

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<sup>4</sup> Each country is likely to require a different approach to accelerate the delivery of the pending activities based on their specific needs, remaining barriers and availability of resources.

and are discussed in more detail in the main body of the report:

- **Lesson 1:** Including output indicators and their corresponding mid-term targets in the Project Results framework is key<sup>5</sup>.
- **Lesson 2:** Under estimation of the technical capacities and response times of the public and private sectors across the Caribbean countries has been one of the causes for implementation delays
- **Lesson 3:** Lack of an analysis of the intended causality pathway of the proposed interventions has impacted negatively in the implementation of the project activities.
- **Lesson 4:** Adaptive management is key to ensure success of regional projects
- **Lesson 5:** The template for pilot project proposals prove to be too complex for the project formulation capacities of the respondents and caused critical delays in the approval process.
- **Lesson 6:** Project design has proven to be too ambitious in its activities and targets in relation to the amount of time and financial resources that has been allocated

For a detailed explanation of each of the above-mentioned lessons please refer to section 5. Forward looking analysis and lessons learned

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<sup>5</sup> It should be noted that these are currently being monitored under a separate framework but can be amalgamated

# 1. Introduction

In September 2017, United Nations Development Program (UNDP) Barbados and OECS country office contracted Alfredo Caprile<sup>6</sup>, as independent consultant, to perform the Mid Term Review (MTR) of the Project entitled: **“Japan Caribbean Climate Change Partnership (J-CCCP)”**. The Project was officially launched on January 28, 2016, it is currently in its second year of implementation and its end date is set for December 31, 2018.

The J-CCCP is a regional project designed to strengthen the capacity of countries in the Caribbean to invest in climate change mitigation and adaptation technologies, as prioritised in their Nationally Appropriate Mitigation Actions (NAMAs) and National Adaptation Plans (NAPs). These technologies will help reduce the dependence on fossil fuel imports, setting the region on a low-emission development path; as well as, improve the region’s ability to respond to climate risks and opportunities in the long-run, through resilient development approaches that go beyond disaster response to extreme events.

The J-CCCP project aims to support the following eight Caribbean countries: Belize, Dominica, Grenada, Guyana, Jamaica, Saint Lucia, St Vincent and the Grenadines, and Suriname based on the achievement of the following three outcomes:

- **Outcome 1:** NAMAs and NAPs to promote alternative low emission and climate resilient technologies that can support energy transformation and adaptation in economic sectors are formulated and institutionalised,
- **Outcome 2:** Selected mitigation and adaptation technologies transferred and adopted for low emission and climate resilient development in the Caribbean, and
- **Outcome 3:** Knowledge networks strengthened in Caribbean to foster South-South and North-South cooperation through sharing of experiences surrounding climate change, natural hazard risk and resilience.

The project has been funded by the Government of Japan and is implemented directly by UNDP. The UNDP Barbados and OECS Country Office serves as lead office for the project, where the Project Management Unit (PMU) sits. The Barbados Sub Regional Office (SRO) is responsible for implementing Outcomes 1 and 3 of the project and Outcome 2 related to OECS countries (Dominica, Grenada, Saint Lucia and Saint Vincent and the Grenadines) under outcome 2. UNDP other country offices in Belize, Guyana, Jamaica and Suriname are responsible for implementing Outcome 2 in their respective countries. Outcome 2 currently has thirty-six (36) pilot projects in the pipeline in all eight countries and related to all six (6) outputs. UNDP Panama Regional Hub is providing a technical advisory and oversight role to the PMU.

## 1.1 Evaluation Objective

This report presents the findings of the Mid Term Review (MTR) of the J-CCCP project. The specific objectives of the MTR are:

- Assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document (PRODOC),

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<sup>6</sup> From here onwards refer to as the “Evaluator”.

- Examine early signs of project success or failure with the goal of recommending corrective actions to achieve stated outcomes, and
- Review the project strategy and project risks to sustainability.

More specifically the Mid Term Evaluation will seek to

- Review the status of the outcomes and the key factors that affect (both positive and negative) to the outcomes;
- Review and assess the project’s partnerships with stakeholders - governments, civil society, other international organisations and provide recommendations for how these partnerships can be strengthened;
- Review and assess the project’s interventions as it relates to the Project Document and Quality Assurance Assessment; UNDP Barbados and OECS Evaluation Plan; UNDP Strategic Plan; UNDP Gender Strategy and the UNDP Youth Strategy, and provide recommendations for the future direction interventions/activities which can better enable the project to contribute to the achievement of the stated outcomes in these strategy documents. (In cases where interventions have already commenced, provide recommendations on any amendments that may be necessary)
- Review current Monitoring Tools, Reporting templates and roles and provide recommendations for better alignment if necessary
- Assess how the project has targeted and met (will meet) current beneficiary needs (as dictated by project document and updated Results Framework) and as disaggregated as recommended
- Identify any amendments in process, activities and reporting necessary and provide recommendations on best practices.

## 1.2 Evaluation Methodology

The MTR has been implemented in accordance with the Terms of Reference (see Annex I) and in accordance with UN evaluation norms and policies, including UN Standards and Norms for Evaluations and UNDP Handbook on Planning, Monitoring and Evaluation for Development Results.

A key aim of the MTR has been to obtain an updated perspective of how the implementation of the J-CCCP project is progressing. Three different collection methods were used to conduct the MTR, namely, a desk review, individual/ group interviews and survey questionnaires.

The criteria of the MTR consists of five thematic elements, namely, Relevance, Effectiveness, Efficiency, Sustainability and Lessons learned and best practices and the following specific questions were included within these criteria.

Criteria	Questions
Relevance	<ul style="list-style-type: none"> <li>a. To what extent is the project in line with UNDP’s mandate, national priorities and the requirements of targeted women and men?</li> <li>b. How has the project been contributing to its expected outcomes?</li> <li>c. How has the gender questions been taken into account in the project?</li> <li>d. How has the project contributed to the priorities of UNDP?</li> </ul>
Effectiveness	<ul style="list-style-type: none"> <li>a. Has there been progress towards</li> </ul>

	<p>achieving the outputs?</p> <p>b. What factors have been contributing to achieving or not achieving intended outputs?</p> <p>c. What has been the contribution of partners and other organizations to the outcome, and how effective have UNDP partnerships been in contributing to achieving the outcome?</p> <p>d. To what extent are the current and planned results benefitting women and men equally?</p>
Efficiency	<p>a. Are the strategies being utilized adequate? How have they contributed to the maximum intervention efficiency?</p> <p>b. Has the use of resources been efficient? Is there economic use of resources?</p> <p>c. To what extent are quality outputs delivered on time?</p> <p>d. To what extent are partnership modalities conducive to the delivery of outputs?</p> <p>e. How is monitoring used to manage the project?</p>
Sustainability	<p>a. Which strategies and mechanisms have been incorporated to the implementation of the project to guarantee the sustainability of expected outputs after the project?</p> <p>b. To what extent has a sustainability strategy, including capacity development of key national stakeholders, been developed or implemented?</p> <p>c. To what extent are policy and regulatory frameworks in place that will support the continuation of benefits?</p> <p>d. To what extent have partners committed to providing continuing support?</p> <p>e. How will concerns for gender equality, human rights and human development be taken forward by primary stakeholders?</p>
Lessons learned and best practices	<p>a. What are the most important lessons learnt being identified during the project? And best practices?</p>

The Evaluation Matrix included in Annex II provides information on the links between the evaluation criteria, questions, indicators, data sources and methodology.

### 1.2.1 Data collection methods

Three different collection methods were used to conduct the MTR, namely, a desk review, individual/ group interviews and survey questionnaires.

#### 1.2.1.1 Desk review

As part of the desk review the following project related documents were reviewed prior to undertaken the mission to Barbados, St. Lucia and Suriname:

- J-CCCP Project Document
- Updated Results Framework
- Monitoring Tools – Outcome and Quarterly (Outputs)
- NAMA Training Report
- NAMA Training Evaluation Report
- Baseline Assessments
- Project QA Assessment
- Lessons Learned
- Quarterly Updates
- Annual Report
- KAP/B Reports
- Risk Log
- Vulnerability Assessment
- Reporting Templates
- Monitoring & Evaluation (M&E) work plan and budget
- Pilot project proposals
- Work plan

As a result of the meetings that were held with the PMU in Barbados during the mission the following additional documents have been made available for review:

- Monitoring Tool Objectives and Outcomes 2017
- Social and Environmental Screening Procedure
- Report on the Regional Capacity Building Training Seminar on the Development and Implementation of Climate Change Mitigation Actions
- Regional Capacity Building Training Seminars on the Development and Implementation of Climate Mitigation Actions Combined Training Evaluations Summary
- Terms of Reference for Project Consultant for the Design and Development of a Nationally Appropriate Mitigation Action (NAMA)
- Proposal Template for Non-Governmental Organisations (NGOs) and Community Based Organisations (CBOs)
- UNDP Gender Equality Strategy 2014-2017
- UNDP Strategy Plan 2014-2017
- UNDP Youth Strategy 2014-2017
- No cost extension request letter and its answer from the Embassy of Japan

#### 1.2.1.2 Individual / group interviews

During the mission to Barbados, St. Lucia and Suriname twenty-nine key project stakeholders, counterparts and beneficiaries were interviewed face to face as detailed in Annex III. Questionnaires were sent in advance to facilitate the conduct of the consultations.



### 1.2.1.3 Survey questionnaires

Survey questionnaires were used to obtain additional information from different target groups on their views as to how project implementation has been progressing and which recommendations and lessons learned could be drawn from what has been accomplished to date. Six different questionnaires were prepared reflecting the level of involvement of each of the target groups as follows:

- PMU
- Government focal points
- Local stakeholders
- Pilot project proponents
- Project Board Members
- Technical Advisory Group Members

A copy of the survey questionnaires are included in Annex IV. Of the 15 questionnaires that were distributed 8 responses have been received.

### 1.2.1.4 Limitations of the MTR

Limitations to the quality of this MTR include the feasibility of only traveling to Barbados, St. Lucia and Suriname during 10 days and not being able to visit the remaining six countries (i.e., Belize, Dominica, Grenada, Guyana, Jamaica, and St. Vincent and the Grenadines) which are also being targeted by the J-CCCCP. The assessment of the progress of the J-CCCCP project in those countries that have not been visited by the Evaluator was made through a combination of evidence from existing project documentation, consultations with members of the PMU, Project Board and Technical Advisory Group (TAG) and wherever possible triangulated with Skype interviews.

The Evaluator considers that the level of detail contained in the gathered information and of the opinions of the interviewees have been sufficient to undertake the MTR in accordance with UN Standards and Norms for Evaluations and UNDP Handbook on Planning, Monitoring and Evaluation for Development Results.

### 1.2.1.4 Evaluation rating scale

The progress of the Project in achieving its objective and each of the outcomes were rated in accordance with the following scale<sup>7</sup> as detailed in **Error! Reference source not found..**

**Table 1** Ratings for Progress Towards Results

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.

<sup>7</sup> Source: Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects

3	Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.
<b>Ratings for Project Implementation &amp; Adaptive Management: (one overall rating)</b>		
6	Highly Satisfactory (HS)	Implementation of all seven components management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial
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	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive
<b>Ratings for Sustainability: (one overall rating)</b>		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

### 1.3 Structure of the MTR report

This MTR report is structured as follows:

- **Executive Summary** with a brief description of the MTR objectives and an overview of the key findings and recommendations

- **Section 1 – Introduction.** In this section, the objectives and scope of the MTR are described together with the methodology which have been used to undertake the MTR.
- **Section 2. Project overview and development context** including a brief description of the project and its development context together with the an overview of the problems that the J-CCCP project seeks to address, its immediate and development objectives, main stakeholders and expected results.
- **Section 3 – Analysis of the situation with regard to outcomes and development results** with the presentation of findings based on evaluation criteria
- **Section 4. Other findings** related to project governance, adaptive management, partnership arrangements, M&E and gender considerations are presented in this section.
- **Section 5. Forward looking analysis and Lessons Learned** are presented in this section
- **Section 6 Conclusions and Recommendations** detailing the evaluator’s principal conclusions and recommendations

## 2. Project overview and development context

The project overview summarizes the start and duration of the project, while the development context sets the background against which the project was developed, as well as explaining the problems that the J-CCCP project seeks to address. This section forms the reference against which the MTR has taken place.

### 2.1 Project Start and Duration

The signing of the \$15 million dollar grant from the Government of Japan for the J-CCCP project to be implemented by UNDP took place during the first Japan CARICOM Summit Meeting held in Trinidad on July 28, 2014 with the presence of Mr. Shinzo Abe, the Prime Minister of Japan, and the attendance of leaders from 14 CARICOM member states.

Following country consultations on the J-CCCP draft project document, a Project Appraisal Committee (PAC) meeting was held on March 16, 2015 with the participation of representatives from UNDP, CARICOM, OECS Commission, Belize, Grenada, Guyana, Jamaica, Suriname and St. Vincent and the Grenadines. As a result, the project document and budget were modified to:

- Support National Focal Points to assist in coordination, partnership building and communications,
- Include the conduct of a needs assessment to map existing gaps in terms of information and capacity,
- Adjust Outcome 2 to increase its budget to support additional activities and allow countries to tailor their activities based on needs assessment priorities, and
- Refine the project management structure to enhance the technical advisory group and the Project Board to assist in reducing duplication of activities across projects.

The Project Document was signed in June 2015 and the inaugural meeting of the Project Board took place on October 22, 2015 during which it was agreed that the Inception Workshop, Project Launch and next Project Board meeting will be bundled together to take place in January 2016. As a result, the Official start date of the J-CCCP took place on January 28, 2016 shortly after the establishment of the Project Management Unit in December of 2015.

Based on the official correspondence between UNDP and the Government of Japan, the project end date was originally set for August 31, 2017 but subsequently a non- cost extension has been granted until December 31, 2018

### 2.2 Development Context

#### 2.2.1 Problems that the project seeks to address

Caribbean countries are characterized by vulnerable ecosystems due to their particular geographic position and size, limited land space, high population and infrastructure density in coastal areas, and their proneness to natural disasters and to the disproportionately huge losses these could cause.

Climate change is a clear and direct threat to the Caribbean region, a threat in which the region has had little or no role in the making. More importantly, it is a fact that climate change is likely to increase the negative impact of natural disasters in the region and has already proven that it has the potential to affect key economic sectors— agriculture and the tourism industry—as well as private property, shoreline stability, and the health of coastal and marine ecosystems. Sea-level rise might exacerbate these effects and add severe risks of groundwater saline intrusion and amplified beach erosion, which could have serious implications for water resources and land use in highly populated coastal areas. In addition, although the Caribbean countries have similar economic characteristics—all are small open economies (some commodity-based, others reliant on tourism) that are highly exposed to external shocks— their differing institutional capacities affect their vulnerability to climate change.

The J-CCCP project has been designed to encourage policy innovation for climate technology, incubation and diffusion in order to ensure that the key barriers to the implementation of climate-resilient technologies are addressed and overcome in a participatory and efficient manner.

Some of the key barriers that are preventing the necessary market transformation for addressing long-term climate change needs are:

- Inadequate awareness, information, technical and policy capacity and limited funding availability for formulating low-emissions development strategies,
- The need to improve coordination between relevant stakeholders as well as evidence-based knowledge on adaptation across the region,
- Insufficient human resources with adequate technical competencies in key public sector institutions with the skills and mandates to support risk resilient planning and budgeting
- Deficiencies in the amount of relevant information among regional, national and local institutions to make climate-smart investment decisions, and
- Lack of adequate on-the-ground experience in promoting resilience to climate change, especially in the context of food and energy security.

The J-CCCP initiative will support policy innovation through the development of a number of NAMAs and NAPs to guide eight Caribbean countries towards a green, low-emission and climate-resilient development pathway.

The initiative will also support the transfer and adoption of selected mitigation and adaptation technologies for low emission and climate resilient development in each of the eight selected countries in at least two of the following areas based on their specific needs:

- Water resource management
- Sustainable agriculture
- Community-based climate-smart resilient infrastructure
- Renewable energy and energy efficiency

In addition, the J-CCCP project will explore opportunities to develop public private partnerships

based on the following three lines of actions: (i) technology transfer, (ii) enabling public policies for private sector expansion and (iii) knowledge exchange with the intent of putting in place the minimum building blocks for sustaining project results together with enhancing both South-South Cooperation and North-South Cooperation through (i) inter-regional information sharing using CARICOM and OECS bodies, (ii) involvement of Government of Japan trainees and (iii) engagement of volunteers from the Japan International Cooperation Agency(JICA).

### 2.2.2 Immediate and development objectives of the J-CCCCP

The development objective of the J-CCCCP is: “to support countries in advancing the process of inclusive low-emission risk-resilient development by improving energy security and integrating medium to long-term planning for adaptation to climate change within, or aligned with, improved development planning and budgeting processes”.

Among the immediate objectives of the J-CCCCP initiative are:

- Support policy innovation through the development of NAMAs and NAPs that are country driven, based on existing national /subnational development priorities, strategies and processes, build on related work (both completed and ongoing), avoid duplication and examine upscaling potential, if applicable.
- Support the implementation of technologies that are both low-emission and help advance climate risk management including the implementation of pilot demonstration projects in the target countries,
- Ensure full ownership by engagement of national stakeholders, civil society and vulnerable groups through a participatory approach in project formulation and the design of appropriate solutions and subsequent capacity building to promote buy-in and stewardship,
- Promote South-South and North-South cooperation and sharing of tools, methodologies and experiences across the region on climate change mitigation and adaptation, including involvement of Government of Japan supported trainees already present in the region and engagement of volunteers from the Japan International Cooperation Agency (JICA), a practice that is already established in some of the beneficiary countries such as Jamaica, and St. Lucia, and
- Mainstream climate change and risk resilience into national planning frameworks based on a multi-sector multi-disciplinary approach that includes all of the key players that need to be part of the national policy development processes.

### 2.2.3 Baseline indicators established

Objective baseline indicators of the J-CCCCP initiative and their baseline values at project start were as follows:

Objective Baseline indicator	Baseline value at project start
Number of plans and programmes that are informed by multi-hazard national and sub-national disaster and climate risk assessments taking into account differentiated impacts on	Few countries have a systematic process for incorporating disaster and climate risk into national planning and budgeting processes. Often “mainstreaming” of these issues is left

women and men	with the key ministry and is not sufficiently integrated across sectors.
Number of national / sub-national development and key sectorial plans that explicitly address disaster and / or climate risk management being implemented, disaggregated by those which are gender responsive (e.g. include the collection of disaggregated data gender analysis and targeted actions)	Gender responsiveness and even mainstreaming of climate change adaptation and disaster risk recovery are limited.
Number of new jobs and other livelihoods generated, disaggregated by sex.	Youth unemployment is high in the region, and women tend to have higher unemployment and less access to employment opportunities than men.

Outcome level baseline indicators and their baseline values at project start were as follows:

Outcome Baseline indicator	Baseline value at project start
<b>Outcome 1</b>	
Number of countries where implementation of comprehensive measures - plans, strategies, policies, programmes and budgets - to achieve low-emission and climate-resilient development objectives have improved	Some Caribbean countries have developed urgent and immediate plans for adaptation and other related climate change strategies and started their implementation, with some having coordination mechanisms in place to integrate them into the development process as well as other elements which could be used for medium to long-term planning.
Number of countries with disaster reduction and/or integrated disaster reduction and adaptation plans (disaggregated by gender responsiveness), and dedicated institutional frameworks and multi-stakeholder coordination mechanisms	Almost all Caribbean countries report on lack of capacity, data, expertise, institutions and financial resources to undertake medium- to long -term oriented impact assessment and adaptation planning
Number of national/sub-national development and key sectorial plans that explicitly address disaster and/or climate risk management being implemented, disaggregated those which are gender responsive	1 beneficiary country has submitted a NAMA to the UNFCCC (Dominica) At least 3 countries have projects underway to develop NAPs/LEDs/GE Strategy (Grenada, Jamaica and St. Lucia)
<b>Outcome 2</b>	
Number of people with improved access to energy	Few positive measures exist (water harvesting, micro-dams, water saving incentives) but are limited in reach and need up-scaling
Number people with improved access to energy as a result of UNDP-supported interventions	
% of households benefitting from improved access to energy which are female-headed households	

Number of schemes which expand and diversify the productive base based on the use of sustainable production technologies	practices within various sectors.
<b>Outcome 3</b>	
Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level	Several formal and informal relationships exist within the region, and opportunities for cooperation originate in many forms, including through regional bodies as well as projects
Number of case studies disseminated and available on regional knowledge platforms	Often project results can be lost after project ends or only confined to a small number of users

#### 2.2.4 Main Stakeholders

In addition to the implementing agency of the J-CCCP project, namely the UNDP Sub-Regional office for Barbados and the OECS (UNDP SRO Barbados) and the Government of Japan in its capacity of development partner, the main strategic stakeholders include:

- Key Ministries of the beneficiary countries
- CARICOM Secretariat
- OECS Commission
- The different organisations that are part of the Technical Advisory Group:
  - Caribbean Community Climate Change Centre (CCCCC)
  - Caribbean Institute for Metrology and Hydrology (CIMH)
  - Caribbean Public Health Agency (CARPHA)
  - Caribbean Natural Resources Institute (CANARI)
  - Caribbean Agricultural Research and Development Institute (CARDI)
  - University of West Indies (UWI)
  - Caribbean Disaster Emergency Management Agency (CDEMA)
  - United Nations Framework Convention for Climate Change Regional Collaboration Centre (UNFCCC RCC)
- UNDP Regional Centre in Latin America and the Caribbean (UNDP RBLAC)
- UNDP offices of Belize, Barbados and the OECS, Guyana, Jamaica and Suriname

A complete list of the J-CCCP stakeholders is provided in Annex V.

#### 2.2.5 Expected Results

To achieve the overall objective of supporting the targeted countries in advancing the process of inclusive low-emission risk-resilient development by improving energy security and integrating medium to long-term planning for adaptation to climate, the J-CCCP was designed to ensure that the key barriers to the implementation of climate resilient technologies are addressed through the following expected project outcomes and outputs:



- **Outcome 1:** NAMAs and NAPs to promote alternative low-emission and climate-resilient technologies that can support energy transformation and adaptation in economic sectors are formulated and institutionalised.
  - Output 1.1 - Technical support towards national and sub-national institutional and coordination arrangements in Caribbean countries to support the formulation of national roadmaps on the NAP process, including elements for monitoring the progress of their implementation.
  - Output 1.2 - National teams are trained in the use of tools, methods and approaches to advance the NAP process and budgeting.
  - Output 1.3 - Business-as-usual greenhouse gas emission baselines established, and climate change mitigation options for selected sectors relevant for the Caribbean region identified.
  - Output 1.4 - Design and implementation of NAMAs in the Caribbean with MRV systems and NAMA registries in place to monitor their execution.
- **Outcome 2:** Selected mitigation and adaptation technologies transferred and adopted for low emission and climate resilient development in the Caribbean.
  - Output 2.1 - Affordable climate-resilient community-based water harvesting, storage and distribution systems designed, built and rehabilitated in selected target areas (e.g. communal reservoirs, rooftop catchment, rainwater storage tanks and conveyance systems)
  - Output 2.2 - Crop diversification practices tested for their ability to improve resilience of farmers to climate change impacts.
  - Output 2.3 - Community-based water capacity and irrigation systems improved or developed to test their ability to raise agricultural productivity.
  - Output 2.4 - Climate-resilient agro-pastoral practices and technologies (e.g. water management and soil fertility) demonstrated in selected target areas.
  - Output 2.5 - Small-scale infrastructure implemented to reduce climate change and disaster-induced losses
  - Output 2.6 - Energy pilot demonstrations applied to selected adaptation, mitigation and disaster risk management interventions to catalyse low-emission climate-resilient technology transfer, development and investments in the Caribbean.
- **Outcome 3:** Knowledge networks strengthened in Caribbean to foster South-South and North-South cooperation through sharing of experiences surrounding climate change, natural hazard risk and resilience.
  - Output 3.1 - Capacity building within the region to sustain and enhance approaches to climate change adaptation and mitigation
  - Output 3.2 - Communication campaign on the benefits of mitigation and adaptation, mitigation and disaster risk management interventions to catalyse low emission technologies for sustainable cities in island towns and communities
  - Output 3.3 - Japan-Caribbean transfer of technical and process-oriented

information on experiences, good practice, lessons and examples of relevance to medium to long-term national, sector and local planning and budgeting processes.

### 3. Analysis of the situation with regard to the outcomes and development results

The analyse the situation with regard to the outcomes and developments results of the J-CCCP initiative is based on the evaluation criteria that has been included in the TORs

#### 3.1 Relevance

The relevance of the J-CCCP has been assessed in terms of the extent to which the intervention is aligned with the policies of the Caribbean countries, as well as with strategic priorities and comparative advantage of UNDP and other existing national and regional initiatives.

The relevance of the J-CCCP has been found to be high at all of the above mentioned levels:

- As a regional initiative that focusses on scaling up opportunities to expand the access to clean energy and promote sector-targeted adaptation technologies and measures, the J-CCCP project is fully aligned with Caribbean policies while working closely with the Caribbean Community Climate Change Centre (CCCCC), designated by the heads of the CARICOM governments as the regional coordinating agency for the response to climate change.
- The J-CCCP project is directly aligned with UNDP's new Strategic Plan (2014-2017) which recognizes that climate change is likely to have potentially disastrous consequences in the region and emphasizes the need to support countries with integrating low-emission, climate-resilient objectives into national and sector development plans, including the development of NAMAs and NAPs.
- The overall objective of the J-CCCP project of supporting the Caribbean countries in advancing the process of low-emission risk-resilient development is entirely compatible with UNDP's mandate of pursuing sustainable human developments and seeking to seeking to generate development partnerships with funding to help generate access to sustainable sources of clean, reliable and affordable energy, as well as, strengthening national capacities to address natural hazard and climate change risk.
- There is high complementarity between the J-CCCP initiative and other donor funded projects related to climate change impact in the region. As described in great detail in the Project Document, the funding provided by the Government of Japan will help enhance the impact of the numerous activities currently under implementation by UNDP in the region which are in alignment with the J-CCCP initiative.
- Not all of the targeted countries face the same magnitude and consequences of climate change, yet all coincide on the high relevance of strengthening in-country capacities to develop policy instruments such as NAMAs and NAPs, implementing selected mitigation and adaptation technologies for low emission and climate resilient development and improving the culture of sharing data, experiences and lessons learned across the region while looking for opportunities to learn from the technological advances and experiences of other countries such as Japan.
- The J-CCCP is aligned with the UNDP Youth Strategy which among other objectives

promotes the engagement with and reach out of young people through the strengthening of partnerships and dialogues with civil society and the promotion of venues for youth engagement. As an example, based on the advice from the Embassy of Japan in Jamaica, the J-CCCP project was able to invite 10 youth from Sophia University, Japan to the Youth Climate Change Conference (YCCC<sup>8</sup>) that took place on October 10-11, 2017, at the Jamaica Conference Centre in Kingston. The 2017 YCCC has been co-hosted by the J-CCCP and the USAID-funded Jamaica Rural Economy and Ecosystems Adapting to Climate Change II (Ja REEACH II) project, in collaboration with the Ministry of Education, Youth and Information.

**Overall rating of Relevance: High Satisfactory (HS)**

### 3.2 Effectiveness

An assessment of the effectiveness of the J-CCCP project in terms of moving towards its outcomes and objectives shows that it has a clear identity and is helping to fill policy (NAP and NAMA) and other existing gaps present in all of the eight countries. As a result, most of the institutional arrangements that are necessary to access climate financing are being strengthened without duplicating but rather adding value to other existing projects.

The overall perception is that the J-CCCP has been moderately effective in achieving the expected outputs with the noted exception of those activities under Outcome 3 related to the involvement of Government of Japan supported trainees and engagement of volunteers from the Japan International Cooperation Agency (JICA) which was explored several times at the beginning of the project with no success<sup>9</sup>.

Also, several discussions were held with JICA in 2016 and early 2017 to coordinate with their new project on renewable energy. However, this project is still in the concept phase and the J-CCCP was not able to conduct joint activities yet.

Unfortunately, little progress has been made towards developing linkages with the Japanese private sector through business exchanges and trade shows except for the fact that the project conducted limited research on this through one of the UN volunteers from Japan which yielded a report on specific areas to explore and as such the project plans to focus on these key areas. Also, as mentioned earlier, based on the advice from the Embassy of Japan in Jamaica, the project was able to invite 10 youth from Sophia University, Japan which has recently established a partnership with the University of West Indies to participate in the YCCC held in Jamaica.

As a result, the possibility to include technology innovation among the pilot projects that are being proposed under Outcome 2 and test the applicability and replication potential of such new technologies across the Caribbean region has not yet been accomplished. More details on the context for the delays associated with not having been able to include technology innovation among the pilot projects is presented in section 3.2.4.3 below (Outcome 3: Knowledge networks

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<sup>8</sup> <http://www.acdivoca.org/youth-climate-change-conference-2017/>

<sup>9</sup> Not many JICA volunteers are in the target countries related to our interventions. However, a volunteer working in the 4H in Jamaica will be involved in the pilot project conducted in 4H.

strengthened in Caribbean to foster South-South and North-South cooperation through sharing of experiences surrounding climate change, natural hazard risk and resilience).

### 3.2.1 Project design

The assessment of the effectiveness of project design is a particularly important aspect of a MTR since the review process is more about making mid-course recommendations as a result of flaws in the design of the intervention than just assessing performance.

As it is the case with most regional projects, the J-CCCP has been a complex and challenging project to design and implement since the specific needs and circumstances of the eight selected countries are not exactly the same.

However, the J-CCCP benefits from a balanced project design that combines country-driven components which will be implemented in accordance with the national context and respond to specific country needs with an overarching component designed to enhance both South-South and North-South cooperation and explore the development of public-private partnerships with the objective of promoting technology transfer, enabling public policies for private sector expansion and developing linkages with the Japanese private sector through business exchanges and trade shows in order to identify technology options that are suitable for the local contexts.

As a result of the project, specific policy instruments such as NAMAs and NAPs are under development to help identify and prioritise mitigation and adaptation measures across sectors in each of the eight countries. In addition, the project has been designed to support the incubation of climate change technologies into targeted public sectors, private industries, and community groups and enterprises with the aim of testing the application of climate resilient technologies.

As mentioned earlier, by far the most innovative element of the project design has to do with the strengthening of knowledge networks and sharing of experiences related to climate change, natural hazard risk and resilience by exploring opportunities to develop public-private relationships for sustaining project results, enhancing South-South cooperation and North-South cooperation including the involvement of Government of Japan supported trainees and JICA experts, and, ensuring that gender considerations are fully integrated into the NAMAs and NAPs but as it will be discussed below not much progress has been achieved on this front.

Another important criterion is that the pilot project interventions have been originated from the participating countries and local communities through substantial research prior to the J-CCCP. All proposals with proposed interventions have been subjected to rigorous research with evidence of proven success in these areas. The experts procured for support in this area conducted some of this research. In addition, all of the pilot projects that have been proposed have scale-up potential at the national level and in most cases at regional level as well. In all cases, local communities are grateful for the access to resources and the opportunity to partner with J-CCCP for interventions for climate change mitigation and adaptation.

The characterisation of the current situation and expected results, as well as, the definition of the

different barriers which need to be addressed are well defined throughout the Project Document.

The design of the Project Results Framework has a number of shortcomings:

- **No targets have been defined for evaluating progress at mid-term.** Even though, the outcome indicators and end of project targets included in the Project Results Framework in most cases meet SMART<sup>10</sup> criteria, no targets have been defined for evaluating the progress in the achievement of outcomes at mid-term. As a result, in order to correct this design deficiency, the project has had to develop two monitoring tools to track project progress with mid-term targets.
- **No indicators and their corresponding mid-term and end of project target have been included to evaluate progress at the output level in the original Project Results Framework.** In addition, no pre-established mid-term targets have been included in original the Project Results Framework to assess the level of progress on the achievement of the proposed outputs. The Project Results Framework should have indicators for outcomes and outputs with their respective mid-term and end-of project targets,
- **There is poor to no alignment between the indicators that have been selected to track progress of Outcome 2 and some of the proposed end of project targets<sup>11</sup>.** Several of the end of project targets that have been selected for Outcome 2 and in particular those that have been added as part of the revision that has been made to the original Project Results Framework, are not aligned with the indicators and need to be revised. Most importantly, the end of project targets that have been proposed are too difficult to measure since it is unlikely that that type of data for all countries would be readily available and in some cases the targets that have been selected in terms of % increase are meaningless. For example, a 15% increase in the number of hectares of grazing area with adaptive and improved grazing techniques becomes meaningless for those cases in which the baseline is zero, which is likely to be the case in certain countries in which there are no hectares of grazing area with adaptive and improve grazing techniques.
- **A list of indicative rather than proposed activities are described for achieving each of the outputs.** This could be viewed as something that has been done on purpose to provide additional flexibility during implementation ensuring that outputs and outcomes are achieved based on a more accurate understanding of the specific situation and priority needs of each country, irrespective of the activities that are undertaken. The degree of vagueness found in the project design regarding the activities under each of the outputs has slowed down implementation due to the need for conceptualizing activities in more detail.

**Project design is rated as Moderately Satisfactory (MS)**

<sup>10</sup> SMART – Specific, Measurable, Achievable, Relevant and Time-bound.

<sup>11</sup> This point was noted as a limitation by the M&E and as such it was advised that amendments to the indicators can be proposed to the Project Board – after the MTR was completed

### 3.2.2 Project implementation

The implementation of the J-CCCP project has been professionally managed and administered by the PMU team. However, at the beginning the project suffered important delays which resulted in the need to request a one year / no-cost extension of the project end date from December 31, 2017 to December 31, 2018.

Key factors which have been responsible for the initial delays include:

- **The relatively rapid development of the concept and subsequent initial project document** resulted in requests by several countries for further engagement to ensure national priorities and context were captured. To address these requests, a further round of consultative missions and a desktop exercise were conducted;
- **The high complexity of the project** as evidenced by the number of partners involved, as well as the frameworks under which each UNDP country office and bureaux at headquarters operate, significant efforts and time were required to establish the appropriate framework and management system for this project
- **The limited dedicated human resources and changes in key government counterparts** has resulted in long delays for government approval of the in-country work plans as well as on the implementation of day to day activities that required government consent. This factor has been consistently identified as a risk with more than one mitigation measure being put in place,
- **Additional needs which increase the workload of the PMU** were identified early on and contributed to slowing down project implementation during the early part of 2016. This had to do primarily with the need to develop a quarterly monitoring tool together with progress report templates for pilot projects under Outcome 2, Vulnerability Assessment criteria and Social and Environmental Screening procedures among others,
- **The unforeseen need to prepare a detailed pilot project proposal template** as a result of the low project formulation capacities of project proponents in most if not all of the eight countries is another of the factors that have contributed to slow down the proposed activities under Component 2,
- **The decision to mobilise 9 sub-thematic experts<sup>12</sup> to support the preparation and approval of pilot project proposals** has added another unexpected work load to the PMU associated with the preparation of Terms of Reference and identification and selection of experts. It is worth noting that this also contributed to better quality projects with researched interventions /technologies to ensure technology applicability, and
- **The need to provide additional capacity development** to the proponents and national counterparts and National Focal Points (NFPs) with regard to M&E requirements, gender mainstreaming, avoiding adverse environmental and social impacts and other relevant aspects have also had a contributing role towards delaying project implementation.

Other factors that have contributed to delay project implementation include: (i) the seemingly

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<sup>12</sup> In total 9 contract has been signed with 7 experts since 2 of the experts had two contracts each.

onerous processes of review and approval of project documents to guarantee quality assurance especially for the mitigation and adaptation pilots, (ii) delays in the acquisition / submission of data for the NAMAs and NAPs, and (iii) delays in the ability of consultants to deliver within a stipulated timeframe.

Project implementation has been and will continue to be affected by the natural hazards that traversed the region especially during the hurricane season. Most recently, hurricanes Irma and Maria have greatly affected project implementation in Dominica which suffered extensive damages and at this stage it is questionable if activities in that country can be sustained and whether investments that have already taken place are likely to be lost.

<b>Project Implementation is rated as Moderately Satisfactory (MS)</b>
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### 3.2.3 Project strategy

The proposed project strategy of bringing together policy makers, experts and representatives of communities to encourage policy innovation for climate change incubation and diffusion has proven to be more demanding than what has been expected in spite of being considered as an effective approach towards the attainment of the project overall goal of supporting the Caribbean countries in advancing the process of low emission risk-resilient development.

In particular, the PMU decided to place particular emphasis in conducting both NAP and NAMA seminars at the national rather than at a regional level with the specific objective of reaching a broader number of local stakeholders and ensuring that there is an effective development of capacities on a larger national scale. Holding seminars at the national level is less costly than organising regional seminars. However, much more coordination and time were required due to the multiplicity of seminars that have been conducted. This approach has proven to be more effective and it has been undertaken in spite of the fact that at its inception, the project identified that there would be insufficient resources to fully achieve all of the targeted policy interventions. As a result, the project has partnered with other agencies in order to maximize the use of project resources. For example partnering with NAP GN on NAP workshops. In addition, the PMU has been working on the mobilisation of additional financial resources but with no concrete results yet.

Also, as part of the implementation strategy for Outcome 2, the PMU detected the need to include specific criteria in the pilot project template, to make certain that pilot project proponents take resilience to climate change into consideration. This has contributed to ensuring that rights to clean air and water, food security and reduced risks to natural hazards are properly addressed and that potential adverse effects on human rights are adequately mitigated. Also, the need to undertake stakeholder / community consultations prior to project implementation have been mandated.

The pilot project selection process was based on a two-step approach. Local stakeholders were first asked to submit a project identification note for an initial review by the PMU and the Project Board which is viewed as a logical step to screen those projects that would best meet the overall objectives of the J-CCCP initiative in terms of alignment with national priorities and context, expected impact, sustainability criteria and budget availability.



A USD 600,000 budget was then allocated to each of the countries for the implementation of the pilot projects. The decision on how to allocate this budget to the pipeline of eligible projects was left to the individual countries in order to ensure country ownership.

However, not setting a floor to the size of each project investment has resulted in a large number of pilot projects applicants and made the selection and follow up process more time consuming.

In the opinion of the majority of the project proponents and government stakeholders that have been interviewed, the project proposal template ended up being too detailed and complex for the low level of project formulation capacities in most of the countries. In addition, the template is considered to be heavy on justification and provision of background information on the country and technology to be applied. To a certain extent this has been regarded as a duplication of work since in most cases country background information is well documented elsewhere.

Nevertheless, the assistance provided to enhance pilot project proposals under Outcome 2 has been greatly appreciated but in certain cases it came in late and as a result some project developers got frustrated with the complexities of the proposal application process. It should be noted that such assistance was initially suggested in 2016, however the NFPs after consulting with national counterparts stated that this could be facilitated by them directly, which in the end did not prove to be entirely the case.

The PMU justified the use of the 27-page long template (see Annex VI) based on the fact that a simple template was provided at the beginning of the project and reviewed by both the Technical Advisory Group and UNDP RBLAC. Both entities stated that the template was too simplistic and did not cover all elements of project design to allow for adequate evaluation of the main components, risks and mitigation measures. The revised template has been modelled after what is used for GEF SGP applications due to their experience in community based projects. The revised template was approved at both levels. Additionally, in none of the initial submissions that were received was the country background information provided in enough detail to provide sufficient context for evaluation and clear understanding of the goals of the initiative.

The process to select among pilot project proponents has differed from country to country. Some countries selected a top down approval process (i.e., Guyana, Dominica, Jamaica, and Belize) whereas others opted for issuing calls for project concept notes (i.e., St. Vincent and the Grenadines, Grenada, St. Lucia<sup>13</sup>, and Suriname). Some of the projects have been proposed by Community Based Organisations (CBOs) and others by government entities. Overall the quality of the pilot projects under Outcome 2 turned out to be relatively low and virtually no innovative technologies or approaches have been applied.

All of the targeted countries have set up Project Steering Committees at the national level to follow up on pilot project implementation. However, in all cases, the selection processes have been lengthy

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<sup>13</sup> Although St. Lucia initially proposed to use a bottom up approach, at the end they changed to top down approval process

and subject to multi-layer approvals. As it will be discussed in more detail section 3.2.4.2 below, all pilot projects from Jamaica that have been approved are under implementation and the same applies to some of the approved pilot projects in Suriname and St. Vincent and the Grenadines.

<b>Project Strategy is rated as Satisfactory (S)</b>
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**3.2.4 Progress towards the achievement of outcomes and development results**

The progress towards the achievement of outcomes and development results is assessed in terms of the project’s success in producing the programmed outputs and in achieving progress indicators / milestones as per the Project Results Framework subject to the limitation that only end of project targets (and no progress indicators) for outcomes have been included in the Project Results Framework while no indicators / targets have been set to evaluate the project’s achievement of outputs. Also, the list of activities that had been included under each of the outputs in the Project Document have been listed as indicative and not all of them have been implemented, as planned.

Progress towards the achievement of outcomes based on the indicators included the Project Results Framework is summarised in Table 2 below, followed by a more detailed description of the activities that have been accomplished to date under each of the three outcomes.

**Table 2 Progress towards results matrix**

Indicator assessment code

Green= achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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	Indicator	Baseline	Targets End of Project	Implementation status at mid term	Rating
<p><b>Project Objective<sup>14</sup> (equivalent to output in ATLAS)</b> To support countries in advancing the process of low-emission risk resilient development by improving energy security and integrating medium to long-term planning for adaptation to climate change</p>	<p>Number of plans and programmes that are informed by multi-hazard national and sub-national disaster and climate risk assessments, taking into account differentiated impacts on women and men (SP 5.1.2)</p> <p>Number of national/sub-national development and key sectorial plans that explicitly address disaster and/or climate risk management being implemented, disaggregated by those which are gender responsive (e.g. include the collection of disaggregated data, gender analysis and targeted actions) (SP 5.3.1)</p> <p>Number of new jobs and other livelihoods generated, disaggregated by sex (SP 1.1.1)</p>	<p>Few countries have a systematic process for incorporating disaster and climate risk into national planning and budgeting processes. Often "mainstreaming" of these issues is left with the key ministry and is not sufficiently integrated across sectors.</p> <p>Gender responsiveness and even mainstreaming of CCA and DRR are limited</p> <p>Youth unemployment is high in the region, and women tend to have higher unemployment and less access to employment opportunities than men</p>	<p>6 countries have completed NAPs, which explicitly address disaster and climate risk resilience and gender impacts</p> <p>All implemented demonstration activities are based on community-level risk and vulnerability assessment, which include gender analysis</p> <p>50 persons develop new/enhanced skills with which they generate livelihoods, disaggregated by sex, age and sector</p>	<p>NAP development activities have been started in the following 6 countries:</p> <ul style="list-style-type: none"> <li>• Belize</li> <li>• Guyana</li> <li>• Saint Lucia</li> <li>• Suriname</li> <li>• St. Vincent and the Grenadines</li> <li>• Jamaica</li> </ul> <p>Approximately 155 national counterparts (53% females and 47 % males) have been trained in understanding the concept and key elements of NAMAs in Belize, Guyana, St. Lucia, Suriname, St. Vincent and the Grenadines, and Grenada.</p> <p>n.a.</p>	<p><b>Satisfactory (S)</b></p>

<sup>14</sup> Objective (Atlas output) monitored quarterly ERBM and annually in APR

	Indicator	Baseline	Targets End of Project	Implementation status at mid term	Rating																		
<p><i>Outcome 1 NAMAs and NAPs to promote alternative low emission and climate-resilient technologies that can support energy transformation and adaptation in economic sectors are formulated and institutionalised</i></p>	<p>Number of countries where implementation of comprehensive measures - plans, strategies, policies, programmes and budgets - to achieve low-emission and climate-resilient development objectives have improved (SP 1.4.2)</p>	<p>Some Caribbean countries have developed urgent and immediate plans for adaptation and other related climate change strategies and started their implementation, with some having coordination mechanisms in place to integrate them into the development process as well as other elements which could be used for medium to long-term planning.</p>	<p>5 countries have completed NAPs, or NAPs road maps which explicitly address disaster and climate risk resilience and gender impacts</p> <p>6 countries supported under this initiative have submitted NAMAs to UNFCCC</p>	<p>NAP and NAMA development progress is as follows:</p> <table border="1"> <thead> <tr> <th>NAP</th> <th>NAMA</th> </tr> </thead> <tbody> <tr> <td>• BLZ 17%</td> <td>40%</td> </tr> <tr> <td>• GUY 17%</td> <td>40%</td> </tr> <tr> <td>• SLU 43%</td> <td>40%</td> </tr> <tr> <td>• SUR 33%</td> <td>40%</td> </tr> <tr> <td>• SVG 17%</td> <td>40%</td> </tr> <tr> <td>• JAM 5%</td> <td>n.a.</td> </tr> <tr> <td>• GRN n.a.</td> <td>40%</td> </tr> <tr> <td>• DOM n.a.</td> <td>n.a.</td> </tr> </tbody> </table>	NAP	NAMA	• BLZ 17%	40%	• GUY 17%	40%	• SLU 43%	40%	• SUR 33%	40%	• SVG 17%	40%	• JAM 5%	n.a.	• GRN n.a.	40%	• DOM n.a.	n.a.	<p><b>Satisfactory (S)</b></p>
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• DOM n.a.	n.a.																						
<p>Number of countries with disaster reduction and/or integrated disaster reduction and adaptation plans (disaggregated by gender responsiveness), and dedicated institutional frameworks and multi-stakeholder coordination mechanisms (SP 5.2.1)</p> <p>Number of national/sub-national development and key sectorial plans that explicitly address disaster and/or climate risk management being implemented, disaggregated by those which are gender responsive (SP 5.3.1)</p>	<p>Almost all Caribbean countries report on lack of capacity, data, expertise, institutions and financial resources to undertake medium- to long-term oriented impact assessment and adaptation planning.</p> <p>1 beneficiary country has submitted a NAMA to the UNFCCC (Dominica)</p> <p>At least 3 countries have projects underway to develop NAPs/LEDS/GE Strategy (Grenada, Jamaica, Saint Lucia)</p>																						
<p><i>Outputs to deliver Outcome 1:</i></p> <p><i>Output 1.1. Technical support towards national and sub-national institutional and coordination arrangements in Caribbean countries to support the formulation of national roadmaps on the NAP process, including elements for monitoring the progress of their implementation.</i></p> <p><i>Output 1.2. National teams are trained in the use of tools, methods and approaches to advance the NAP process and budgeting.</i></p> <p><i>Output 1.3. Business-as-usual greenhouse gas emission baselines established, and climate change mitigation options for selected sectors relevant for the Caribbean region identified.</i></p> <p><i>Output 1.4. Design and implementation of NAMAs in the Caribbean with MRV systems and NAMA registries in place to monitor their execution.</i></p>																							

	Indicator	Baseline	Targets End of Project	Implementation status at mid term	Rating										
<b>Outcome 2</b> <i>Selected mitigation and adaptation technologies transferred and adopted for low emission and climate resilient development in the Caribbean</i>	Number of people with improved access to energy (SP 1.5.2)  Number people with improved access to energy as a result of UNDP-supported interventions  % of households benefitting from improved access to energy which are female-headed households  Number of schemes which expand and diversify the productive base based on the use of sustainable production technologies (SP 1.1.3)  Number of <i>communities</i> where sector-specific risk reduction measures are being implemented, disaggregated by urban and rural areas	Few positive measures exist (water harvesting, micro-dams, water saving incentives) but are limited in reach and need up-scaling  Some countries have incentives and mechanisms to encourage sustainable practices within various sectors.	20% increase in kWh of RE capacity installed in vulnerable communities  20% increase in kWh of RE capacity installed in agricultural operations  150 people with improved access to energy  55% of households benefitting from improved access to energy are female-headed households  5% decrease in or avoided tCO <sub>2</sub> emissions  12% increase in yield (kilograms per hectare) or crop density (plants per hectare) relative to inputs  10 agricultural sites implementing climate adaptation and sustainable production methods  5% in the number of hectares of grazing area with adaptive and improved grazing techniques  15% increase in the area of farmland where climate smart agriculture technologies have been adopted (e.g. reduced tillage, permanent crop cover etc.)  2 kilometres of infrastructure implemented (e.g. road or slop stabilisation) to reduce climate change and disaster-induced losses.  20% increase in the number of female headed households with improved access to water  12 communities implementing risk reduction measures, disaggregated by urban/rural area	<ul style="list-style-type: none"> <li>• Approved proposals 22               <ul style="list-style-type: none"> <li>○ SVG 7</li> <li>○ SUR 4</li> <li>○ JAM 3</li> <li>○ GUY 1</li> <li>○ BZE 1</li> <li>○ GRN 4</li> <li>○ SLU 2</li> </ul> </li> <li>• Proposals under TAG review 6               <ul style="list-style-type: none"> <li>○ SLU 1</li> <li>○ SVG 1</li> <li>○ SUR 2</li> <li>○ DOM 2</li> <li>○ GRN 1</li> </ul> </li> <li>• Proposals under Initial Screening 6               <ul style="list-style-type: none"> <li>○ DOM 2</li> <li>○ GRN 3</li> <li>○ SUR 1</li> </ul> </li> <li>• Proposals under development 2               <ul style="list-style-type: none"> <li>○ GUY 1</li> <li>○ SUR 1</li> </ul> </li> </ul> <p>Focus Area and # of proposals</p> <table border="0"> <tr> <td>2.1 Water resource management</td> <td>9</td> </tr> <tr> <td>2.2-2.4 Sustainable agriculture</td> <td>19</td> </tr> <tr> <td>2.5 Community based climate resilient infrastructure</td> <td>5</td> </tr> <tr> <td>2.6 Renewable energy and energy efficiency</td> <td>3</td> </tr> <tr> <td><b>Total</b></td> <td><b>36</b></td> </tr> </table> <p>At this stage it is not possible to assess progress based on the list of indicators provided in the Project Results Framework.</p>	2.1 Water resource management	9	2.2-2.4 Sustainable agriculture	19	2.5 Community based climate resilient infrastructure	5	2.6 Renewable energy and energy efficiency	3	<b>Total</b>	<b>36</b>	<b>Moderately Satisfactory (MS)</b>
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<p><u>Outputs to deliver Outcome 2:</u></p> <p><i>Output 2.1 Affordable climate-resilient community-based water harvesting, storage and distribution systems designed, built and rehabilitated in selected target areas (e.g. communal reservoirs, rooftop catchment, rainwater storage tanks and conveyance systems)</i></p> <p><i>Output 2.2 Crop diversification practices tested for their ability to improve resilience of farmers to climate change impacts.</i></p> <p><i>Output 2.3 Community-based water capacity and irrigation systems improved or developed to test their ability to raise agricultural productivity.</i></p> <p><i>Output 2.4 Climate-resilient agro-pastoral practices and technologies (e.g. water management and soil fertility) demonstrated in selected target areas.</i></p> <p><i>Output 2.5 Small-scale infrastructure implemented to reduce climate change and disaster-induced losses</i></p> <p><i>Output 2.6 Energy pilot demonstrations applied to selected adaptation, mitigation and disaster risk management interventions to catalyse low-emission climate-resilient technology transfer, development and investments in the Caribbean</i></p>															

	Indicator	Baseline	Targets End of Project	Implementation status at mid term	Rating
<p><b>Outcome 3</b>  <i>Knowledge networks strengthened in Caribbean to foster South-South and North South cooperation through sharing of experiences surrounding climate change, natural hazard risk and resilience</i></p>	<p>Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or subnational level (SP 1.3.1)</p> <p>Number of case studies disseminated and available on regional knowledge platforms</p>	<p>Several formal and informal relationships exist within the region, and opportunities for cooperation originate in many forms, including through regional bodies as well as projects</p> <p>Often project results can be lost after project ends or only confined to a small number of users</p>	<p>3 partnership mechanisms agreed</p> <p>10 case studies shared on at least 2 regional platforms</p>	<p>The J-CCCP has been proactive and effective in taking advantages to develop strategic partnerships with key organisations including NAP Global Network, USAID, UNDP LECB, and UNFCCC to support the development of NAPs and NAMAs across the eight Caribbean countries. The first edition of the J-CCCP newsletter was issued in November 2106 together with the establishment of the J-CCCP Web platform and another newsletter was issued in July 2017.</p> <p>Project activities have been broadcasted through the J-CCP Web-platform, Facebook, Twitter, Instagram and Flickr.</p> <p>A capacity building training seminar for 30 journalist from across the region together with other activities that were also implemented.</p>	<p><b>Moderately Satisfactory (MS)</b></p>
<p><u>Outputs to deliver Outcome 3:</u>  <i>Output 3.1 Capacity building within the region to sustain and enhance approaches to climate change adaptation and mitigation</i>  <i>Output 3.2 Communication campaign on the benefits of mitigation and adaptation, mitigation and disaster risk management interventions to catalyse low emission technologies for sustainable cities in island towns and communities</i>  <i>Output 3.3 Japan-Caribbean transfer of technical and process-oriented information on experiences, good practice, lessons and examples of relevance to medium to long-term national, sector and local planning and budgeting processes</i></p>					

*3.2.4.1 Outcome 1: NAMAs and NAPs to promote alternative low-emission and climate-resilient technologies that can support energy transformation and adaptation in economic sectors are formulated and institutionalised.*

The programmed outputs under Outcome 1 are:

- **Output 1.1:** Technical support towards national and sub-national institutional and coordination arrangements in Caribbean countries to support the formulation of national roadmaps on the NAP process, including elements for monitoring the progress for implementation.
- **Output 1.2:** National teams are trained in the use of tools, methods and approaches to advance NAP process and budgeting.
- **Output 1.3:** *Business as usual greenhouse gas emission baselines established and climate change mitigation options for selected sectors relevant for the Caribbean region identified.*
- **Output 1.4:** *Design and implementation of NAMAs in the Caribbean with MRV systems and NAMA registries in place to monitor their execution.*

Achievements to date include:

- In-country consultations have taken place in the eight countries to identify specific activities to support NAPs and NAMAs processes.
- Forty four representatives from 10 Caribbean countries (including the eight countries of the J-CCCP) have been trained in developing the strategies and key building blocks to advance the NAP process in the NAP Regional workshop which J-CCCP co-hosted with NAP Global and Grenada's Ministry of Education, Human Resource Development and the Environment – October 2016.
- The project collaborated with UNFCCC on its [regional NAP workshop for Latin America and the Caribbean](#) held 4 – 7 September 2017 in Costa Rica. The workshop had approximately 40 country participants with 12 of those participants being represented by the Caribbean. The training focused on assisting with country climate change focal points in their NAP process. During the course of the three-day training sessions, participants were exposed to designing the specific process of the NAP, establishing the framework, alignment for funding as well as brief a workshop including a gender consideration component. The project also partnered with the NAP Global Network on this as well. It is expected that the national counterparts would be able to advance the process in a more strategic way in country.
- Progress on NAP development activities have started in each of the targeted countries is as follows:
  - **BLZ** –Contracts with NAP consultants were terminated twice since the consultants resigned. The PMU has drafted a TOR for a company to complete these activities and is expected that the company will be on board by December 2107. An Inception Report was already developed and progress is reported at 17%.
  - **GUY** – Contract with the NAP consultant was terminated in May 2017 since the consultant failed to submit deliveries. The PMU has drafted a TOR for a company to complete these activities which is expected to be on board by December 2017. An

- Inception Report was already developed. Progress is reported at 17%.
- **SLU** – NAP consultant is on board. 1<sup>st</sup> NAP consultation was held in May 2017 and 2<sup>nd</sup> consultation in July 2017 with the participation of 79 men and 91 women. A stocktaking climate and vulnerability report has been developed for NAPs in April 2017. The third consultation is scheduled for November 2017. Progress is reported at 43%.
  - **SUR** –NAP consultant is on board and a Gap assessment report and Training needs and capacity development plan inclusive of a roadmap for a climate change institute has been developed for Suriname. The second consultation has been scheduled for November 2017 due to the delay in the acceptance of the above mentioned deliverables. Progress is reported at 33%.
  - **SVG** – NAP consultant is on board and the Draft NAP Assessment report has been completed and is awaiting revision based on national comments. The 1<sup>st</sup> NAP consultation was held in May 2017. In country training has taken place in October 2017. Progress is reported at 17%
  - **JAM**- The project continues to support the Climate Change Division to improve the coordination mechanism as Jamaica has already started its NAP process. This was facilitated through the hiring of a Coordination Officer who would support the work of the National Focal Point Network for Climate Change and assist in the development of standardised processes and protocols for engagement as well as capacity building.
  - **DOM** – Dominica is already working on the preparation of its 3<sup>rd</sup> National Communication and has declined assistance for the preparation of a NAP.
- **Standardised Baseline for NAMAs.** Five countries (Belize, Guyana, St. Lucia, St. Vincent and the Grenadines and Suriname) have agreed to establish standardised baselines for their relevant NAMAs with the support from UNFCCC. A series of in-country training workshops towards building the capacity to support the calculation for the baseline emission for the transportation and energy sectors were held between 23 –31 October 2017 in Guyana, Suriname and St. Lucia. The schedule for undertaking in-country training workshops in Belize and St. Vincent and the Grenadines will be decided once emission calculations are completed in the first quarter of 2018.
  - A total of approximately 155 national counterparts (53% females and 47% males) have been trained in understanding the concept and key elements of NAMA in Belize, Guyana, St. Lucia, Suriname, St. Vincent and the Grenadines, and Grenada.
  - NAMA development has started in the following countries
    - **BLZ** –A study for a NAMA in the waste to energy sector has been contracted to a Dutch company. A capacity training seminar on the Development and Implementation of Climate Change Mitigation Actions was held in September 2016. 1<sup>st</sup> Stakeholder consultation for a NAMA on Transportation took place in July 2017. Inception report has been drafted. Progress has been reported at 40%. Inception report for the study on producible biogas and renewable energy from biomass and organic waste was completed.



- **GRN** – Capacity building training seminar on the Development and Implementation of Mitigation Actions was held in June 2016. 1<sup>st</sup> Stakeholder consultation for a RE/EE NAMA took place in May 2017 and Stakeholder consultation report has been completed. Draft NAMA has been submitted and is under review. A 2<sup>nd</sup> Stakeholder consultation is scheduled for November 2017. Progress has been reported at 40%.
- **GUY** - Capacity building training seminar on the Development and Implementation of Mitigation Actions was held in September 2016. 1st Stakeholder consultation for a RE/EE NAMA took place in April 2017 and Consultation report has been completed. 2<sup>nd</sup> Stakeholder consultation was held in July 2017 and additional consultations have been scheduled to define the interventions. Progress has been reported at 40%.
- **SLU** – A capacity building training seminar on the Development and Implementation of Mitigation Actions was held in June 2016. 1st Stakeholder consultation for a NAMA (Greening schools) took place in May 2017. Required data to establish standardised baselines has been collected and Draft NAMA will be submitted November. Progress has been reported at 40%.
- **SVG** - Capacity building training seminar on the Development and Implementation of Mitigation Actions was held in June 2016. 1st Stakeholder consultation for a Transport NAMA took place in 2017. List of Ministries of the SVG fleet is being collected and draft NAMA is being finalized and the 2<sup>nd</sup> Stakeholder Consultation is scheduled for November 2017. Progress is reported at 40%.
- **SUR** - Capacity building training seminar on the Development and Implementation of Mitigation Actions was held in July 2016. 1st Stakeholder consultation for a NAMA to provide RE generation to the hinterland took place in April 2017 and Consultation report has been drafted. Draft NAMA is under preparation. Progress has been reported at 20%.
- **DOM** - Official request was received and draft TOR has been developed. Currently awaiting final approval of the TOR and publishing.
- **JAM** - The TOR for NAMA development has been prepared and a consultant is expected to be on board by the beginning of December 2017.

<b>Rating of Outcome 1: Satisfactory</b>
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#### ***3.2.4.2 Outcome 2: Selected mitigation and adaptation technologies transferred and adopted for low emission and climate resilient development in the Caribbean.***

The programmed outputs under Outcome 2 are:

- Output 2.1 Affordable climate-resilient community-based water harvesting, storage and distribution systems designed, built and rehabilitated in selected target areas (e.g. communal reservoirs, rooftop catchment, rainwater storage tanks and conveyance systems).
- Output 2.2 Crop diversification practices tested for their ability to improve resilience of

farmers to climate change impacts.

- *Output 2.3 Community-based water capacity and irrigation systems improved or developed to test their ability to raise agricultural productivity.*
- *Output 2.4 Climate-resilient agro-pastoral practices and technologies (e.g. water management and soil fertility) demonstrated in selected target areas.*
- *Output 2.5 Small-scale infrastructure implemented to reduce climate change and disaster-induced losses.*
- *Output 2.6 Energy pilot demonstrations applied to selected adaptation, mitigation and disaster risk management interventions to catalyse low-emission climate-resilient technology transfer, development and investments in the Caribbean.*

Achievements to date under Outcome 2 include:

- Baseline assessments on climate change related activities and institutional structures have been completed for Belize, Jamaica, Guyana, Suriname, Dominica, St. Lucia, Dominica and St. Vincent and the Grenadines
- A detailed risk and environmental assessment of 10 potential relocation sites in Dominica for the resettlement of communities following Tropical Storm Erika was developed.
- A detailed template for guiding the preparation of pilot project proposals was prepared and for the pilot project proponents. Reporting templates have also been generated so as to capture results easily and align them with outcome targets
- In order to accelerate the pilot project proposal review process and address the lack of project formulation capacity the PMU mobilised nine (9) sub-thematic experts from four (4) focal areas (Water [2 experts], Agriculture [4 experts], Disaster Risk Reduction [2 experts], and Renewable Energy / Energy Efficiency [1 expert]). These experts also contributed to ensure the technical quality of proposals and supporting the proponents to develop the key procurement documents for some of the pilot projects.
- A total of 36 pilot projects are being evaluated and / or under implementation as follows:
  - 22 pilot projects have been approved as follows
    - *SVG 7, SUR 4, JAM 3, GUY 1, BZE 1, SLU 2 and GRN 4*
  - 6 pilot projects are still under review by the Technical Advisory Group (TAG):
    - *GRN 1, SLU 1, SVG 1, DOM 2 and SUR 1*
  - 6 pilot projects are under PMU initial screening
    - *DOM 2, GRN 3 and SUR 1*
  - 2 project is still under proposal development
    - *GUY 1 and SUR 1*
- The focus areas of the pilot projects are as follows:

• (2.1) Water Resource Management	9
• (2.2-2.4) Sustainable Agriculture	19
• (2.5) Community Based Climate Resilient Infrastructure	5
• (2.6) Renewable Energy and Energy	

Efficiency 3

• **Total pilot projects 36**

More detail on the pilot projects and their respective status is shown in Annex VII.

It is worth noting that on July 7, 2017 the Guyana project “Piloting Solar-Photovoltaic Systems and Energy Efficient Streetlights in Bartica, Region Seven” was officially launched in Bartica<sup>15</sup>, Region 7 in July, 2017. The Terms of Reference for the services of a street lighting consultant and the Revolving Fund Consultant were developed/revised. The Guyana Energy Agency conducted field visits to the Three Mile Secondary School and provided technical guidance through a report containing the recommended specifications for the Solar PV System and energy efficiency measures and the implementation of the Solar PV pilot projects have also been launched.

Also in the case of Jamaica all three pilot projects were officially launched at a ceremony in Denbigh Clarendon on 13 September 2017<sup>16</sup> which saw participation from all major stakeholders including, community members, the public sector, private sector, the international community and the political directorate. Micro assessments have been completed for 2 implementing partners, namely, the Clarendon Parish Development Committee Benevolent Society (CPDCBS) (proponent of the project “Rehabilitation and construction of water harvesting infrastructure in upper Clarendon”) and the Jamaica 4H Clubs (proponent of the project “Promoting climate smart technologies in schools through enhancement of the 4H supported school gardens programme”). Following positive assessments, initial disbursements have been made for implementation in keeping with an agreed work plan and budget. The UNDP Jamaica is assisting with procurement of large items for all three projects.

With regard to Saint Vincent and the Grenadines, the J-CCCP has finalised Letters of Agreement for four projects, and began development of procurement specifications and documents and transfer of funds. Also, to facilitate fund transfer, UNDP is undertaking a Harmonised Approach to Cash Transfer (HACT) assessment to facilitate fund transfer. For two of the pilot projects, initial survey and selection of specific target locations have been concluded. Implementation Plans and Procurement Schedules have been developed and finalised for five pilot projects and the NFP is providing support for the drafting of the Inception reports.

Finally, three of the pilot projects of Suriname have started their implementation which are:

- For the project “Enhancing access to drinking water for the Maroon community of Asigron”, the construction of water platforms has started. Some members of the community are being trained in masonry. Training is also provided in social empowerment.

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<sup>15</sup> [http://www.gy.undp.org/content/guyana/en/home/presscenter/pressreleases/2017/07/13/office-of-climate-change-undp-and-japan-kick-start-caribbean-climate-change-https://www.youtube.com/watch?v=EZE6tFw\\_rMI](http://www.gy.undp.org/content/guyana/en/home/presscenter/pressreleases/2017/07/13/office-of-climate-change-undp-and-japan-kick-start-caribbean-climate-change-https://www.youtube.com/watch?v=EZE6tFw_rMI)

<sup>16</sup> <http://www.jm.undp.org/content/jamaica/en/home/presscenter/pressreleases/2017/09/22/jamaican-communities-getting-climate-smart-to-climate-change.html>

- For the project “Encouraging children’s homes to grow crops and fish for food security and climate change resilience”, procurement of the construction materials for the greenhouses is being completed.
- For the project “Women Empowerment & Renewable Solar Energy”, the micro-capital grant agreement was concluded between Amazon Development Team and UNDP and the first tranche of the project fund has been disbursed. The proponent has started with the necessary procurements.

<b>Rating of Outcome 2: Moderately Satisfactory (MS)</b>
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***3.2.4.3 Outcome 3: Knowledge networks strengthened in Caribbean to foster South-South and North-South cooperation through sharing of experiences surrounding climate change, natural hazard risk and resilience.***

The programmed outputs under Outcome 3 are:

- Output 3.1: Capacity building within the region to sustain and enhance approaches to climate change adaptation and mitigation.
- Output 3.2: Communication campaign on the benefits of mitigation and adaptation, mitigation and disaster risk management interventions to catalyse low-emission technologies for sustainable cities in island towns and communities.

Achievements to date under Outcome 3 include:

- A Knowledge, Attitude and Practices / Behaviour (KAPB) survey was completed for all eight countries by January 2017.
- Based on the results of the KAPB survey communication strategies for the eight countries have been developed.
- A survey to assess agricultural training needs in preparation for a study tour has been conducted. A total of 145 questionnaires were sent and 104 people (69 male and 35 female), primarily farmers and Government Officials within the Ministries of Agriculture responded.
- The first J-CCCP newsletter was issued in November 2016 together with the establishment of the J-CCCP Web platform and another newsletter was issued in July 2017 as well.
- Project activities have been broadcasted through the J-CCCP Web-platform, Facebook Twitter, Instagram, You Tube and Flickr.
- A Capacity Building Training seminar for around 30 journalists from across the region took place in April 2017 to learn and share best practices on climate change issues as well as the role of media entities in communicating on climate change. A field visit to the Southside community in Belize City provided an opportunity for the journalists to chat with residents that have experienced repeated flooding and erosion and thus better understand how climate change is impacting on people’s daily life.
- In Guyana, J-CCCP launched a short film entitled, ‘Siege on My Land: Guyana’s Battle with Climate Change’<sup>17</sup>. This short film was developed based on the results of the knowledge,

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<sup>17</sup> [https://www.youtube.com/watch?v=3Nm3XKy\\_Q4&t=1s](https://www.youtube.com/watch?v=3Nm3XKy_Q4&t=1s)

attitudes and practices survey conducted in 2016 and was screened in Georgetown as well as in Guyana’s interior with approximately 120 indigenous persons from four villages.

- Communication campaigns and collateral development have commenced in four countries (i.e., Belize, Dominica, Jamaica and Grenada). The communication campaign for Belize was launched in April 2017. The campaign, which carries the slogan “*Feel the Change*” focuses on the changes which can be seen and felt in our environment while encouraging Belizeans to be part of the change. Community visits to Corozal and Southside, Belize City coincided with the global celebration of Earth Day. Interaction with over 500 residents was accomplished during the visit to these communities and the campaign launch activities were covered in 13 publications.
- Also, communications campaign was undertaken in Dominica during the period 21-24 August, 2017<sup>18</sup>. During this time, the PMU visited and presented to communities (including the Kalinago (indigenous) community) and groups on information relating to Climate Change. Communications collateral such as the flyers and a video were also shared along with the branded solar lanterns. Radio and<sup>19</sup> TV ads<sup>20</sup> began airing on media outlets highlighted as most consumed in the KAP/B study. Table 3 below provides a synopsis on Dominica communications campaign.

**Table 3 Synopsis on Dominica communications campaign**

No.	Target Group	Dissemination Area (Community)	Details
1	Kalinago Territory Council	Kalinago territory consist of approximately 3,000 persons <sup>21</sup>	Chief of the territory spoke and 24 persons were represented from all the Kalinago areas. Persons present answered questions relating to climate change and seemed most interested in deforestation practices as well as renewable energy. They also asked about potential projects
2	Youth	Communities of Dubique, Roseau and Bagatelle (and the environs)	35 youth participated. Youth received a presentation on climate change and how it affects Dominica. The presentation was followed by dialogue and a climate change quiz and games.
3	Bagatelle Community Council	Community and Local Government representatives	Approximately 15 persons participated
4	Local Government Council	Meeting in Roseau.	Approximately 21 persons present
5	Adult Education Centre	16 persons; 14 women , 2 men	Brief presentation on climate change

<sup>18</sup> <http://www.bb.undp.org/content/barbados/en/home/presscenter/articles/2017/08/28/-beat-the-clock-climate-change-campaign-launched-in-dominica.html>

<sup>19</sup>

<sup>20</sup> <https://www.youtube.com/watch?v=HSyjRQPvKzs>

<sup>21</sup> <http://kalinagoterritory.com/about-us/>

	Radio & TV Ads	One <a href="#">60 sec animated ad</a> and two 30 sec radio ads	The ads were initiated on radio and TV stations which the KAP study indicated were most consumed
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- As part of the communication campaign activities in Jamaica, two climate change awareness events were held<sup>22</sup>. Also, emphasis has been placed in incorporating local languages /dialects in the communication campaigns for countries such as St. Lucia and Suriname where a large part of the population in the hinterland is accustomed to communicate in creole or Dutch dialects, respectively, This is also planned for Guyana.
- Other communications campaigns are currently either being planned or are already underway for all other countries. Please note status table on activities below:

Country	Communications Activities	Timeline
Grenada	Collateral products tested Campaign to be launched	December 2017/January 2018
Guyana	Short film currently being filmed Posters for schools under development Radio drama	Completed Design completed; to be printed Completed
Jamaica	School outreach with virtual farm game at pilot project target schools	December 2017
Saint Lucia	Bi-lingual edutainment (drama) Engaging calypsonians Posters for printing and social media 60 second video	2018
St. Vincent	Music video featuring popular local artist Video produced by youth Larger banners/billboards Posters featuring infographics	2018
Suriname	1-2 min motion graphic with narration in Dutch or Dutch subtitles Workshops for entertainers and story-tellers Essay competition on how to integrate CC into development planning or write their own NAMA Posters	Video completed; Workshop to be completed by December 2017; Essay competition completed

- **Caribbean Youth Climate Change Conference.** The project continues to collaborate with the USAID-funded Jamaica Rural Economy and Ecosystems Adapting to Climate Change (Ja REEACH) project on the co-hosting of the Caribbean Youth Climate Change Conference in October 2017. The project along with representatives from the Sophia University in Japan, the University of West Indies and the Caribbean Youth Environmental Network (CYEN) are on the Steering Committee for the event. The project will be funding thirty (30) youth from the representative eight countries as well as a chaperones and representatives from the CYEN. Leading up to the event, there were a number of activities: most countries had a process where youth in-country delegations were required to write an essay or demonstrate

<sup>22</sup> <http://www.bb.undp.org/content/barbados/en/home/presscenter/articles/2017/08/20/j-cccp-engages-jamaican-communities-during-climate-change-outreach.html>

their climate change knowledge. Chaperones and CYEN representatives assisted with preparation of country presentations. There were also a number of ‘youth-targeted’ activities such as poster, song, dance and video competitions which were targeted to all youth regionally. “Our Climate. Our Voice. Our Change” was adopted as the conference theme and there was a media launch<sup>23</sup> for the conference on 13<sup>th</sup> September 2017. A promotional video<sup>24</sup> for the conference was also produced.

- **Partnership Building** The project has partnered with the Caribbean Community Climate Change Centre (CCCCC) on the facilitation of an international conference on climate change for the Caribbean held in October 2017 and continues to partner with UNDP Low Emission Capacity Building (LECB) programme and UNFCCC to support NAMA developments, and partner with the NAP Global Network and the NAP Global Support Programme to support NAPs process.

The J-CCCP has been proactive and effective in taking advantages to develop strategic partnerships with key organisations including NAP Global Network, USAID, UNDP LECB, and UNFCCC to support the development of NAPs and NAMAs across the eight Caribbean countries as discussed in more detail in Section 4.3.

In spite of the number of activities that have been completed under Outcome 3, limited progress has been achieved on the activities listed under Output 3.3 (Japan-Caribbean technology transfer).

A Needs Assessment for Knowledge Transfer has been completed which includes a presentation showing relevant innovations and applicable technologies from Japan which could be adopted in the Caribbean. The Evaluator considers that this and other similar activities should have been undertaken during the early part of project implementation with the view of looking for ways to incorporate innovative technologies from Japan and other countries in the formulation of the demonstration projects in order to prove their technical and financial feasibility and determine their replicability potential. It is worth noting that since the J-CCCP project experienced delays with pilot project proposal preparations, it was difficult to pin-down technologies which could be transferred in the early stage of the project. At this stage, virtually no technology innovation has been included so far among the demonstration projects that are being proposed under Outcome 2 and the opportunity to explore the adoption of climate-smart / proven technologies to boost key productive sectors such as agriculture, water and energy (especially from Japan) during the implementation phase of the J-CCCP initiative may have been lost with the exception that the project decided to conduct a study tour on agriculture a sector in which the majority of the pilot projects focus on. The main target on this study tour would be farmers and a firm has already been selected in October 2017 in order to program the study tour to Japan.

Even though, Japanese technologies have not yet been incorporated as a result of not having taken

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<sup>23</sup> <http://www.bb.undp.org/content/barbados/en/home/presscenter/articles/2017/09/12/youth-climate-change-conference-2017-launched-.html>

<sup>24</sup> <http://www.bb.undp.org/content/barbados/en/home/presscenter/articles/2017/09/12/youth-climate-change-conference-2017-launched-.html>

a study tour to Japan it is worth noting that in many cases the pilot project interventions were researched and some can be considered innovative for the region. Also, in some cases, South-South cooperation allowed for the transfer of technologies. The majority of the pilot projects are based on conventional simple and low cost proven technologies which based on prior technology transfer experiences could end up being more effective and sustainable than new and in many instances costly technologies

**Rating of Outcome 3: Moderately Satisfactory (MS)**

**Overall rating of Effectiveness: Moderately Satisfactory (MS)**

**3.3 Efficiency**

Under efficiency the cost-effectiveness and timeliness of project execution have been assessed. Both have a direct impact on the quality of implementation and ultimate results that would be achieved within the timeframe of the intervention. Efficiency and timeliness are two critical aspects of project implementation that need improvement.

As mentioned earlier, at the beginning the project suffered important delays which resulted in the need to request a no-cost extension of the project end date from December 31, 2017 to December 31, 2018

To a certain extent, the challenges of working with a large group of sovereign governments and the low project formulation capacities of project proponents in most, if not all of the countries have been underestimated. The PMU had to manage multiple activities and interact with 8 countries, although it benefited from having incorporated National Focal Points (NFPs) in each of the countries to assist with in-country coordination activities. Nevertheless, the rate of progress on project set up and implementation activities has not been the same among countries.

As shown in Table 4 budget execution and delivery of outputs have been low when taking into consideration that the project was originally designed to be implemented within 36 months and that in spite of the one year extension that has been granted until December 31, 2018 there are only 14 months left<sup>25</sup> and total funds disbursed as of September 2017 only account for 31% of the total funds that have been made available.

**Table 4 Budget execution through Q3 2017**

	2015 USD	2016 USD	2017 Q1+Q2+Q3 USD	2015 thru Q3 2017 USD	Original Budget USD	Total Expenditures thru Q3 of 2017 as % of Total Budget USD

<sup>25</sup> Or 18 months left when measured from the latest available data on funds disbursed.



<b>Outcome 1</b>	43,662.54	288,227.93	333,768.73	665,659.20	2,271,831.00	29%
<b>Outcome 2</b>	30,215.93	1,315,626.49	941,983.80	2,287,826.22	8,107,730.00	28%
• <b>OECS</b>	8,780.73	941,851.15	381,747.10	1,332,378.98		
• <b>Jamaica</b>	272.69	38,685.72	226,641.68	265,600.09		
• <b>Belize</b>	0.00	222,535.79	139,743.86	362,279.65		
• <b>Suriname</b>	19,955.88	60,591.38	132,315.74	212,863.00		
• <b>Guyana</b>	1,206.63	51,962.45	61,535.42	114,704.50		
<b>Outcome 3</b>	0.00	268,333.01	471,946.32	740,279.33	1,978,780.00	37%
<b>Project Mgmt.</b>	252,991.55	402,394.68	257,480	912,866.72	2,541,658.00	36%
<b>Total</b>	<b>326,870.02</b>	<b>2,274,582.11</b>	<b>2,005,179.34</b>	<b>4,606,631.47</b>	<b>14,899,999.00</b>	<b>31%</b>

Note: Tentative figures retrieved from Combined Delivery Report on 23 October 2017

The 2015 expenditures correspond to the initial costs associated with the support provided by the UNDP Barbados CO and RBLAC related to initial management and organizational process arrangements including recruitment preparation of the PMU staff and the acquisition of furniture and computer equipment.

While cumulative expenditures through Q3 2017 as a percentage of total budget are at 31%, between July-Sept 2017 the project expended and delivered approximately USD 980,000 as opposed to approximately USD 500,000 in the previous quarters for 2017. This significant increase in expenditures for the 3Q 2017 is attributed primarily to the approval of a number of the pilot projects and the commencement of implementation for these pilots as well as the activities that are being planned under Outcome 3.

As shown in Table 5 expenditures for the Q4 2017 are estimated to be over USD 1.5 million which would increase the total delivery of project to approximately USD 6 million and therefore increase percentage of expenditures to budget at 41% by the end of 2017.

Table 5 Actual expenditures through Q3 2017 and planned expenditures for Q4 2017

	2015 thru Q3 2017 USD	2017 Q4 (plan) USD	Total planned expenditures 2015-2017 USD	Original Budget USD	Total planned Expenditures 2015-2017 as % of Total Budget USD
<b>Outcome 1</b>	665,659.20	198,728.35	864,387.55	2,271,831.00	38%
<b>Outcome 2</b>	2,287,826.22	853,009.78	3,140,836.00	8,107,730.00	39%
• <b>OECS</b>	1,332,378.98	562,413.46	1,894,792.44		
• <b>Jamaica</b>	265,600.09	73,328.32	338,928.41		
• <b>Belize</b>	362,279.65	63,646.15	425,925.80		
• <b>Suriname</b>	212,863.00	87,807.74	300,670.74		
• <b>Guyana</b>	114,704.50	65,814.11	180,518.61		
<b>Outcome 3</b>	740,279.33	277,774.67	1,018,054.00	1,978,780.00	51%
<b>Project Mgmt.</b>	912,866.72	202,290.20	1,115,156.92	2,541,658.00	44%

<b>Total</b>	4,606,631.47	1,531,803.00	6,138,434.47	14,899,999.0 0	41%
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*Note: Tentative figures retrieved from Combined Delivery Report on 23 October 2017*

Another factor that has contributed to having a low budget executing and delivery vs. what has been originally planned is the impact that having to implement a broad thematic range of activities across 8 countries has had on the PMU together with the different levels of response among countries which is directly reflected in the uneven progress among the different countries under the three components as discussed in detail earlier in Section 3.2.4.

The project seems to have adequate financial resources to undertake the planned activities, however given the high volume of planned activities and dependency on third parties in each of the countries, the timeline to achieve them may have to be extended to guarantee that the planned outcomes are fully achieved.

<b>Rating for Efficiency: Moderately Satisfactory (MS)</b>
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### 3.4 Sustainability

The long term financial sustainability of the proposed project outcomes and results is relatively uncertain at this stage and depends on the extent to which the project is able to complete successfully the activities that have been programmed under each of the components and on the establishment of an enabling framework to sustain the intended results before the project end date.

The continuation of project results is likely to require continued financial support. In particular, additional funding will have to be secured for the implementation of the NAMAs and NAPs that are being developed for each of the countries.

Having said that there is evidence that the J-CCCP project has been successful in generating enough political support and buy-in from the various governments and beneficiaries involved and as a result socio-political sustainability is not considered to be a critical issue.

Although it is too early to assess the catalytic role of the J-CCCP initiative, based on the success of the various strategic partnerships that have been developed so far as described in more detail in Section 4.3, the J-CCCP initiative is likely to have a catalytic role in disseminating “best practices” and promoting the replication of successful pilot project implementations across the region.

With regard to environment sustainability the J-CCCP project has put emphasis on promoting the integration of low-emission and climate resilient approaches into economic sectors and medium to long term national planning and development processes based on a multi-sector, multi-disciplinary approach and ensuring that these processes take place not only at the level of the Ministries of Environment or of the Climate Change Units but also that other key players such as the Ministries of Finance and Planning are integrated into these processes while building on and / or complementing other regional and national initiatives oriented towards mainstreaming environmental sustainability.

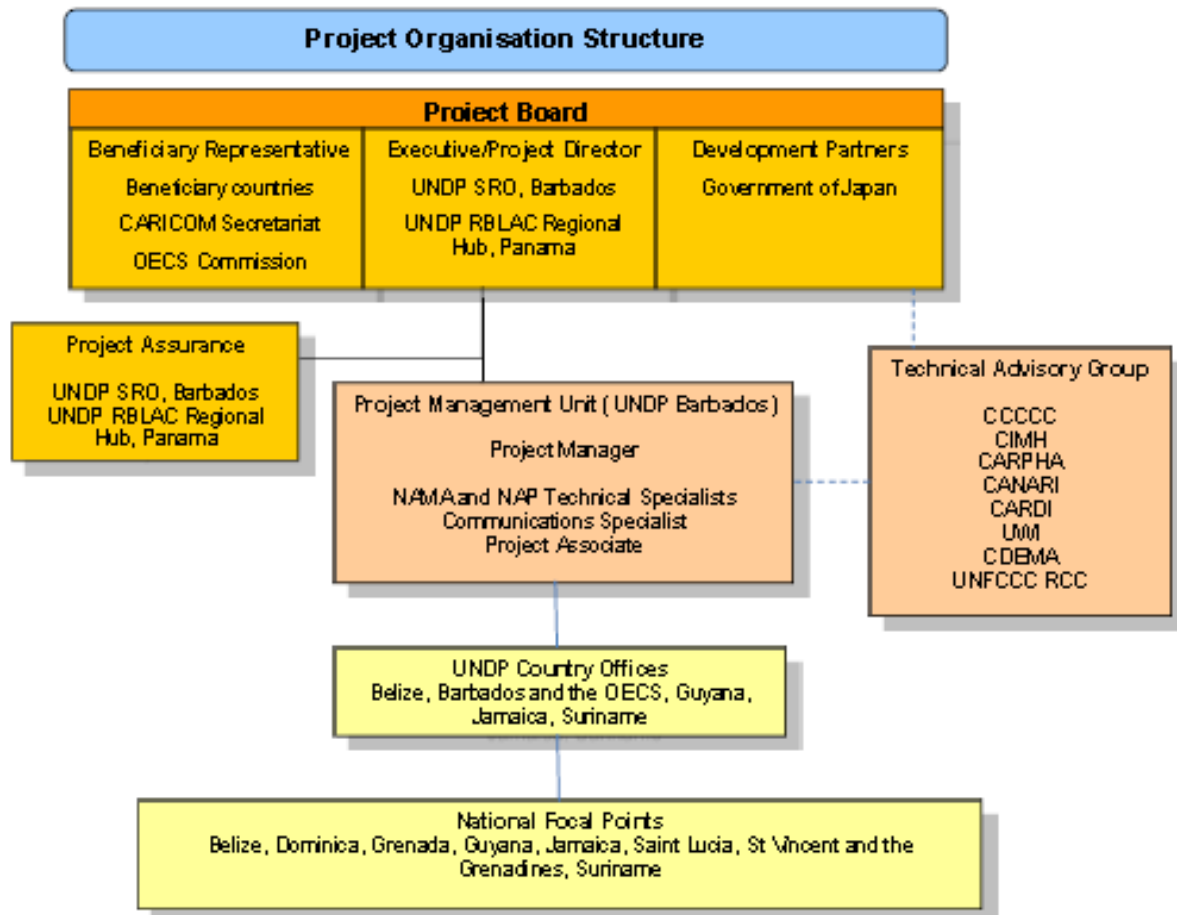
**Rating for Sustainability: Moderately Likely**

## 4. Other key findings

### 4.1 Management arrangements

Management arrangements have been implemented in accordance with what has been established in the Project Document as shown in Figure 1.

Figure 1 Management Arrangements for the J-CCCP project



The PMU is comprised of a full time Project Manager, an M&E Analyst, two Technical Specialists, one Communication Specialist, one Procurement Officer, one Project Associate and eight National Focal Points in charge of coordinating in-country activities.

As shown in

Table 6 below, the UNDP Country Offices of Belize, Barbados and the OECS, Guyana, Jamaica and Suriname have been involved in overseeing the implementation of activities under Outcome 2 in

their countries and building relationships with stakeholders at national and local levels as well as with NGOs and development partners.

**Table 6 Roles of UNDP offices**

UNDP Unit	Role
Barbados & the OECS <ul style="list-style-type: none"> <li>• Lead Implementing Partner</li> <li>• (Co-Chair of the Project Board)</li> </ul>	<ul style="list-style-type: none"> <li>• Accountable for the overall leadership, decision making and project management</li> <li>• Develop regional work-plan</li> <li>• Implement regional actions/activities in addition to OECS</li> <li>• Report to Donor</li> <li>• Conduct Audits and M&amp;E</li> </ul>
Regional Hub, Regional Bureau of Latin America and Caribbean <ul style="list-style-type: none"> <li>• (Co-Chair of the Project Board)</li> </ul>	<ul style="list-style-type: none"> <li>• Responsible for the oversight and quality assurance</li> <li>• Provide technical support</li> </ul>
Country Offices (Belize, Guyana, Jamaica, Suriname)	<ul style="list-style-type: none"> <li>• Implement Outcome 2 related actions/activities into CO level annual work-plans, as agreed</li> <li>• Accountable for activities that have been agreed to for implementation at the CO level</li> </ul>

A Technical Advisory Group (TAG) has been established to provide strategic technical oversight to the PMU and in particular to assist with the review and enhancement of the pilot project proposals. The TAG has scheduled virtual meetings regularly where the PMU has provided regular updates on all aspects of the project and seek guidance from the TAG. Specific queries have been sent on pilot projects on a continuous basis to members of the TAG which have in turn sent their comments on project technical and implementation issues to the PMU for approval or rejection of the pilot project proposals.

The TAG members have also been instrumental in identifying synergies and opportunities for collaboration as a result of their knowledge of the different initiatives that are ongoing across the region.

Project Board meetings have taken place twice a year during which the project work plan has been reviewed to verify that the proposed activities are on track and make whichever changes are necessary to ensure that they are best option to achieve the desired results.

Overall, the quality of the management arrangements that have been implemented are considered adequate. Responsibilities and reporting lines are clear and decision making has been transparent and undertaken in a timely manner.

**Rating for Management Arrangements: Highly Satisfactory (HS)**

## 4.2 Adaptive management

During the inception phase the PMU has been effective in performing adaptive management to correct some of the shortcomings of the Project Results Framework including:

- The number of countries expected to complete activities with regard to NAP development was reduced from six to five based on the outcome of the in-country consultations,
- The target for the NAP has been amended to include the option of completing NAP roadmap as opposed to a full NAP. This was found to be critical for several countries where substantial work on this area has not yet been accomplished and full NAP development would not have been possible within the timeframe of the J-CCCP,
- Implemented demonstration projects will be based on national risk and vulnerability assessments with inputs at the community level as opposed to community based assessments as was previously proposed,
- Five additional targets were added to Output 2 to improve the alignment between the baseline and the expected outcome under the project as follows:
  - 12% increase in yield (kilograms per hectare) or crop density (plants per hectare) relative to inputs,
  - 5% in the number of hectares of grazing area with adaptive and improved grazing techniques,
  - 15% increase in the area of farmland where climate smart agriculture technologies have been adopted (e.g. reduced tillage, permanent crop cover etc.),
  - 10% reduction in the amount of toxic agrochemicals used,
  - 2 km of infrastructure implemented (e.g. road or slope stabilization) to reduce climate change and disaster-induced losses,
  - 20% increase in the number of female headed households with improved access to water, and
  - 100 people with improved access to water,

These targets were developed in view of the fact that the Baseline Assessment provided data on the current status in each country determine the percentage improvement for the relevant areas as a result of the implementation of the pilot initiatives, and

- The source of verification for NAMA and NAP related activities was changed from “approved” NAPs/NAP Roadmaps/NAMAs to “completed” due to the timeframes and complexities associated with approval processes at the national level in some of the countries involved which may have taken the completion of such activities beyond the project end date.

Information from the NAMA trainings and Baseline assessments has been used to adjust planned activities and outputs as necessary.

To assist pilot project proponents with the preparation of their proposals and facilitate the evaluation and approval process, the PMU prepared a detailed project proposal template. This template was modified once based on initial comments from the TAG and approved thereafter. Minor modifications have been made by the PMU to enhance the collection of required information for evaluation and monitoring of the initiatives. These minor modifications did not substantially affect the scope of requirements of the document. It is worth noting that the template allowed for an adequate evaluation of the project scope and its alignment with ongoing national and regional

initiatives, as well to ensure that the risks and proposed mitigation measures were adequately articulated<sup>26</sup>. In addition, the PMU conducted two webinars on completion of the template and provided direct assistance with examples. However, even though the template together with its modifications has met its objective, it has delayed the overall approval of eligible pilot projects under Output 2. In addition, as a consequence of the limited project formulation capacities identified in almost all countries, the PMU decided to mobilise 9 sub-thematic experts to support the preparation and approval of the pilot project proposals.

In order to expedite the approval process of pilot projects under Outcome 2, Project Board approval is no longer required provided the Technical Advisory Group is satisfied with the proposals that have been presented.

<b>Rating for Adaptive Management: Satisfactory (S)</b>
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### 4.3 Partnership arrangements

The J-CCCP has been proactive and effective in taking advantages to develop strategic partnerships with key organisations including NAP Global Network, USAID, UNDP LECB, and UNFCCC to support the development of NAPs and NAMAs across the eight Caribbean countries. In addition, the project has conducted a regional climate change coordination seminar with a view to identify activities in which it can collaborate and avoid duplication of interventions in the region.

- **Partnership Building** The project has partnered with the Caribbean Community Climate Change Centre (CCCCC) on a Coordination seminar that took place in April 2016 to map synergies and actions between development partners and the J-CCCP in order to maximize the impact of ongoing and coordinate climate change activities across the region. The partnership with CCCCc also serve to facilitate the organisation of the international conference on climate change for the Caribbean held in October 2017. The conference will focus ongoing work in the region with respect to climate modelling and projection and actions towards building regional climate resilience. Representatives from various organisations presented their work towards reducing emissions and enhancing evidence based planning to address the impacts of climate change. Presentations were made by representatives of UWI Centre for Resources Management and Environmental Studies, CIMH, GCCA, FAO as well as the Mona Climate Studies Group. A J-CCCP Technical Specialist from the project presented on the status of various ongoing project activities at the conference.

Furthermore, the project continues to partner with UNDP Low Emission Capacity Development (LECD) programme and UNFCCC to support NAMA developments, and partner with the NAP Global Network and the NAP Global Support Programme to support NAPs process.

However, virtually no progress has been made in exploring opportunities to develop links with the

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<sup>26</sup> The first iteration did not allow for the proponents to outline how the activities aligned to the JCCCP Outcomes and Outcome level indicators

Japanese private sector through business exchanges and trade shows in order to increase awareness of climate resilient innovative technology options for risk mitigation and adaptation suitable for the local contexts. This should have been achieved during the early part of project implementation in order to have had the opportunity to include such innovative technologies during the formulation of the pilot projects and be able to assess their technical and financial viability as part of the J-CCCP initiative.

<b>Rating for Partnership Arrangements: Moderately Satisfactory (MS)</b>
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#### 4.4 Monitoring and Evaluation

In accordance with the proposed M&E framework established in the Project Document, the Project Inception Workshop had to be held within the first 2 months of project start. However, as it has been discussed earlier, the J-CCCP experienced important delays during the early part of its implementation. Whereas, the Cooperation Agreement between UNDP and the Government of Japan was signed on July 2014, the Project Document signed in May 2015 and the Inception Workshop was not held until January 2016.

Aside from this issue, M&E has been given a high priority at all levels and the project has a comprehensive M&E plan in place with its corresponding budget and the results of the M&E are highlighted in the Quarterly Progress Reports.

With the incorporation of the M&E analyst, a detailed monitoring tool has been designed with quarterly targets for each of the project activities. Periodic monitoring through site visits have taken place to assess project progress first hand and field visit reports are prepared and circulated among PMU members.

Also, the pilot project template includes guidelines for an effective M&E of the pilot project. Project proponents are required to outline how the project progress will be tracked and the scheduled periods for collection of data/information and the established baseline for each expected sub-output and the corresponding targets should be used as the benchmarks for determining progress and success.

In addition, minimum reporting obligations of the Responsible Organization undertaking the pilot project implementation have been established including:

- **Inception report** with information on any changes to the approach to the implementation of activities due to consultation with stakeholders, additional data and ground proofing of proposed methodologies,
- **Monthly Progress reports** detailing major accomplishments as well as challenges and mitigations measures undertaken to manage them and keep the project on track and on schedule,
- **Monthly Financial reports** with a summary of the expenditure for the reporting period aligned with the project work plan and budget,
- **Field Monitoring and Evaluation reports** with the results of the field monitoring and



evaluation exercises that will be undertaken by the J-CCCP project team to verify reported results, monitor project progress and provide technical or administrative support where needed, at least twice during the project lifetime, and

- **Final Project Report** with a comprehensive description of the project activities and results from inception to completion, including a baseline assessment in relation to the targets reached, a full analysis of data collected and interventions that were used as well as lessons learned during project implementation.

As mentioned earlier some of the indicators and, in particular, their corresponding end of project targets that have been included in the Project Results Framework for monitoring and evaluation are not the most relevant for measuring the effective and timely implementation of all activities and impact of the programme intervention. As a result, in order to improve the M&E framework, several of the end of project targets that have been selected for Outcome 2 and in particular those that have been added as part of the revision that has been made to the original Project Results Framework, are not aligned with the indicators and need to be revised. This has been cited as a limitation by PMU and is an area currently in progress

**Rating for Monitoring and Evaluations: Satisfactory (S)**

#### 4.5 Gender considerations

The J-CCCP is fully aligned with the UNDP Gender Strategy that calls for mainstreaming gender perspectives, ensuring that gender equality and the empowerment of women are integrated order to assist with the eradication of poverty and reduce inequalities and exclusion.

The J-CCCP has been addressing gender considerations by collecting disaggregated data in all trainings /workshops and using such data to inform on the possible existence of gender gaps within the proposed activities and work on amending disparities.

All supported NAP and NAMA interventions are being assessed to identify the extent to which gender concerns have been taken into account in all relevant sectors and where relevant the J-CCCP intervention has been providing opportunities for skills development to both men and women as part of the trainings that are being provided at community level in the different countries. Also, emphasis is being placed in ensuring that women are part of the information building and sharing processes. All community level interventions have been required to conduct a gender needs assessment to ensure that such interventions are gender informed and provide opportunities for reinforcing positive gender norms.

In addition, gender analysis has been incorporated into the pilot project proposal template and the project has held a pilot project webinar where emphasis was placed on gender inequalities and the identification of techniques that could be incorporated into the pilot project proposals to address the empowerment of women.

**Rating for Gender Considerations: Highly Satisfactory (HS)**

## 5. Forward looking analysis and lessons learned

Based on the results of the MTR, the following are the key lessons learned that have been identified and that should be taken into consideration during the remaining implementation phase, as well as, for the design of future interventions:

### **Lesson 1: Importance of including output indicators and their corresponding mid-term targets in the project results framework**

The Project Results Framework of the J-CCCP initiative does not have output indicators with their corresponding mid-term and end-of-project targets nor does it include a detailed sequence of the activities that ought to be undertaken in order to achieve each of the outputs. As a result, the PMU has not been able to capitalise fully on the usefulness of the project results framework as a tool for the proper implementation and monitoring of the project. The main lesson learned is the importance of including output indicators in the Project Results Framework to facilitate the monitoring and evaluation of the project during the implementation phase at the output level. More critical is the lack of an outline and / or diagram with the causal linkages of the intervention showing the logical sequence and chronological flow of the different outputs, direct outcomes, intermediate states and longer-term outcomes towards the achievement of the intended impact of the intervention.

Note: This is currently being undertaken to be presented at the next Project Board as identified previously. The revision wanted to take the MTR into consideration hence it was not finalized yet.

### **Lesson 2: Under estimation of the technical capacities and response times of the public and private sectors across the Caribbean countries has been one the causes for implementation delays**

The J-CCCP initiative prove to have high level of national project ownership from the eight targeted countries. However, a major challenge faced by virtually all of the targeted countries has been the limited technical, financial and human resources which impacted on the capacity to design adaptation and mitigation strategies as well as on the formulation of low emission and climate resilient pilot project interventions. This limitation is manifested in the inherent challenges of national and local institutions and vulnerable communities who lack the human resources and funding which are needed to implement such strategies and project interventions.

By having underestimated the technical capacities and response times of the governments' central and sectoral ministries as well as those of national pilot project proponents, the PMU has experienced an additional workload which translated in implementation delays for Outcomes 1 and 2. For example, as a consequence of the limited project formulation capacities identified in almost all countries, the PMU decided to mobilise 9 sub-thematic experts to support the preparation and approval of the pilot project proposals.

### **Lesson 3: Lack of an analysis of the intended causality pathway of the proposed**

**interventions at the output and outcome levels has impacted negatively in the implementation of the technology transfer**

The J-CCCP has not been able to focus fully on the importance that the early implementation of certain activities under Component 3 should have in maximizing the overall impact of the intervention. In part, this is due to the fact that an analysis of the intended causality pathway of the proposed interventions at the output and outcome levels has not been included in the Project Document (as described under lesson 1 above).

The Evaluator considers that activities such as developing linkages with Japanese private sector through business exchange and trade shows should have been one of the first activities to be implemented after having identified the priority needs of each country. This would have prompted the possible inclusion of technology innovation in the pipeline of pilot projects and evaluation of the application potential of such technologies in the Caribbean region. By not having yet done much on this front, the opportunity to validate the potential of introducing climate smart technologies for Japan in the region as part of the J-CCCP intervention is virtually lost.

**Lesson 4: Adaptive management is key to ensure success of regional projects**

As it is the case with most regional projects, the J-CCCP initiative has been a complex and challenging project to design and implement since the specific needs and circumstances of the eight targeted countries are not entirely the same. Even though in many respects Caribbean countries share many similarities, they also have different needs and tend to move at different paces and hence adaptive management is required to take care of the different dynamics.

Adjusting work plans and reprogramming outputs both at regional and country levels has been critical throughout the implementation process. Overall, the PMU has been successful in implementing adaptive management to correct some of the shortcomings of the Project Results Framework, and provide assistance and follow up for the preparation of NAMAs and NAPs as well as providing guidance and support to pilot project proponents during the proposal preparation and evaluation process.

**Lesson 5: The template for pilot project proposals proved to be too complex for the project formulation capacities of the proponents and caused critical delays in the approval process**

Based on the comments from the majority of the project stakeholders that have been interviewed, the 27-page long template that has been designed as a guideline for the preparation of the pilot project proposals is deemed to be too complex and onerous for the limited size and complexity of the pilot projects that have been proposed. In all, it has taken over a year to begin approving the first pilot projects. In fact, a less demanding template was initially presented at the Inception Workshop, however the TAG believed a more robust tool/template was necessary to ensure quality and impactful projects with built-in sustainability. In the opinion of the Evaluator and based on the poor project formulation capacity among pilot project proponents it may have been more

productive to have used a less demanding template and utilize the resources that have been devoted to the initial screening of the pilot projects and the re-formulation of the template to provide hands on support during the implementation phase to ensure quality and impact of the projects with built in sustainability as it has been done through the hiring of the 9 technical experts later on to enhance the pilot project proposals.

**Lesson 6: Based on the cumulative progress to date, the J-CCCP project design has been too ambitious in its activities and targets in relation to the amount of time and to some extent financial resources that has been allocated**

Based on the evidence gathered during the MTR, the implementation of the J-CCCP has been professionally managed and administered by the PMU team. However, an analysis of the extent of activities and targets that have been proposed in relation to the amount of resources and the time that have been allocated shows that the project design has been too ambitious and as a result and in spite of the one year no cost extension that has been granted, there is a certain degree of uncertainty with regard to the prospects of full delivery of project results for all of the eight targeted countries by the project end date. In particular, full project implementation in countries like Dominica that have suffered extensive damages from hurricanes is highly questionable at this time.

## 6. Conclusions and Recommendations

This section presents the main conclusions from the MTR, highlighting the strengths, weaknesses and results of the J-CCCP initiative followed by recommendations to the PMU on corrective actions to improve the implementation and monitoring of the project and to follow up or reinforce initial project benefits.

### 6.1 Conclusions

- **Conclusion 1. The implementation of the J-CCCP is rated as Moderately Satisfactory**

The overall rating of the J-CCCP based on the evaluation of findings is rated as Moderately Satisfactory. Table 7 summarises the rating of the MTR based on evaluation criteria.

Table 7 MTR implementation ratings

Criterion	Summary Assessment	Rating
3. Relevance	The J-CCCP initiative is highly aligned with Caribbean climate change policies and UNDP's new Strategic Plan (2014-2017) which recognises the potentially disastrous consequences that climate change is likely to have across the region as well as with other donor funded projects related to climate change impact in the region	HS
4. Effectiveness		MS
<ul style="list-style-type: none"> <li>• Project design</li> </ul>	The J-CCCP initiative benefits from a balanced project design that combines country-driven components implemented in accordance with the national context and responding to specific country needs with an overarching component designed to enhance South-Sound and North-South cooperation and explore the development of PPPs to promote technology transfer	MS
<ul style="list-style-type: none"> <li>• Project implementation</li> </ul>	The implementation of the J-CCCP project has been professionally managed and administered by the PMU team and executed in a flexible and adaptive manner. However, at the beginning the project suffered important delays which resulted in the need to request a one year / no-cost extension of the project end date from December 31, 2017 to December 31, 2018	MS
<ul style="list-style-type: none"> <li>• Project Strategy</li> </ul>	The proposed project strategy of bringing together policy makers, experts and representatives of communities to encourage policy innovation for climate change incubation and diffusion has proven to be more demanding than what has been expected in spite of being considered as an effective approach towards the attainment of the project overall goal of supporting the Caribbean countries in advancing the process of low emission risk-resilient development.	S
<ul style="list-style-type: none"> <li>• Progress towards the achievement of</li> </ul>	The progress towards the achievement of outcomes and development results is assessed in terms of the project's success in producing the programmed outputs and in achieving	

outcomes and development results	<p>progress indicators / milestones as per the Project Results Framework subject to the limitation that only end of project targets (and no progress indicators) for outcomes have been included in the Project Results Framework while no indicators / targets have been set to evaluate the project's achievement of outputs.</p> <p>Project Objective Outcome 1 Outcome 2 Outcome 3</p>	<p>S S MS MS</p>
<ul style="list-style-type: none"> <li>Efficiency</li> </ul>	<p>To a certain extent, the challenges of working with a large group of sovereign governments and the low project formulation capacities of project proponents in most if not all of the countries have been underestimated. The PMU had to manage multiple activities and interact with 8 countries, although it benefited from having incorporated National Focal Points (NFPs) in each of the countries to assist with in-country coordination activities. Nevertheless, project set up and implementation activities have been uneven among countries. Budget execution and delivery of outputs have been low when taking into consideration that the project was originally designed to be implemented within 36 months and that in spite of the one year extension that has been granted until December 31, 2018 there are only 14 months left<sup>27</sup> and total funds disbursed as of September 2017 only account for 31% of the total funds that have been made available.</p>	<p>MS</p>
<ul style="list-style-type: none"> <li>Sustainability</li> </ul>	<p>The long term financial sustainability of the proposed project outcomes and results is relatively uncertain at this stage and depends on the extent to which the project is able to complete successfully the activities that have been programmed under each of the components and the establishment of an enabling framework to sustain the intended results before the project end date.</p> <p>The continuation of project results is likely to require continued financial support. In particular, additional funding will have to be secured for the implementation of the NAMAs and NAPs that are being developed for each of the countries.</p>	<p>ML</p>
<ul style="list-style-type: none"> <li>Management arrangements</li> </ul>	<p>The quality of the management arrangements that have been implemented are considered adequate Responsibilities and reporting lines are clear and decision making has been transparent and undertaken in a timely manner.</p>	<p>HS</p>
<ul style="list-style-type: none"> <li>Adaptive management</li> </ul>	<p>During the inception phase the PMU has been effective in performing adaptive management to correct some of the shortcomings of the Project Results Framework.</p>	<p>S</p>
<ul style="list-style-type: none"> <li>Partnership arrangements</li> </ul>	<p>The J-CCCP has been proactive and effective in taking advantages to develop strategic partnerships with key</p>	

<sup>27</sup> Or 18 months left when measured from the latest available data on funds disbursed.

	organisations including NAP Global Network, USAID, UNDP LECB, and UNFCCC to support the development of NAPs and NAMAs across the eight Caribbean countries. In addition, the project has conducted a regional climate change coordination seminar with a view to identify activities in which it can collaborate and avoid duplication of interventions in the region. However, virtually no progress has been made in exploring opportunities to develop links with the Japanese private sector through business exchanges and trade shows in order to increase awareness of climate resilient innovative technology options for risk mitigation and adaptation suitable for the local contexts. This should have been achieved during the early part of project implementation in order to have had the opportunity to include such innovative technologies during the formulation of the pilot projects and be able to assess their technical and financial viability as part of the J-CCCP initiative.	MS
<ul style="list-style-type: none"> <li>Monitoring and Evaluation</li> </ul>	The project has a comprehensive M&E plan in place with its corresponding budget and the results of the M&E are highlighted in the Quarterly Progress Reports. However, some of the indicators and in particular their corresponding end of project targets that have been included in the Project Results Framework for monitoring and evaluation are not the most relevant for measuring the effective and timely implementation of all activities and impact of the programme intervention and need to be revised <sup>28</sup>	S

- Conclusion 2: Project design is too ambitious in its activities and targets.***

The project design is based on balanced interventions between country-driven activities implemented according to national contexts and responding to specific country needs and an overarching component specifically designed to enhance South-South and North-South cooperation and developing public-private partnerships with the objective of promoting technology transfer. However, the Evaluator considers that in relation to the amount of time and resources that have been allocated and given the complexities associated with the implementation of regional programmes, the project design has been too ambitious in its activities and targets

- Conclusion 3: Developing linkages with Japanese private sector is the most innovative element of project design.***

By far the most innovative element of the project design is related to the impact that could be achieved as a result of an early implementation of promoting study visits of Caribbean private sector representatives to Japan to learn more about Japanese climate-resilient technologies and their potential application in productive processes. Unfortunately, not much progress has been done to date on this front to date in spite of

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<sup>28</sup> As noted above, the project is currently undertaking a revision and realignment of the RF to better report on progress towards results at the output and outcome level

the fact that this is viewed as one of the main causal pathways from outputs to direct outcomes and as such should have been implemented as early on as possible with the view of exploring the potential of incorporating innovative technologies in the formulation of demonstration projects in order to prove their applicability and replicability potential across the Caribbean region during the implementation of the J-CCCP initiative. Consequently, none of the proposed pilot projects are based on the application of innovative technologies from Japan or elsewhere. However, it is fair to note that the project has been proactive and effective in developing a number of strategic partnerships with key organisations to help advance with the activities related to the development of NAMAs and NAPs and the formulation of pilot project proposals across the eight targeted countries.

- ***Conclusion 4: M&E has been negatively affected by shortcomings in the Project***

#### ***Results Framework***

The Project Results Framework has several main shortcomings that have made the monitoring and evaluation of the project activities more difficult, as discussed in more detail in Section 3.2.1. The first one has to do with the fact that no indicators and their corresponding mid-term and end of project targets have been included to evaluate progress at the output level. In second term, no pre-established mid-term targets are included in the Project Results Framework to assess the level of progress on the achievement of the proposed outcomes. Best practices indicate that the Project Results Framework should have indicators for outcomes and outputs with their respective mid-term and end-of project targets. Also, there is poor to no alignment between the indicators that have been selected to track progress of Outcome 2 and some of the proposed end of project targets. Finally, a list of indicative activities for achieving each of the outputs have been included leaving it open to the interpretation of the PMU on how best to proceed, which could also be viewed as a potential plus in terms of preserving a certain degree of flexibility. Overall, the Project Results Framework should be streamlined and made more 'results-oriented' with clearer indicators and end of project targets.

Note: This is currently being done and the PMU were awaiting the recommendations of the MTR to incorporate any added recommendation in the 'streamlined' revised Results Framework.

- ***Conclusion 5: Project implementation and fund disbursement are behind schedule***

At its midpoint, the project is behind schedule compared to the timeline that was planned originally. Cumulative fund disbursements through the end of the third quarter of 2017 have reached 31 % of the total available funds and the overall progress to date in the implementation of project activities is assessed to be between 30 to 35% with the most progress concentrated in the development of NAMAs, followed by NAP development. Out of the 36 pilot project proposals that have been reviewed, 22 have been approved and four of these projects are being implemented. The In spite of the delays that have occurred mainly during the early phase of implementation, the J-CCCP project has relatively good prospects of delivering most of the planned project results under the



assumption that a 6-month extension is granted (see recommendations below).

## 6.2 Recommendations

- **Recommendation 1:** *Expectations of project achievement and impact needs to be adjusted.*

Based on the implementation delays that have occurred during the early part of project implementation and taking into consideration that the project end date of December 2018 is only 14 months away, there is a need to take stock of what can be achieved realistically within the remaining budget and time frame and proceed to adjust the work plan and remaining budget, accordingly. In doing so, it will be important to ensure that at least one of the demonstration projects that have the highest replication potential is successfully completed for each of the four targeted sectors<sup>29</sup> before the end of the J-CCCP intervention. Also, it would be important to increase technical assistance to those countries that are most advanced with the preparation of NAMAs and NAPs to ensure of having a set of NAMAs and NAPs with high replication potential ready to apply for a Technical Assistance to begin seeking climate finance support for their implementation.

- **Recommendation 2:** *Streamline the Project Results Framework to make it more results oriented with clear indicators and end of project targets.*

In addition to defining indicators and end of project targets for each of the outcomes, an overall revision of the rest of the indicators and end of project targets needs to be undertaken to reflect the changes to the work plan that would result as per Recommendation 1. As it has been mentioned earlier, special care should be taken to ensure that the proposed indicators and end of project targets are aligned and meet SMART criteria.

*Note: This is currently being done and the PMU were awaiting the recommendations of the MTR to incorporate any added recommendation in the 'streamlined' revised Results Framework.*

- **Recommendation 3:** *Look for ways to accelerate the delivery of the remaining outputs.*

Different strategies may be needed to move the implementation of NAMAs and NAPs in each of the countries based on their specific capacities, needs and the likelihood of achieving results before the end of the project. The same applies to finding ways to ensure that the implementation of demonstration projects is achieved accordingly. In this regard, it is worth noting that the PMU has decided to use a Country Office Accelerated Delivery strategy to address this specific issue.

- **Recommendation 4.** *Speed up all activities related to the Japan- Caribbean*

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<sup>29</sup> Water resource management, Sustainable agriculture, Community-based climate-smart resilient infrastructure and Renewable energy and energy efficiency

***transfer of technology.***

Place special emphasis in ensuring the prompt establishment of linkages with the Japanese private sector through business exchanges and trade shows with the objective of identifying climate-smart technological options that could be made available for implementation in the Caribbean countries and if possible find ways to set up a demonstration project to test their technical and financial viability and use it as a show case for future replication.

Note: This one of the first activities planned for 2018

- ***Recommendation 5. Request a 6-month extension.***

In view of the extended start-up delays and other unexpected challenges that the project has faced during its implementation and since there is still a considerable amount of funds to be disbursed, request a 6-month extension to ensure that the maximum number of outputs are successfully delivered before the end of the project. The 6-month extension will serve to ensure that pilot projects are completed and that the results of the mission to Japan could be used to identified potential innovative technology transfer applications and at a minimum establish a road map to evaluate the feasibility of implementing such innovative technologies in the region, something that could then be used to formulate an intervention by a future programme. Also, it will be important to work on the evaluation and reporting of the findings derived from the implementation of the pilot projects.

- ***Recommendation 6. Develop and if possible begin implementation of strategies for securing additional funding sources to strengthen the long-term sustainability of the intervention.***

As mentioned earlier, the continuation of project results is likely to require continued financial support. In particular, additional funding will have to be secured for the implementation of the NAMAs and NAPs that are being developed for each of the countries and additional funding may also be required to complete the implementation of those pilot projects that may not be completed before the end of the intervention and / or that may require a certain level of financial support to undertake operation and maintenance activities over the long term, in particular for those projects that will be implemented in highly vulnerable and remote communities. For example, providing training on the application for GCF funding for countries can be considered as assisting with access to funding to strengthen the sustainability.

## Appendices

Annex I  
Terms of Reference

## Terms of Reference

### I. POSITION INFORMATION

<b>Title:</b>	<b>Individual Consultant for Mid-term Evaluation of the project “Japan-Caribbean Climate Change Partnership (J-CCCP)”</b>
<b>Supervisor:</b>	J-CCCP Project Manager
<b>Duty Station:</b>	Home based with missions to Barbados, Saint Lucia and Suriname
<b>Expected Duration of Assignment:</b>	34 Actual Working days periodically
<b>Period:</b>	June - July 2017

### II. BACKGROUND AND CONTEXT

The Japan-Caribbean Climate Change Partnership (J-CCCP) was launched officially in January 2016 for three years, with a total budget of USD 15 million equivalent. It is a regional project, participated by eight countries including Belize, the Commonwealth of Dominica, Grenada, the Republic of Guyana, Jamaica, Saint Lucia, St. Vincent and the Grenadines, and the Republic of Suriname.

The project aims to support eight Caribbean countries in advancing the process of low-emission risk-resilient development by improving energy security and integrating medium to long-term planning for adaptation to climate change. The project has three components (Outcomes):

**Outcome 1: NAMAs and NAPs to promote alternative low emission and climate resilient technologies that can support energy transformation and adaptation in economic sectors are formulated and institutionalised**

- Output 1.1. Technical support towards national and sub-national institutional and coordination arrangements in Caribbean countries to support the formulation of national roadmaps on the NAP process, including elements for monitoring the progress of their implementation.
- Output 1.2. National teams are trained in the use of tools, methods and approaches to advance the NAP process and budgeting.
- Output 1.3. Business-as-usual greenhouse gas emission baselines established, and climate change mitigation options for selected sectors relevant for the Caribbean region identified.
- Output 1.4. Design and implementation of NAMAs in the Caribbean with MRV systems and NAMA registries in place to monitor their execution.

**Outcome 2: Selected mitigation and adaptation technologies transferred and adopted for low emission and climate resilient development in the Caribbean**

- Output 2.1 Affordable climate-resilient community-based water harvesting, storage and distribution systems designed, built and rehabilitated in selected target areas (e.g. communal reservoirs, rooftop catchment, rainwater storage tanks and conveyance systems)
- Output 2.2 Crop diversification practices tested for their ability to improve resilience of farmers to climate change impacts.
- Output 2.3 Community-based water capacity and irrigation systems improved or developed to test their ability to raise agricultural productivity.
- Output 2.4 Climate resilient agro-pastoral practices and technologies (e.g. water management and soil fertility) demonstrated in selected target areas.
- Output 2.5 Small-scale infrastructure implemented to reduce climate change and disaster induced losses
- Output 2.6 Energy pilot demonstrations applied to selected adaptation, mitigation and disaster risk management interventions to catalyse low emission climate resilient technology transfer, development and investments in the Caribbean.

**Outcome 3: Knowledge Network created in Caribbean to foster South-South and North-South cooperation through sharing of experiences, and knowledge in the area of climate change**

- Output 3.1 High level policy events and financial tools to support the implementation of a mitigation actions programs in selected sectors (e.g. fiscal incentives, feed in tariffs, credits and guarantees) and to look at effective practices in NAPs and Community Based Adaptation.
- Output 3.2 Communication campaign on the benefits of mitigation and adaptation, mitigation and disaster risk management interventions to catalyse low emission technologies for sustainable cities in island towns and communities
- Output 3.3 Japan-Caribbean transfer of technical and process-orientated information on experiences, good practice, lessons and examples of relevance to medium to long-term national, sector and local planning and budgeting processes

The project is funded by the Government of Japan and is implemented directly by United Nations Development Programme (UNDP). UNDP Barbados and OECS Country Office serves as lead office for the project, where the Project Management Unit (PMU) therefore sits. The Barbados Sub Regional Office (SRO) is responsible for implementing Outcomes 1 and 3 of the project and Outcome 2 related to OECS countries (Dominica, Grenada, Saint Lucia and Saint Vincent and the Grenadines) under outcome 2. UNDP other country offices in Belize, Guyana, Jamaica and Suriname are responsible for implementing Outcome 2 in their respective countries. Outcome 2 currently has approximately forty (40) pilot projects in the pipeline in all eight countries and related to all six (6) outputs. UNDP Panama Regional Hub is providing a technical advisory and oversight role to the PMU.

### **III. EVALUATION PURPOSE**

In accordance with the Project Document of the J-CCCP, a Mid-term Evaluation by an independent evaluator should be conducted so as to assess progress towards achieving the J-CCCP identified outcomes and the extent to which interventions/activities completed and planned have been and will contribute to these project outcomes. The evaluation will also identify any changes that may be needed to achieve the stated outcomes.

Under the direction of the J-CCCP Project Manager and working closely with the J-CCCP Monitoring and Evaluation Analyst the evaluator is expected to conduct a Mid-term evaluation and prepare an evaluation report which should outline the progress the project has made toward achieving the intended project outcomes. Recommendations on how J-CCCP and UNDP could better align/improve the current interventions, structure and processes in order to achieve intended outcomes should also be included in this evaluation.

### **IV. EVALUATION SCOPE AND OBJECTIVES**

The evaluator will review all (outcomes) project activities (past, current and planned) to assess the alignment of these interventions with intended outcomes as well as to assess how management structure (capacity), and work processes affect the achievement of these outcomes. More specifically, the midterm evaluation will seek to:

- Review the status of the outcomes and the key factors that affect (both positive and negative) to the outcomes;
- Review and assess the project's partnerships with stakeholders - governments, civil society, other international organisations and provide recommendations for how these partnerships can be strengthened;
- Review and assess the project's interventions as it relates to the Project Document and Quality Assurance Assessment; UNDP Barbados and OECS Evaluation Plan; UNDP Strategic Plan; UNDP Gender Strategy and the UNDP Youth Strategy, and provide recommendations for the future direction interventions/activities which can better enable the project to contribute to the achievement of the stated outcomes in these strategy documents. (In cases where interventions have already commenced, provide recommendations on any amendments that may be necessary)
- Review current Monitoring Tools, Reporting templates and roles and provide recommendations for better alignment if necessary
- Assess how the project has targeted and met (will meet) current beneficiary needs (as dictated by project document and updated Results Framework) and as disaggregated as recommended

- Identify any amendments in process, activities and reporting necessary and provide recommendations on best practices

## V. EVALUATION QUESTIONS

The following key evaluation criteria should be utilized and applied with specifics to the project:

1. Relevance
  - a. To what extent is the project in line with UNDP's mandate, national priorities and the requirements of targeted women and men?
  - b. How has the project been contributing to its expected outcomes?
  - c. How has the gender questions been taken into account in the project?
  - d. How has the project contributed to the priorities of UNDP?
2. Effectiveness
  - a. Has there been progress towards achieving the outputs?
  - b. What factors have been contributing to achieving or not achieving intended outputs?
  - c. What has been the contribution of partners and other organizations to the outcome, and how effective have UNDP partnerships been in contributing to achieving the outcome?
  - d. To what extent are the current and planned results benefitting women and men equally?
  - e.
3. Efficiency
  - a. Are the strategies being utilized adequate? How have they contributed to the maximum intervention efficiency?
  - b. Has the use of resources been efficient? Is there economic use of resources?
  - c. To what extent are quality outputs delivered on time?
  - d. To what extent are partnership modalities conducive to the delivery of outputs?
  - e. How is monitoring used to manage the project?
4. Sustainability
  - a. What strategies and mechanisms have been incorporated to the implementation of the project to guarantee the sustainability of expected outputs after the project?
  - b. To what extent has a sustainability strategy, including capacity development of key national stakeholders, been developed or implemented?
  - c. To what extent are policy and regulatory frameworks in place that will support the continuation of benefits?



- d. To what extent have partners committed to providing continuing support?
  - e. How will concerns for gender equality, human rights and human development be taken forward by primary stakeholders?
5. Lessons learnt and best practices
    - a. What are the most important lessons learnt being identified during the project? And best practices?

## **VI. METHODOLOGY**

The project evaluation is to be undertaken in accordance with UN evaluation norms and policies, including UN Standards and Norms for Evaluations and UNDP Handbook on Planning, Monitoring and Evaluation for Development Results. Evaluation methods should be selected for their rigor in producing empirically based evidence to address the evaluation criteria, to respond to the evaluation questions, and to meet the purpose of the evaluation.

The type of information and methods selected must produce evidence, and they should combine both qualitative and quantitative aspects. The evaluation findings should not rely only on perceptions, but the evidence should be validated by triangulation of different data sources /or methods) The evaluation should use primary and secondary data, and should include a presentation of the results matrix of the initiative, updated with the new indicator status, but delimited by the possible restrictions identified in the analysis of the evaluation. The central focus of the evaluation is the contribution to outcomes, but should also include output level results.

It is expected that the review, findings and recommendations would be derived from the following methods:

- Desk review of related documents such as project related documents such as Project Document,; Annual Work Plans (AWPs), Progress reports and Monitoring Tool
- Consultation with stakeholders and counterparts (interviews and focus groups);
- Consultation with beneficiaries (interviews and focus groups);
- Technical consultation with the Regional Programme Officer at RBLAC
- Field visits to meet regional partners, beneficiaries and other stakeholders, other regional and international key stakeholders. The evaluation methods and parties to be consulted should be selected so that all the participation countries will be covered in the evaluation. This may require use of electronic survey and complement to the other data collection tools.
- Consultation meetings with J-CCCP project staff, project staff and senior management as appropriate.
- Surveys, interviews and questionnaires

## VII. ETHICS

UNDP evaluations will be conducted in accordance with the principles outlined in the UNEG “Ethical Guidelines for Evaluation” available at <http://www.unevaluation.org/document/detail/102>

## VIII. IMPLEMENTATION ARRANGEMENTS

The evaluator will report directly to the J-CCCP Project Manager assisted by the M&E Analyst. The consultant is required to travel to two representative project countries (St. Lucia and Suriname) as well as the lead country office in Barbados. The project’s National Focal Points (NFPs) will assist in setting up meetings as necessary and support travel logistics. Provision regarding office space can be made at the UNDP Barbados office (if necessary). The meeting schedule will be determined in collaboration with the Project Management Unit and the relevant UNDP country offices.

## IX. DELIVERABLES

The evaluator will conduct a preliminary scoping exercise and design an inception report (containing an evaluation matrix, evaluation protocols for different stakeholders and a description of the methodology (using quantitative and qualitative data and means of collection), to be discussed with J-CCCP Project Manager and M & E Analyst, before the evaluation commences and before the field mission.

### 1. *Inception Report - Evaluation framework/design and implementation plan*

An inception report should be prepared by the evaluator prior to conducting any full evaluation exercise. The report should contain an evaluation matrix that displays for each of the evaluation criteria, the questions and sub questions that the evaluation will answer, and for each question, the data that will be collected to inform that question and the methods that will be used to collect that data (all based on the evaluation criteria outlined). It should also include a proposed schedule of tasks/activities and deliverables and a table of contents for the final evaluation report

This information shall be reflected in an evaluation matrix, for example:

<b>SAMPLE EVALUATION MATRIX</b>						
<b>Criteria/ Sub- criteria</b>	<b>(Examples of) questions to be addressed by outcome-level evaluation</b>	<b>What to look for</b>	<b>Data sources</b>	<b>Data collection methods</b>	<b>Indicators/Success Standards</b>	<b>Methods for Analysis</b>

## *2. Presentation of the preliminary findings*

The evaluator should present the preliminary findings of the evaluation. The outline of the presentation should form part of the inception report.

## *3. Draft evaluation report*

The draft report will be circulated to all with any responsibility in oversight regarding the project as well as key government counterparts and other key stakeholders to ensure that the evaluation needs are met based on the quality criteria, as well as validate the finding, recommendations and lessons identified in the report.

## *4. Final Evaluation Report and Power Point Presentation*

The key product (deliverable) expected from this outcome evaluation is a comprehensive analytical report that should include the following content:

- Executive summary
- Introduction (Background and approach/methodology, Evaluation Scope and Objectives, Evaluation Criteria, Evaluation Approach and Methods)
- Description of the project and its response/work
- An in-depth analysis of the situation with regard to the outcomes and development results (Presentation of findings based on evaluation criteria)
- Key findings
- Forward-looking analysis and Lessons Learned
- Conclusions and Recommendations
- Annexes: TOR, field visits, list of stakeholders interviewed, documents reviewed, etc.

The power point presentation should include the key findings, forward-looking analysis and recommendations.

### **The annexes to the TOR to be provided to the consultant will include:**

- Project Document
- Results Framework (updated)
- List of partners and key stakeholders
- Preliminary List of key documents to consult

Please note detailed deliverable schedule below:

**J-CCCP Mid-term Evaluation Delivery  
Schedule - June – August 2017**

No.	Deliverables	Sub-tasks	Number of w/days	Tentative dates	Expected result
1	Inception Report	Desk review of project documents, reports and other background documents	8	5 - 14 July	Inception report containing work plan, key findings of desk review and evaluation methodology
		Development of evaluation methodology/inception report			
		Comments on Inception Report by Management			
		Final Inception Report			
2	Presentation of the Preliminary Findings	Meetings and interviews with stakeholders, beneficiaries and Partners; (site visits)	10	26 July – 4 August	Data from major stakeholders collected;
		Debriefing (last day of the mission)			
3	Draft Evaluation Report	Data analysis and preparation of the draft report	8	16 - 25 August	Draft evaluation report with findings, lessons learned and results submitted to UNDP for review
4	Final Evaluation Report	Collecting comments on draft report from UNDP	5	4 - 8 September	Evaluation report
		Finalization of the report on the basis of comments received			
		Presentation of final evaluation report	1	14 September	Evaluation report presented
<b>Total working days(incl. travel)</b>			<b>32</b>		

**X. REQUIRED COMPETENCIES**

- MSc degree in Environmental Management, Economic, Public Administration, Regional development/planning, Statistics or any other related social sciences.
- Minimum of 8 years professional experience in project management or quantitative and qualitative monitoring and related reporting.
- 7 years of proven and documented practical skill and experience in design of M+E systems, based upon Logical Framework and outcome evaluations.

- Solid foundation and experience in results based management/logical framework approach and other strategic planning approaches, evaluation methods and approaches (qualitative and quantitative)
- Practical experience in UN-related projects and knowledge of UN system and procedures preferable.
- Working experience in the Caribbean/SIDS is an asset, particularly on climate change or community-level interventions.
- Working experience of evaluating regional projects is an asset.
- Ability to transfer analytical results into simple and workable solutions.
- Excellent conceptual and analytical skills.

#### X. a. Selection Criteria

<b>1. Technical Capacity and Related Qualifications</b>		<b>Points Obtainable (40 points max.)</b>
1.1	<ul style="list-style-type: none"> <li>● MSc degree in Environmental Management, Economic, Public Administration, Regional development/planning, Statistics or any other related social sciences.</li> </ul>	10
1.2	<ul style="list-style-type: none"> <li>● 8 years professional experience in project management or quantitative and qualitative monitoring and related reporting</li> </ul>	8
1.3	<ul style="list-style-type: none"> <li>● 7 years of proven and documented practical skill and experience in design of M+E systems, based upon Logical Framework and outcome evaluations</li> <li>● Experience in results based management/logical framework approach and other strategic planning approaches, evaluation methods and approaches (qualitative and quantitative)</li> </ul>	10
1.4	<ul style="list-style-type: none"> <li>● Practical experience in UN-related projects and knowledge of UN system</li> </ul>	4
1.5	<ul style="list-style-type: none"> <li>● Working experience in the Caribbean/SIDS on climate change or community-level interventions</li> <li>● Working experience of evaluating regional projects is an asset</li> </ul>	4
1.6	<ul style="list-style-type: none"> <li>● Demonstrated analytical, communication and report writing skills.</li> </ul>	4

<b>2. Methodology</b>		<b>Points Obtainable (30 points max.)</b>
1.1	<ul style="list-style-type: none"> <li>To what degree does the Proposer understand the task?</li> </ul>	10
1.2	<ul style="list-style-type: none"> <li>Have the important aspects of the task been addressed in sufficient detail?</li> </ul>	10
1.3	<ul style="list-style-type: none"> <li>Is the scope of task well defined and does it correspond to the TOR?</li> </ul>	10

**X. b. Evaluation Method**

- Only those applications which are responsive and compliant will be evaluated;
- Offers will be evaluated according to the Combined Scoring method – where the technical criteria will be weighted at 70% and the financial offer will be weighted at 30%;
- The technical criteria (education, experience, language [max 40 points], proposed methodology [30 points]) will be based on maximum 70 points. Only candidates scoring 49 points or higher from the review of education, experience, language and methodology will be considered for the financial evaluation;
- Financial score (max 30 points) shall be computed as a ratio of the proposal being evaluated and the lowest priced proposal of those technically qualified;
- The financial proposal shall specify a total lump sum amount, including breakdown per deliverable. In order to assist the requesting unit in the comparison of financial proposals, the financial proposal must additionally include a breakdown of this lump sum amount (including all foreseeable expenses for this assignment);
- Applicant receiving the Highest Combined Score and has accepted UNDP’s General Terms and Conditions will be awarded the contract.
- Shortlisted applicants may be interviewed

**XI. PAYMENT**

Payments would be made upon submission and approval of the following deliverables as highlighted in Section VI above:

1. Final Inception Report – 10%
2. Presentation of Preliminary Findings – 15%
3. Draft evaluation report and presentation of findings, conclusions and recommendations – 50%
4. Final evaluation report – 25%

**XII. OTHER**

Candidates will submit their **CV and P11 form** together with **financial proposals** with a per day rate. Applications must be submitted in English, and incomplete proposals will not be considered.

### **Documents to be included when submitting the proposals**

- **Proposed Methodology for the Completion of Services.** The applicant must describe how s/he will address/deliver the demands of the assignment;
- **P11 form**, including past experience in similar projects and at least 3 professional references (please make sure to include email and phone number of each reference). and
- **CV** in alignment with the required qualifications and relevant experience.

- **Financial Proposal/ Daily Rate**

All envisaged travel costs must be included in the Offeror's financial proposal. This includes all duty travels, travels to join duty station and repatriation.

### **XIII. ANNEXES**

1. Project Document
2. Results Framework (updated)
3. List of partners and key stakeholders
4. Preliminary List of key documents and databases to consult

Annex II  
Evaluation Matrix



Evaluative Criteria	Questions	Indicators	Data Sources	Methodology
<b>Relevance: How does the objectives of the project relate to the main objective of the UNDP, and to the environment and development priorities of the local beneficiaries?</b>				
Alignment to UNDP's mandate, national priorities and the requirement of women and men	<ul style="list-style-type: none"> <li>To which extent is the project in line with UNDP's mandate</li> <li>In the project aligned with the national priorities of the targeted countries?</li> <li>Are the requirements of targeted women and men being taken into account?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which the project is aligned with UNDP's development goals</li> <li>Alignment with national development priorities</li> <li>Level of involvement of targeted</li> </ul>	<ul style="list-style-type: none"> <li>UNDP Country Programmes</li> <li>Project Documents</li> <li>National development policies and strategies</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
Project contribution to expected outcomes	<ul style="list-style-type: none"> <li>How has the project been contributing to its expected outputs?</li> <li>Are the proposed activities under each of the Outcomes relevant to the national development priorities of the targeted countries?</li> <li>How does the project support the environment and sustainable development objectives of the Country?</li> <li>Is the project Country-driven?</li> <li>What was the level of stakeholder participation in project design?</li> <li>What has been the level of stakeholder ownership in Implementation?</li> <li>Does the Project adequately take into account the national realities, both in terms of institutional and policy</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which the project supports National development objectives</li> <li>Degree of coherence between the project and national priorities, policies and strategies</li> <li>Appreciation from national stakeholders with respect to adequacy of project design and Implementation to national realities and existing capacities</li> <li>Level of Involvement of government officials and other partners in the project design process</li> <li>Coherence between needs expressed by national stakeholders and UNDP Criteria</li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>National development policies and strategies</li> <li>Key project Partners in each of the targeted countries.</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners</li> </ul>
Gender equality and women empowerment	<ul style="list-style-type: none"> <li>How has the gender questions been taken into account in the project?</li> <li>Has the project design adequately addressed gender equality and women empowerment?</li> <li>Are the targeted groups in each country being engaged with a priority focus on the excluded and marginalized?</li> <li>What has the participation of women in relation to men been like during project design and implementation?</li> <li>Has the Implementation of the project been inclusive of all relevant Stakeholders?</li> </ul>	<ul style="list-style-type: none"> <li>Level of involvement of women and men during project design and implementation</li> <li>Evidence that gender has been taken into consideration adequately</li> <li>Degree of involvement and inclusiveness of women stakeholders in project design and implementation</li> <li>Evidence that the NAMAs and NAPs that are being designed will contribute to the reduction of gender inequalities and exclusion</li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>Key stakeholders in each of the targeted countries.</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners</li> </ul>
Project contribution to UNDP priorities	<ul style="list-style-type: none"> <li>How has the project contributed to the priorities of UNDP?</li> </ul>	<ul style="list-style-type: none"> <li>Alignment with UNDP priorities</li> </ul>	<ul style="list-style-type: none"> <li>Project partners and stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> </ul>

	<ul style="list-style-type: none"> <li>▪ Is the project design coherent with UNDP Sustainable Development Goals (SDGs)?</li> <li>▪ Will the NAMAs and NAPs that are being designed contribute to the eradication of poverty</li> <li>▪ How does the project support the establishment of South- South and North- South cooperation?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Strength of the link between expected results from the project and the needs of relevant stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project documents</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
<b>Effectiveness: To what extent have/will the expected outcomes and objectives of the project been/be achieved?</b>				
Effectiveness in achieving the expected outputs?	<ul style="list-style-type: none"> <li>▪ Is the delivery of outputs on track?</li> <li>▪ What is the state of development of the NAMAs and NAPs in each of the targeted countries?</li> <li>▪ What is the percentage of progress in transferring and adopting mitigation and adaptation technologies?</li> <li>▪ Has the project been able to strengthen knowledge networks in the region to foster South- South and North-South cooperation?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Indicators in project's logical framework for achievement of project outputs.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project documents</li> <li>▪ Project team and relevant stakeholders</li> <li>▪ Data reported in project reports</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents analyses</li> <li>▪ Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
Factors that have or have not contributed to output delivery	<ul style="list-style-type: none"> <li>▪ Which are the key factors that have contributed to the delivery of outputs?</li> <li>▪ Which factors have impeded and or negatively affected the achievement of the expected outputs? What lessons have been learned from the project regarding achievement of outcomes?</li> <li>▪ What changes could have been made (if any) to the design of the project in order to improve the achievement of the project's expected results?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Completeness of risk identification and assumptions during project planning and Design</li> <li>▪ Quality of existing information systems in place to identify emerging risks and other issues</li> <li>▪ Quality of risk mitigations strategies developed and followed</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project documents</li> <li>▪ J-CCCP team, and relevant stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents analyses</li> <li>▪ Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
Effectiveness of partners contributions to the achievement of outcomes	<ul style="list-style-type: none"> <li>▪ How effective have been the contribution of partners and other organizations to the achievement of outcomes?</li> <li>▪ To what extent partnerships/ linkages between institutions/ organizations were encouraged and supported?</li> <li>▪ What was the level of efficiency of cooperation and collaboration arrangements?</li> <li>▪ Which methods were successful or not and why?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Specific activities conducted to support the development of cooperative arrangements between partners,</li> <li>▪ Examples of supported partnerships</li> <li>▪ Evidence that particular partnerships / linkages will be sustained</li> </ul>	<ul style="list-style-type: none"> <li>▪ Data collected throughout the evaluation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents analyses</li> <li>▪ Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>

		<ul style="list-style-type: none"> <li>Number and quality of partnerships developed through the project</li> </ul>		
Gender equality of the current and planned results	<ul style="list-style-type: none"> <li>Extent to which current and planned results are benefiting women and men equally?</li> <li>Has gender empowerment been mainstreamed during planning and implementation?</li> </ul>	<ul style="list-style-type: none"> <li>Representation of local men and women in project committees</li> <li>Percentage of men and women that have been involved in the achievement of the various project outputs</li> <li>Percentage of women and men that have participated in consultation</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and Evaluations</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
<b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b>				
Adequacy of strategies to maximize intervention efficiency	<ul style="list-style-type: none"> <li>Are the strategies being utilised adequate to achieve the project objective and results?</li> <li>Was adaptive management used or needed to ensure efficient resource use?</li> <li>Did the project logical framework and work plans and any changes made to them use as management tools during implementation?</li> <li>Could financial resources have been used more efficiently?</li> </ul>	<ul style="list-style-type: none"> <li>Availability and quality of financial and progress reports</li> <li>Timeliness and adequacy of reporting provided</li> <li>Level of discrepancy between planned and utilized financial expenditures</li> <li>Planned vs. actual funds leveraged</li> <li>Adequacy of project choices in view of existing context, infrastructure and cost</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and Evaluations</li> <li>Project partners and relevant stakeholders</li> <li>J-CCCP Team and beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
Degree of efficiency in the use of resources	<ul style="list-style-type: none"> <li>Have the use of resources been efficient?</li> <li>Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information?</li> <li>Have progress reports been produced accurately, timely and responded to reporting requirements including adaptive management changes?</li> <li>Was project implementation as cost effective as originally proposed (planned vs. actual)?</li> <li>Did the leveraging of funds (co financing) happen as planned?</li> </ul>	<ul style="list-style-type: none"> <li>Planned vs. actual funds leveraged</li> <li>Level of discrepancy between planned and utilized financial expenditures</li> <li>Measures taken to adjust and adapt budget and activities to actual costs</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>Financial reports and audits</li> <li>Budgets and work plans</li> <li>Project partners and relevant stakeholders</li> <li>J-CCCP Team and beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
Degree of efficiency in the use of resources	<ul style="list-style-type: none"> <li>Were financial resources utilized efficiently?</li> <li>To what extent partnerships/ linkages between institutions/ organizations were encouraged and supported?</li> </ul>	<ul style="list-style-type: none"> <li>Specific activities conducted to support the development of cooperative arrangements between partners,</li> <li>Examples of supported partnerships</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>Project partners and relevant stakeholders</li> <li>J-CCCP Team and beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>

	<ul style="list-style-type: none"> <li>Which partnerships/linkages were facilitated? Which ones can be considered sustainable?</li> <li>What was the level of efficiency of cooperation and collaboration arrangements?</li> <li>Which methods were successful or not and why?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence that particular partnerships / linkages will be sustained</li> <li>Types / quality of partnership cooperation methods utilized</li> </ul>		
Timeliness of output delivery	<ul style="list-style-type: none"> <li>To what extent are quality outputs delivered on time?</li> <li>What has been the rate of delivery on the annual work plans?</li> <li>Has the project achieved targets as set-out in the PRODOC and in the modified work plans if any?</li> </ul>	<ul style="list-style-type: none"> <li>Timeliness of activities, outputs and milestones vis a vis work plan</li> <li>Corrective measures taken to mitigate delays</li> <li>Evidence that outputs have been delivered according to work plan</li> </ul>	<ul style="list-style-type: none"> <li>Annual work plans</li> <li>Financial reports</li> <li>PIRs</li> <li>Interviews</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
Contribution of partnership modalities to the delivery of outputs	<ul style="list-style-type: none"> <li>Have partnership arrangements been conducive to the delivery of outputs?</li> <li>How efficient have UNDP partnerships been in contributing to the achievement of outputs?</li> <li>Has the project utilised other project / initiatives as delivery mechanisms?</li> <li></li> </ul>	<ul style="list-style-type: none"> <li>Joint activities with other partners</li> <li>Interviews with J-CCCP Team, project partners and beneficiaries</li> <li>Participation in coordination with other partners</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>Budgets and work plans</li> <li>Project partners and relevant stakeholders</li> <li>J-CCCP Team and beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
Use of M&E to manage project	<ul style="list-style-type: none"> <li>How is M&amp;E being used to manage the project?</li> <li>How is the quality of the inputs being monitored by the project, through which indicators?</li> <li>How well is M&amp;E built into programming and strategy to strengthen accountability?</li> </ul>	<ul style="list-style-type: none"> <li>Number and type of mechanisms or systems in place for holding project management accountable for their roles and responsibilities</li> <li>Evidence of use of M&amp;E reporting / information to make management decisions / adaptive management</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>M&amp;E systems and reports</li> <li>Budgets and work plans</li> <li>Project partners and relevant stakeholders</li> <li>J-CCCP Team and beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
<b>Sustainability: How do the objectives of the project relate to the main objective of UNDP, and to the environment and development priorities at the local beneficiaries?</b>				
Strategies and mechanisms implemented to guarantee sustainability of expected outcomes after the project	<ul style="list-style-type: none"> <li>What strategies and mechanisms have been incorporated to the implementation of the project to guarantee the sustainability of outcomes after the project?</li> <li>How effective has the project been in building and developing internal and external partnerships to guarantee sustainability?</li> </ul>	<ul style="list-style-type: none"> <li>Number and type of strategies to guarantee sustainability</li> <li>Evidence that an exit strategy has been developed</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>M&amp;E systems and reports</li> <li>Budgets and work plans</li> <li>Project partners and relevant stakeholders</li> <li>J-CCCP Team and beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>

	<ul style="list-style-type: none"> <li>How did the project address its financial and economic sustainability in the medium to long run?</li> </ul>			
Capacity development of key national stakeholders to guarantee sustainability	<ul style="list-style-type: none"> <li>Has capacity development of key national stakeholders taken place as part of a sustainability strategy?</li> </ul>	<ul style="list-style-type: none"> <li># of capacity development workshops to national stakeholders related to guaranteeing sustainability</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>M&amp;E systems and reports</li> <li>Budgets and work plans</li> <li>Project partners and relevant stakeholders</li> <li>J-CCCP Team and</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
Adequacy of policy and regulatory frameworks to support sustainability	<ul style="list-style-type: none"> <li>Are the policy and regulatory framework in place adequate to support project sustainability after project completion?</li> <li>Which actions has the project put in place to guarantee the sustainability of the results?</li> <li>Which are the key challenges and risks that the project is facing to ensure the sustainability of the results?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of adequacy of policy and regulatory frameworks in place in each of the countries to support project sustainability</li> <li>Existence of steps taken to ensure project sustainability</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>M&amp;E systems and reports</li> <li>Budgets and work plans</li> <li>Project partners and relevant stakeholders</li> <li>J-CCCP Team and beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
Evidence of partners commitments to continue supporting project results after project completion	<ul style="list-style-type: none"> <li>To what extent have partners committed to providing continuing support after project completion?</li> </ul>	<ul style="list-style-type: none"> <li>Agreements made with project partners regarding assuming responsibility and funding post-project continuation including potential upscaling and replication efforts</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>M&amp;E systems and reports</li> <li>Budgets and work plans</li> <li>Project partners and relevant stakeholders</li> <li>J-CCCP Team and beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
Sustainability of gender equality	<ul style="list-style-type: none"> <li>How will concerns for gender equality, human rights and human development be taken forward by primary stakeholders?</li> <li>Is the institutional framework capacity in each of the countries adequate to support gender equality, human rights and human development in the medium to long run?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of agreements by primary stakeholders to support gender equality, human rights and human development after project completion</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>M&amp;E systems and reports</li> <li>Budgets and work plans</li> <li>Project partners and relevant stakeholders</li> <li>J-CCCP Team and beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>
<b>Lessons learned and best practices</b>				
Key lessons learned and best practices	<ul style="list-style-type: none"> <li>Which are the most important lessons learned being identified during this project?</li> <li>Which best practices have been utilised?</li> </ul>	<ul style="list-style-type: none"> <li>Lessons learned and future directions</li> <li>Best practices used during project implementation</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>M&amp;E systems and reports</li> <li>Budgets and work plans</li> <li>Project partners and relevant stakeholders</li> <li>J-CCCP Team and beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with J-CCCP team and project partners and key stakeholders</li> </ul>

Annex III  
Mission Interviews



ORGANISATION	NAME	Position / Project
<b>Barbados - Monday Sept 25 through Wednesday Sept 27, 2017</b>		
UNDP Barbados and OECS Country Office (PMU)	Yoko Ebisawa	Project Manager
	Donna Gittens	Technical Specialist
	Neisha Manickchand	Technical Specialist
	Penny Bowen	Communications Specialist
	Sherri Frederick	Monitoring & Evaluation Analyst
	Karen Drayton	Procurement Officer
	Danielle Alleyne	Project Associate
UNDP Barbados and OECS Country Office	Chisa Mikami	Deputy Resident Representative
Centre for Resource Management and Environmental Studies (CERMES)	Dr. Adrian Cashman	Chairman Technical Advisory Group (TAG)
<b>St. Lucia Thursday Sept 28 through Saturday Sept 30, 2017</b>		
OECS	Kurt Prospere	J-CCCP project Focal Point St. Lucia
Ministr of Sustainable Development, Energy, Science & Technology	Mrs. Dawn Pierre-Nathaniel	Acting Deputy Chief
	Lucius Doxerie	Communication Officer
	Kurt Inglis	Renewable Energy Officer
	Christopher Williams	Energy Officer

Department of Economic Development	Mrs. Macricia Auguste	Chairman Project Steering Committee member
	Mrs. Nadia Wells	Chief Economist
Ministry of Agriculture	Ms. Stephe Smith	Aquaponics pilot project
	Ms. Egberta Duncan	Aquaponics pilot project
	Ms. Anthia Joshua	Apiculture and Aquaponics pilot projects

**Suriname Sunday Oct. 1 through Thursday Oct 5, 2017**

UNDP Suriname Country Office	Ms. Sharon Leguiman	J-CCCP project Focal Point Suriname
Pilot project proponent - Kesabaran Foundation	Ms. Susijanie Kartodikromo,	Secretary Kesabaran Foundation
	Ms. Abygail Sadi	Member Kesabaran Foundation
	Julio Nasoem	Member Kesabaran Foundation
Pilot project proponent - Amazon Conservation Team	Sergio Kong A San	Project Manager
	Carlo Koorndijk	Management Assistant and M&E Coordinator
National Institute for Environment and Development (NIMOS)	Ms. Gina Griffith	Project Board Member
	Prof. Dr. Sieuwnath Naipal	Projecct Board Member
Independent Consultant	Ria Jharap	NAMA consultant for Suriname
Cabinet of President / Suriname	Nataly Plet	Environment Coordinator
Independent Consultant	Chantal Landburg	Pilot project Proponent - Suriname
UNDP - Suriname Country Office	Armstrong Alexis	Deputy Resident Representative



Annex IV  
Survey Questionnaires

## Questionnaire for the Project Management Unit (PMU) / Barbados & OECS Country Office

### A. Project Formulation /Design

- Conceptualization /Design: risks and assumptions
  - Explain some of the *inherent assumptions* in the original design. Are they correct? Examples include:
    - Scope of project vs. funding and capacity
    - Scale up possibilities
    - Sustainability- funding mechanisms, etc.
    - Capacities
    - others
  - Please provide an elaboration of the project conceptualization process to the best of your knowledge
  - Is the Log frame still appropriate?
  - Should baselines be added and indicators adjusted?
  - Does the risk matrix make sense and is it appropriate?
  - Should it be upgraded?
  - Is it used as management tool?
  - How are risks being mitigated?
  - How would you rate the design on a scale of 1-5? (with five being highest)
- Country ownership/Drivenness
  - How do the government partners engage / interact with this project?
  - Is the project a national priority in each of the countries? Why or Why not?
    - Belize
    - Dominica
    - Grenada
    - Guyana
    - Jamaica
    - St Lucia
    - St. Vincent and the Grenadines
    - Suriname
  - What is the institutional home of this project in each of the countries?
    - Belize
    - Dominica
    - Grenada
    - Guyana
    - Jamaica
    - St Lucia
    - St. Vincent and the Grenadines
    - Suriname

- Are these the optimal homes for the project?
- Stakeholder participation in design:
  - Who are the key project stakeholders/beneficiaries in each country?
    - Belize
    - Dominica
    - Grenada
    - Guyana
    - Jamaica
    - St Lucia
    - St. Vincent and the Grenadines
    - Suriname
  - Describe how stakeholders were involved in the design process.
  - How would you rate the stakeholder participation on a scale of 1-5? (with 5 being the highest)
- Replication approach:
  - Does this project have a design / approach that can be replicated regionally, nationally or globally?
  - Give evidence.
  - Why or Why not?
- UNDP role:
  - Describe the UNDP contribution in management and implementation.
- Linkages between project and other interventions within the sector
  - Describe the linkages between this project and other similar projects in the sector.
- Other aspects:
  - Provide your rating of project design on a scale of 1 – 5 (with five being the highest rating possible)

**B. Implementation/management approach:**

- Does the Project management employ the logical framework as a management tool? Provide concrete examples.
- Provide concrete examples of Project management and stakeholders' use of adaptive management, i.e. comprehensive and realistic work plans every year?
- Please draw the current project management and implementation arrangements.
- Describe the general operational relationships between the various institutions involved and others and how these relationships have contributed to effective implementation and achievement of project outcomes.
- How would you rate the implementation approach on a scale of 1-5? (Five is the highest rating possible)

**C. Monitoring and Evaluation:**

- Do project staff or stakeholders undertake periodic oversight?

- How often does the Project Board and the Steering Committee meet?
- Describe the systems and tools employed for M&E, i.e. log frame, baselines established.
- Project indicators: are there results and progress indicators? Describe data analysis process.
- List staff and designation of responsibilities with respect to M&E i.e. capacities and resources for M&E
- How would you rate the M&E on a scale of 1-5? (Five is the highest rating possible)

**D. Partnership strategies**

- Are partnerships appropriate and effective including the range and quality of partnerships and collaboration developed with government, civil society, donors, the private sector and whether these have contributed to improved delivery?.
- Which is the degree of stakeholder and partner involvement in the various processes related to the outputs and outcome?
- How could synergies be built with other projects within the sector?

**E. Stakeholder Participation and Implementation:**

- How is information generated and disseminated by the project?
- Please comment on the overall strengths and weaknesses of the approach adopted by the project regarding stakeholder participation and implementation.
- Please describe the process and result of the establishment of partnerships and collaborative relationships developed by the project with local, national and international entities. Describe the effect of these on project implementation.
- Describe the involvement of government institutions in project implementation, the extent of government support of the project in each country
  - Belize
  - Dominica
  - Grenada
  - Guyana
  - Jamaica
  - St Lucia
  - St. Vincent and the Grenadines
  - Suriname.
- How would you rate the stakeholder participation and implementation on a scale of 1-5? (Five is the highest rating possible).

**F. Financial planning:**

- List activities and provide project costs by activity, outputs and activities(provide information to allow an analysis of delivery by percentage)
- Describe the financial management process (including disbursement issues),
- Describe the co-financing arrangements/agreements, if any. Are they suitable?
- Has project audits been conducted?
- What have been the major findings?

- Do you agree?

**G. Describe in details the execution and implementation modalities:**

- Describe the effectiveness of UNDP counterpart in each country in the execution of the project
  - Belize
  - Dominica
  - Grenada
  - Guyana
  - Jamaica
  - St Lucia
  - St. Vincent and the Grenadines
  - Suriname
- Are there any problems with the implementation i.e. current flow of staff in and out of the project, others?
- Describe the hiring process for Project staff- who was responsible for this? Have the donor and government partners been involved?
- Describe the financial officer's roles? Does this work? Is it strategic and operational support toward project outcomes and for implementation?
- Does the project receive external technical backstopping and support from the wider partner knowledge network (i.e., Technical Advisory Group (TAG) – why or why not?
- Do you think the procurement process is streamlined and efficient? What can be done to improve it? How does it affect overall implementation and expected results?
- What are some suggested improvements in the human resources situation?

**H. Sustainability**

**1. Financial sustainability**

- What is the likelihood of financial and economic resources being available once the J-CCCP assistance ends?
- What opportunities for financial sustainability have been identified for each country if any?
- What additional factors are needed to create an enabling environment for continued financial sustainability?

**2. Socio economic sustainability**

- Have any social or political risks that may jeopardize sustainability of project outcomes been identified?
- Is government ownership sufficient to allow for project outcomes / benefits to be sustained over the medium to long term?
- Is there sufficient awareness in support of the project objectives both from stakeholders and the public?

**3. Institutional frameworks / governance structures sustainability**

- Do the institutional frameworks / governance structures pose risks that may jeopardize project benefits? If so, how can this be mitigated?
- Has the project developed appropriate institutional capacity in each of the countries which would be sufficient to sustain project outcomes and impacts after the project end date?

#### 4. Environmental sustainability

- Are there environmental risks that could affect the project outcomes and results? Please describe

<b>Relevance: How does the objectives of the project relate to the main objective of the UNDP, and to the environment and development priorities of the local beneficiaries?</b>	
Alignment to UNDP's mandate, national priorities and the requirement of women and men	<ul style="list-style-type: none"> <li>▪ To which extent is the project in line with UNDP's mandate</li> <li>▪ In the project aligned with the national priorities of the targeted countries?</li> <li>▪ Are the requirements of targeted women and men being taken into account?</li> </ul>
Project contribution to expected outcomes	<ul style="list-style-type: none"> <li>▪ How has the project been contributing to its expected outputs?</li> <li>▪ Are the proposed activities under each of the Outcomes relevant to the national development priorities of the targeted countries?</li> <li>▪ How does the project support the environment and sustainable development objectives of the Country?</li> <li>▪ Is the project Country-driven?</li> <li>▪ What was the level of stakeholder participation in project design?</li> <li>▪ What has been the level of stakeholder ownership in Implementation?</li> <li>▪ Does the Project adequately take into account the national realities, both in terms of institutional and policy</li> </ul>
Gender equality and women empowerment	<ul style="list-style-type: none"> <li>▪ How has the gender questions been taken into account in the project?</li> <li>▪ Has the project design adequately addressed gender equality and women empowerment?</li> <li>▪ Are the targeted groups in each country being engaged with a priority focus on the excluded and marginalized?</li> <li>▪ What has the participation of women in relation to men been like during project design and implementation?</li> <li>▪ Has the Implementation of the project been inclusive of all relevant Stakeholders?</li> </ul>
Project contribution to UNDP priorities	<ul style="list-style-type: none"> <li>▪ How has the project contributed to the priorities of UNDP?</li> <li>▪ Is the project design coherent with UNDP Sustainable Development Goals (SDGs)?</li> <li>▪ Will the NAMAs and NAPs that are being designed contribute to the eradication of poverty</li> <li>▪ How does the project support the establishment of South- South and North- South cooperation?</li> </ul>
<b>Effectiveness: To what extent have/will the expected outcomes and objectives of the project been/be achieved?</b>	
Effectiveness in achieving the expected outputs?	<ul style="list-style-type: none"> <li>▪ Is the delivery of outputs on track?</li> <li>▪ What is the state of development of the NAMAs and NAPs in each of the targeted countries?</li> <li>▪ What is the percentage of progress in transferring and adopting mitigation and adaptation technologies?</li> <li>▪ Has the project been able to strengthen knowledge networks in the region to foster South- South and North-South cooperation?</li> </ul>

Factors that have or have not contributed to output delivery	<ul style="list-style-type: none"> <li>▪ Which are the key factors that have contributed to the delivery of outputs?</li> <li>▪ Which factors have impeded and or negatively affected the achievement of the expected outputs? What lessons have been learned from the project regarding achievement of outcomes?</li> <li>▪ What changes could have been made (if any) to the design of the project in order to improve the achievement of the project's expected results?</li> </ul>
Effectiveness of partners contributions to the achievement of outcomes	<ul style="list-style-type: none"> <li>▪ How effective have been the contribution of partners and other organizations to the achievement of outcomes?</li> <li>▪ To what extent partnerships/ linkages between institutions/ organizations were encouraged and supported?</li> <li>▪ What was the level of efficiency of cooperation and collaboration arrangements?</li> <li>▪ Which methods were successful or not and why?</li> </ul>
Gender equality of the current and planned results	<ul style="list-style-type: none"> <li>▪ Extent to which current and planned results are benefiting women and men equally?</li> <li>▪ Has gender empowerment been mainstreamed during planning and implementation?</li> </ul>
<b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b>	
Adequacy of strategies to maximize intervention efficiency	<ul style="list-style-type: none"> <li>▪ Are the strategies being utilised adequate to achieve the project objective and results?</li> <li>▪ Was adaptive management used or needed to ensure efficient resource use?</li> <li>▪ Did the project logical framework and work plans and any changes made to them use as management tools during implementation?</li> <li>▪ Could financial resources have been used more efficiently?</li> </ul>
Degree of efficiency in the use of resources	<ul style="list-style-type: none"> <li>▪ Have the use of resources been efficient?</li> <li>▪ Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information?</li> <li>▪ Have progress reports been produced accurately, timely and responded to reporting requirements including adaptive management changes?</li> <li>▪ Was project implementation as cost effective as originally proposed (planned vs. actual)?</li> <li>▪ Did the leveraging of funds (co financing) happen as planned?</li> </ul>
Degree of efficiency in the use of resources	<ul style="list-style-type: none"> <li>▪ Were financial resources utilized efficiently?</li> <li>▪ To what extent partnerships/ linkages between institutions/ organizations were encouraged and supported?</li> <li>▪ Which partnerships/linkages were facilitated? Which ones can be considered sustainable?</li> <li>▪ What was the level of efficiency of cooperation and collaboration arrangements?</li> <li>▪ Which methods were successful or not and why?</li> </ul>
Timeliness of output delivery	<ul style="list-style-type: none"> <li>▪ To what extent are quality outputs delivered on time?</li> <li>▪ What has been the rate of delivery on the annual work plans?</li> <li>▪ Has the project achieved targets as set-out in the PRODOC and in the modified work plans if any?</li> </ul>

Contribution of partnership modalities to the delivery of outputs	<ul style="list-style-type: none"> <li>▪ Have partnership arrangements been conducive to the delivery of outputs?</li> <li>▪ How efficient have UNDP partnerships been in contributing to the achievement of outputs?</li> <li>▪ Has the project utilised other project / initiatives as delivery mechanisms?</li> </ul>
Use of M&E to manage project	<ul style="list-style-type: none"> <li>▪ How is M&amp;E being used to manage the project?</li> <li>▪ How is the quality of the inputs being monitored by the project, through which indicators?</li> <li>▪ How well is M&amp;E built into programming and strategy to strengthen accountability?</li> </ul>
<b>Sustainability: How do the objectives of the project relate to the main objective of UNDP, and to the environment and development priorities at the local beneficiaries?</b>	
Strategies and mechanisms implemented to guarantee sustainability of expected outcomes after the project	<ul style="list-style-type: none"> <li>▪ What strategies and mechanisms have been incorporated to the implementation of the project to guarantee the sustainability of outcomes after the project?</li> <li>▪ How effective has the project been in building and developing internal and external partnerships to guarantee sustainability?</li> <li>▪ How did the project address its financial and economic sustainability in the medium to long run?</li> </ul>
Capacity development of key national stakeholders to guarantee sustainability	<ul style="list-style-type: none"> <li>▪ Has capacity development of key national stakeholders taken place as part of a sustainability strategy?</li> </ul>
Adequacy of policy and regulatory frameworks to support sustainability	<ul style="list-style-type: none"> <li>▪ Are the policy and regulatory framework in place adequate to support project sustainability after project completion?</li> <li>▪ Which actions has the project put in place to guarantee the sustainability of the results?</li> <li>▪ Which are the key challenges and risks that the project is facing to ensure the sustainability of the results?</li> </ul>
Evidence of partners commitments to continue supporting project results after project completion	<ul style="list-style-type: none"> <li>▪ To what extent have partners committed to providing continuing support after project completion?</li> </ul>
Sustainability of gender equality	<ul style="list-style-type: none"> <li>▪ How will concerns for gender equality, human rights and human development be taken forward by primary stakeholders?</li> <li>▪ Is the institutional framework capacity in each of the countries adequate to support gender equality, human rights and human development in the medium to long run?</li> </ul>
<b>Lessons learned and best practices</b>	
Key lessons learned and best practices	<ul style="list-style-type: none"> <li>▪ Which are the most important lessons learned being identified during this project?</li> <li>▪ Which best practices have been utilised?</li> </ul>

## PROGRESS TO DATE

***Outcome 1: NAMAs and NAPs to promote alternative low-emission and climate-resilient technologies that can support energy transformation and adaptation in economic sectors are formulated and institutionalised***

- Is the delivery of outputs related to outcome 1 activities on track?



- How much training has been provided to national teams? Has it been sufficient or more training is still required?
- Which are the key factors that have contributed to the delivery of outcome 1 activities implemented so far?
- Which factors have impeded and/or negatively affected the achievements of the outcome 1 activities so far?
- What lessons have been learned from the project regarding the achievement of outcome 1 activities?
- What changes could have been made (if any) to the design of the project in order to improve the achievement of the outcome 1 activities?
- How effective have been the contribution of partners and other organizations to the achievement of outcome 1 activities? Please provide examples?
- To what extent partnerships / linkages between institutions / organizations were encouraged and supported to help achieve outcome 2 activities?
- What was the level of efficiency from cooperation and collaboration arrangements?
- Which cooperation / collaboration arrangements, if any, were successful and why?
- To which extent the current and planned outcome 1 activities are benefiting women and men equally? Explain why?
- Has gender empowerment been mainstreamed during the planning and implementation phases?
- What is the level of representation of local women and men that have been involved in the achievement of the various project outcome 1 activities?

***Outcome 2: Selected mitigation and adaptation technologies transferred and adopted for low emission and climate resilient development in the Caribbean***

- Is the delivery of outputs related to outcome 2 activities on track?
- What is the percentage of progress in transferring and adopting mitigation and adaptation technologies?
- Which are the key factors that have contributed to the delivery of outcome 2 activities implemented so far?
- Which factors have impeded and/or negatively affected the achievements of the outcome 2 activities so far?
- What lessons have been learned from the project regarding the achievement of outcome 2 activities?
- What changes could have been made (if any) to the design of the project in order to improve the achievement of the outcome 2 activities?
- How many partnerships and / or collaboration arrangements have been developed to help with the achievement of outcome 2 activities? How effective have they proved?
- How effective have been the contribution of partners and other organizations to the achievement of outcome 2 activities? Please provide examples?
- To what extent partnerships / linkages between institutions / organizations were encouraged and supported to help achieve outcome 2 activities?
- What was the level of efficiency from cooperation and collaboration arrangements?

- Which cooperation / collaboration arrangements, if any, were successful and why?
- To which extent the current and planned outcome 2 activities are benefiting women and men equally? Explain why?
- Has gender empowerment been mainstreamed during the planning and implementation phases?
- What is the level of representation of local women and men that have been involved in the achievement of the various project outcome 2 activities?

**Outcome 3: Knowledge networks strengthened in Caribbean to foster South-South and North-South cooperation through sharing of experiences surrounding climate change, natural hazard risk and resilience**

- How much capacity building within the region has been provided to sustain and enhance approaches to climate change adaptation and mitigation so far?
- Have communication campaigns on the benefits of mitigation and adaptation, mitigation and disaster risk management interventions to catalyze low-emission technologies for sustainable cities in island towns and communities been implemented? Please describe.
- Have Caribbean officials visited Japan to learn about Japan's experiences in climate change and disaster risk management? If not what are the plans for this?

## Questionnaire to Government focal points

1. State your name, function and home base
2. To what extent does the design of the J-CCCP project meet the development objectives of your country?
3. Is the J-CCCP project embedded into the existing government structures
4. To which extent is the project addressing the needs of the target beneficiaries?
5. Does the project have a clear identity or is it duplicating efforts being made by other projects / programmes in your country?
6. Has the project been effective in achieving the expected outcomes so far?
7. Is project implementation on track? If not comment why not and which have been the primary causes for implementation delays?
8. Has the project been flexible in the design and implementation of project activities?
9. Has there been a need to make changes to the initial programme of work? Give reasons and results
10. Has the project been effective in identifying and managing risks?
11. Has the project achieved its mid-term objectives?
12. To which extent does the project have an effective monitoring, reporting and evaluation framework? Has the M&E system been used for feedback, adaptive management and learning?
13. Are the impacts and benefits arising from project interventions commensurate with the level of efforts and financial resources expended? Have results been delivered with the least costly resources possible?
14. What lessons and recommendations can be drawn from what has been accomplished so far?
15. How sustainable will the project impact be beyond the project implementation? Is your country able to sustain project impacts over time?
16. To which extent has the project been effective in supporting technology transfer and /or developing linkages with Japanese private sector companies
17. Has the project been able to develop and build partnerships to enhance South- South and North- South cooperation

## Questionnaire to local stakeholders

18. State your name, function and home base
19. To what extent does the design of the J-CCCP project meet the development objectives of your country?
20. Is the J-CCCP project embedded into the existing government structures
21. To which extent is the project addressing the needs of the target beneficiaries?
22. Does the project have a clear identity or is it duplicating efforts being made by other projects / programmes in your country?
23. Has the project been effective in achieving the expected outcomes so far?
24. Is project implementation on track? If not comment why not and which have been the primary causes for implementation delays?
25. Has the project been flexible in the design and implementation of project activities?
26. Has there been a need to make changes to the initial programme of work? Give reasons and results
27. Has the project been effective in identifying and managing risks?
28. Has the project achieved its mid-term objectives?
29. To which extent does the project have an effective monitoring, reporting and evaluation framework? Has the M&E system been used for feedback, adaptive management and learning?
30. Are the impacts and benefits arising from project interventions commensurate with the level of efforts and financial resources expended? Have results been delivered with the least costly resources possible?
31. What lessons and recommendations can be drawn from what has been accomplished so far?
32. How sustainable will the project impact be beyond the project implementation? Is your country able to sustain project impacts over time?
33. To which extent has the project been effective in supporting technology transfer and /or developing linkages with Japanese private sector companies
34. Has the project been able to develop and build partnerships to enhance South- South and North- South cooperation

### **Questionnaire to pilot project proponents**

1. State your name, organization and home base.
2. Which pilot project are you involved with?
3. Which local problem(s) / need(s) is this project trying to address?
4. How many households will benefit from this project?
5. How did you find out about the J-CCCP project?
6. How and when was this project identified?
7. Has the project been subjected to a prioritization process?
8. Have any prefeasibility studies been conducted?
9. Describe the project objective, technology that will be used, estimated costs, current status and implementation schedule?
10. What have been the major stumbling blocks that this project has faced so far?
11. Have other projects using the same or similar technological approach been implemented in your country?
12. How different is this project vis a vis other projects that are addressing similar needs or providing solutions to similar projects in your country?
13. Comment on the technical / training support / capacity building that you and your community have received from the J-CCCP project? Has it been effective?
14. Has the project been effective in supporting the development / implementation of this project?
15. Are there other similar projects being planned for and /or being implemented in your community? How about in other communities nearby?
16. Which lessons have been learned so far from what has been done?
17. Do you have any recommendations on how to improve the support that you and your community are receiving from the J-CCCP project?

## Questionnaire to Project Board members

35. State your name, function and home base
36. Does the project have a clear identity or is it duplicating efforts being made by other projects / programmes?
37. Has the project been effective in achieving the expected outcomes so far?
38. Is project implementation on track? If not comment why not and which have been the primary causes for implementation delays?
39. Has the project been flexible in the design and implementation of project activities?
40. Has there been a need to make changes to the initial programme of work? Give reasons and results
41. Has the project been effective in identifying and managing risks?
42. In your view has the project achieved its mid-term objectives?
43. To which extent does the project have an effective monitoring, reporting and evaluation framework? Has the M&E system been used for feedback, adaptive management and learning?
44. Are the impacts and benefits arising from project interventions commensurate with the level of efforts and financial resources expended? Have results been delivered with the least costly resources possible?
45. What lessons and recommendations can be drawn from what has been accomplished so far?
46. How sustainable will the project impact be beyond the project implementation?
47. To which extent has the project been effective in supporting technology transfer and /or developing linkages with Japanese private sector companies
48. Has the project been able to develop and build partnerships to enhance South- South and North- South cooperation

### **Questionnaire to Technical Advisory Group (TAG) members**

1. Please mention your name, organization / home base, and describe your involvement within the TAG so far.
2. Comment on the type of technical support / inputs that you have been providing to the J-CCCP project.
3. How has this technical support been provided? Does the TAG have regular meetings or have you been responding to specific queries from the Project Manager?
4. In your view which are the key barriers that are impeding the implementation of climate-resilient technologies in the region and how well is the project addressing the removal of those barriers?
5. Is the project taking advantage of innovative technical approaches to scale up action on climate change adaptation and mitigation in the region?
6. Do you consider that the interventions that are being proposed are most appropriate for local contexts to most effectively meet the needs of the different communities involved? Are they likely to be sustainable? Are they affordable? Do they have scale up and / or replication potential?
7. Are communities supportive of the proposed interventions?
8. Is the project taking advantage of the numerous other donor interventions are being implemented in the region or is there a high degree of duplication in the activities that are being implemented by the J-CCCP project?
9. Which recommendations do you have to improve project implementation from the viewpoint of the type of technical solutions that are being considered?
10. Which lessons have been learned from what has been implemented so far?

Annex V  
J-CCCP Stakeholders





ORGANISATION	E-MAIL	NAME	Project Role
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CCCCC	<a href="mailto:henrik.personn@cimonline.de">henrik.personn@cimonline.de</a>	Henrik Personn	Re LOA with CCCC
UWI	<a href="mailto:wayne.hunte@cavehill.uwi.edu">wayne.hunte@cavehill.uwi.edu</a>	Wayne Hunte	Re LOA with UWI
CARDI	<a href="mailto:mwilson@cardi.org">mwilson@cardi.org</a>	Maurice Wilson	Regional Coordination Committee on Climate Change
CIMH	<a href="mailto:atrotman@cimh.edu.bb">atrotman@cimh.edu.bb</a>	Adrian Trotman	
CARDI	<a href="mailto:executive@cardi.org">executive@cardi.org</a>	Barton Clarke	
CCCCC	<a href="mailto:utrotz@gmail.com">utrotz@gmail.com</a>	Ulric Trotz	
CRFM	<a href="mailto:milton.haughton@crfm.int">milton.haughton@crfm.int</a>	Milton Haughton	
CCCCC	<a href="mailto:k.leslie@sbcglobal.net">k.leslie@sbcglobal.net</a>	Kenrick Leslie	
CARICOM	<a href="mailto:douglas.slater@caricom.org">douglas.slater@caricom.org</a>	Douglas Slater	
CYEN	<a href="mailto:dornellyc@gmail.com">dornellyc@gmail.com</a>	Chris Sealys	
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OECS Commission	<a href="mailto:djules@oecs.org">djules@oecs.org</a>	Didacus Jules	
EU	<a href="mailto:Andrea.JANOHA@eeas.europa.eu">Andrea.JANOHA@eeas.europa.eu</a>	Andrea Janoha	
USAID	<a href="mailto:josingh@usaid.gov">josingh@usaid.gov</a>	Joth Singh	
CCCCC	<a href="mailto:agarcia@caribbeanclimate.bz">agarcia@caribbeanclimate.bz</a>	Ashanti Garcia	
GFA	<a href="mailto:thomas.scheutzlich@projekt-consult.de">thomas.scheutzlich@projekt-consult.de</a>	Thomas Scheutzlich	Technical Consultant

GFA	<a href="mailto:mail@sven-homscheid.com">mail@sven-homscheid.com</a>	Sven Homsheid-Carstens	Technical Consultant
Cadmus	<a href="mailto:Charles.Hernick@cadmusgroup.com">Charles.Hernick@cadmusgroup.com</a>	Charles Hernick	Technical Consultant
Cadmus	<a href="mailto:mary.hurley@cadmusgroup.com">mary.hurley@cadmusgroup.com</a>	Kathleen Hurley	
Cadmus	<a href="mailto:Braden.Rosenberg@cadmusgroup.com">Braden.Rosenberg@cadmusgroup.com</a>	Brandon Roenburg	
IISD (NAP Global Network)	<a href="mailto:clledwell@iisd.ca">clledwell@iisd.ca</a>	Christian Ledwell	
IISD (NAP Global Network)	<a href="mailto:hprice-kelly@iisd.ca">hprice-kelly@iisd.ca</a>	Hayley Price-Kelly	
CREF	<a href="mailto:mperks@newenergyevents.com">mperks@newenergyevents.com</a>	Matthew Perks	
CREF	<a href="mailto:jporter@newenergyevents.com">jporter@newenergyevents.com</a>	Justine Porter	
CARICOM	<a href="mailto:Salas.Hamilton@Caricom.org">Salas.Hamilton@Caricom.org</a>	Salas Hamilton	
C'bean Export Development Agency	<a href="mailto:JLaryea@carib-export.com">JLaryea@carib-export.com</a>	Joellen Laryea	
CDEMA	<a href="mailto:clive.murray@cdema.org">clive.murray@cdema.org</a>	Clive Murray	
CXC	<a href="mailto:CISam@cx.org">CISam@cx.org</a>	Cleveland Sam	
CARICOM	<a href="mailto:Kendol.Morgan@Caricom.org">Kendol.Morgan@Caricom.org</a>	Kendol Morgan	
PANOS	<a href="mailto:petre@panoscaribbean.org">petre@panoscaribbean.org</a>	Petre Williams	





## Annex VI

### J-CCCP Project Proposal Template for NGOs and CBOs



**JAPAN- CARIBBEAN CLIMATE CHANGE PARTNERSHIP PROJECT PROPOSAL TEMPLATE FOR NGOs AND CBOs**

## SECTION 1: GENERAL INFORMATION

**Submission Date:** Click or tap to enter a date.

**Project Title:**

**Project Country**

**Targeted Community/ Organization/Stakeholder Group:**

**Proposed Start Date:** Click or tap to enter a date.

**Expected End Date:** Click or tap to enter a date.

**Expected Project Duration:**

**Name of Responsible Organization:**

**Type of Organization:**

- Non-Governmental Organization (NGO)
- Registered Community Based Organization (CBO)
- Privately Funded Academic Institution
- Development Agency
- Other

Please Describe: \_\_\_\_\_

## SECTION 2: CONTACT INFORMATION

**Project Contact (*Name and Position*):**

**Address:**

**Telephone Number (s):**

**Fax Number:**

**E-Mail Address:**

## SECTION 3: PROJECT CLASSIFICATION

Kindly indicate the Focal Area/s and corresponding Output/s under which your pilot project falls in the appropriate box in the table below.

Focal Area	Overarching JCCCP Outputs	Please mark with an X
Water Resource Management	Output 2.1: Affordable climate-resilient community-based water harvesting, storage and distribution systems designed, built and rehabilitated in selected target areas	
Sustainable Agriculture	Output 2.2: Crop diversification practices tested for their ability to improve resilience of farmers to climate change impacts	
	Output 2.3: Community-based water capacity and irrigation systems improved or developed to test their ability to raise agricultural productivity	
	Output 2.4: Sustainable Agriculture (Climate-resilient agro-pastoral practices and technologies (e.g. water management and soil fertility) demonstrated in selected target areas.	
Community Based Climate Smart Resilient Infrastructure	Output 2.5: Climate resilience and disaster risk management activities- Small-scale infrastructure implemented to reduce climate change and disaster-induced losses	
Renewable Energy and Energy Efficiency	Output 2.6: Climate resilience and disaster risk management activities (Energy pilot demonstrations applied to selected adaptation, mitigation and disaster risk management interventions to catalyse low-emission climate-resilient technology transfer, development and investments in the Caribbean)	

## SECTION 4: PROJECT BUDGET AND FINANCING

### PROJECT BUDGET:

Indicate the total expected budget for the implementation of the project. The total should include the approximate financial value of any in-kind contributions.

TOTAL PROJECT BUDGET	Local Currency (\$)	United States (US\$)

UN rate of exchange: US\$1 = BEL\$2.00/EC\$2.70/ GUY\$ 207.20/JM \$122.64 /SUR\$5.69

### PROJECT FINANCING:

Indicate all of the financial sources that will be providing funding for the project and the expected contributions. Also state sources of in-kind contributions and the approximate financial value of these contributions.

Source of Funds	Name of Source	Funding Amount (US\$)
Grant	J-CCCP	
Co-Financing	(Name of Donor)	
In-kind Contributions	(Name of Organisation/s)	
<b>Total</b>		

*\*Please add rows to the table as required*

**N.B. Please note that the totals at the end of the project financing table must equal those presented in the Total Project Budget Table (Section I).**

## SECTION 5: PROPOSAL PREPARATION GUIDELINES

Preparation of the proposal for consideration requires completion of the following sections:

### **SECTION A: PROJECT EXECUTIVE SUMMARY**

A brief but comprehensive summary of the project proposal which highlights the key points i.e. the goal, objective, target groups, expected expenditure and main climate change vulnerabilities and J-CCCP focal areas to be addressed.

### **SECTION B: ORGANISATIONAL OVERVIEW**

An overview of the responsible organization(s) that will be implementing the activities under the pilot project. This section should include the organization's mission and vision, key sources of income, year and country of incorporation or registration, previous experience with climate change projects etc.

### **SECTION C: PARTNERSHIPS AND CO-PROGRAMMING ARRANGEMENTS**

Where the responsible organization is partnering with another entity to undertake activities related to the pilot project, information on the proposed partnership(s) and the partner agency should be provided.

### **SECTION D: SITUATIONAL ANALYSIS, STRATEGY AND APPROACH**

Detailed information on the focal areas and climate change vulnerabilities that will be addressed. Information should also be provided on how the proposed project activities are aligned with national and regional development and strategic priorities. An indication of how the proposed activities will build on ongoing or previously concluded work to avoid duplication and take advantage of opportunities for partnering with other organizations to enhance resource use should be provided.

### **SECTION E: TARGETED STAKEHOLDER GROUPS AND COMMUNITIES**

The groups/communities that will benefit from the implementation of the project activities as well as a description of the benefits that they expect to receive. The demographic composition (gender, age) of these groups and the expected benefits to men and women should also be provided.



**SECTION F: STAKEHOLDER ENGAGEMENT AND GENDER**

An outline of how the community/stakeholder groups were involved in the development of the pilot project as well as the actions that will be taken to ensure meaningful and equal participation of persons of each gender in implementation and management.

**SECTION G: RESULTS FRAMEWORK**

The selected J-CCCP Outputs of the project as well as the corresponding indicators stated. An indication of the current baseline (present situation), expected targets and the means of verifying the success of the interventions should also be presented. A table of indicators has been provided in **ANNEX A. Each project proposal must incorporate these indicators as follows:**

- **Required** – At least one required indicators for each of the Outputs selected must be incorporated into the Results Framework
- **Optional** – Any optional indicators which can be used to measure achievement of the selected Outputs can also be added

**SECTION H: WORK PLAN AND BUDGET**

An outline of the selected J-CCCP Outputs, planned activities to achieve them and the timeframe and budget for each activity.

**SECTION I: PROJECT BUDGET BREAKDOWN**

A detailed breakdown of the required resources for each activity outlined in the work plan and the expected costs. Explanatory budget notes which clearly explain how the organization arrived at the figures in the Total Budget column for each line item is required.

**SECTION J: MANAGEMENT ARRANGEMENTS AND ORGANISATIONAL CAPACITY**

An overview of the management structure of the organization's project management including names, positions, experience and areas of responsibility as it relates to the pilot study. Additionally, detailed information on the organization's internal capacity to undertake critical areas of project management should be provided.

**SECTION K: PROJECT RISK AND ASSUMPTIONS**

Internal and external risks that may affect the success of project implementation; as well as the key assumptions used in the development of the pilot project that must remain true in order for the expected results to be realized.

**SECTION L: PROJECT EVALUATION, MONITORING AND REPORTING**

The methods that will be used to monitor project progress and to determine the extent to which the pilot projects activities have succeeded in meeting the project targets. The section also outlines the minimum reporting requirements of the Responsible Organization to the UNDP Project Management Unit (PMU) and includes the type of reports to be submitted.

**SECTION M: PROJECT SUSTAINABILITY**

The proposal must clearly outline how the capacities and benefits will continue beyond the life of the project, including ensuring a proper maintenance and operations plan for the techniques and technologies introduced.

**SECTION N: ATTACHMENTS AND SUPPORTING DOCUMENTATION**

Required documents to facilitate the verification of the information provided in the submission (e.g. certificate of registration/incorporation, financial statements etc.) as well as supporting information relevant to specific elements of the proposal including maps, graphics and literature to provide a clear understanding of the location, scope and methodology.

## SECTION 6: PROPOSAL SUBMISSION

### SECTION A: Project Executive Summary

**Executive summary (max 300 words)**

### SECTION B: Organizational Overview

- 1. Background of organization (mission, vision, areas of operation and date of establishment) (max 150 words)**

- 2. Organizational structure (no. of staff/members and management structure, governing body/oversight committee). Please include an organizational chart.**

- 3. Is your organization a part of an umbrella organization/organizational network? Provide details.**

- 4. List existing partnerships with government organizations/UN agencies/private sector organizations (e.g. partnership agreements or MOUs)**

**5. Annual budget (List of sources of income and corresponding amounts)**

--

**6. Year of registration and country of operation (Certificate of Registration or Incorporation must be enclosed with your application)**

--

**7. Track record and experiences – Please provide summary information on similar climate change projects undertaken in the last five years**

Name of project	Project Objectives	Project Budget	Source of funds	Beneficiaries	Status or Date Completed	Project Results and Impacts

*\*Please add rows to the table as required*

**SECTION C: Partnerships and Co-Programming Arrangements**

1. Provide the names of any organization(s) which you will be partnering with for the implementation of project activities

2. Principal contact in partner organization (name and position)

3. Background of partner organization (mission, vision, areas of operation and date of establishment) (max 100 words)

4. Clearly detail the expected roles and responsibilities of the partner organization in the pilot project and the specific project activities that they will be expected to undertake. (max 500 words)

5. Provide details on how this partnership will add value to the project and enhance project management and implementation (e.g. technical expertise, capacity for project implementation and project management etc.) (max 200 words)

## SECTION D: Situational Analysis, Strategy and Approach

1. Situation analysis (outline the need within the targeted geographical area that the pilot project seeks to address and how the intervention seeks to meet that need) (max 1,000 words)

2. What are the specific climate change vulnerabilities being addressed? (e.g. natural hazard risk and historical impacts, and realized impacts attributed to climate change) (max 750 words)

3. Describe how the project will contribute to a reduction in GHG emissions if applicable. Provide estimates if possible.

4. Indicate how the project is aligned with national strategic priorities (e.g. Intended National Determined Contribution (INDC), national policies, strategic plans, development agendas, etc.) (max 500 words)

5. Describe how the project is aligned with key regional policies/strategic priorities (e.g. CARICOM Strategic Plan, CARICOM Regional Framework for Achieving Climate Resilience, CDEMA Comprehensive Disaster Management (CDM) Strategy and Results Framework) (max 500 words)

6. Outline linkages with related national/regional initiatives (linkages with previous national assessments/projects, creating synergies with ongoing work and co-implementation opportunities with similar initiatives to avoid overlaps and duplication) (max 500 words)

## SECTION E: Targeted Stakeholder Groups and Communities

1. Provide information on the main stakeholder group(s) that will be targeted (name, location and description) (max 500 words)

2. Outline the process by which the key stakeholder groups were identified (e.g. previous studies, questionnaires or surveys, consultations etc.) (max 300 words)





**5. What will be the specific roles of and benefits to men and women in each stakeholder group/community during and after project implementation?**

	Male	Female
Specific Roles		
Anticipated Benefits		
Do you anticipate any negative outcomes from the project on either gender?		

## SECTION F: Stakeholder Engagement and Gender Analysis

Please note that community/stakeholder participation refers to the active involvement of these groups in and “ownership” of the project.

**1. How did communities participate in the planning and development of the project?**

TYPE OF CONTRIBUTION	Tick ✓	EXPLANATION
Provision of baseline information		
Development of the project methodology		
Defining project activities		
Defining project focus/scope		
Outlining community level needs and priorities		
Review the draft project proposal.		

Proposal Development		
Draft Proposal Review		
Other (please specify)		

**2. How was their participation facilitated?**

CATEGORY	TICK ✓	EXPLANATION
Undertaking surveys/questionnaires		
Responding to surveys/questionnaires		
Meetings		
Workshops		
One-on-one discussions		
Focus group discussions		
Review the draft project proposal.		
Other (please specify)		

**3. How will communities/ stakeholder groups participate in project implementation?**

CATEGORY	Tick ✓	STAKEHOLDER GROUP	EXPLANATION
Volunteers for physical works			
Monitoring and Evaluation			

CATEGORY	Tick ✓	STAKEHOLDER GROUP	EXPLANATION
Co-programming/Project Partnership			
Co-funding			
Other (please specify)			

4. If women or men are under-represented in project design, implementation and management, what will you do to increase their meaningful participation in the project?

GENDER	CAUSE(S)	ACTION
Women		
Men		

## SECTION G: Results Framework

Selected J-CCCP Pilot Project Outputs	Indicators (To be selected from Annex A)	Baseline	Targets	Monitoring method	Source of verification
<i>e.g. Output 2.1 Affordable climate-resilient community-based water harvesting, storage and distribution systems designed, built and rehabilitated in selected target areas.</i>	<i>e.g. Number of litres/gallons of increased storage capacity which meets international drinking water standards</i>	<i>e.g. 200 litres of existing storage capacity</i>	<i>e.g. 1,500 litres of increased storage capacity</i>	<i>e.g. Bi weekly site visits and data collection</i>	<i>e.g. Progress reports and pictures of the site</i>
Choose an item.					
Choose an item.					
Choose an item.					
Choose an item.					
Choose an item.					
Choose an item.					

*\*Please add or subtract rows or increase the size of each cell as needed*

### Explanatory Notes:

**SELECTED J-CCCP PROJECT OUTPUTS:** Selected J-CCCP Outputs of the project as indicated in Section 3.

**INDICATORS:** Used to measure success of the expected pilot project Outputs. The indicators and the corresponding Outputs have been outlined in **Annex A**. The indicators should be selected and reflected in the Results Framework as follows:

**(1) Required-** At least one of the required indicators for the Output must be incorporated

**(2) Optional-** Any optional indicators which can be used to measure achievement of the selected Outputs can also be added

**BASELINE:** Status of the indicators before pilot project starts.

**TARGETS:** Results that will be achieved by the end of the pilot project based on the indicators. Attainment of the target would be achieved through the implementation of the activities and should be measured relative to the baseline e.g. 3,150m<sup>3</sup> of water storage capacity available (3,000 m<sup>3</sup> installed, 150m<sup>3</sup> repaired).

**MONITORING METHOD AND SOURCE OF VERIFICATION:** Outline the methods and frequency of monitoring that will be undertaken to assess the progress of project implementation and the success of the activities in attaining the desired results. The sources of data and the other relevant information should also be stated.

SECTION H: Work Plan and Budget

Selected J-CCCP Pilot Project Outputs	Planned Activities	Timeframe (months)												Responsible Party	Planned budget		
		Year (20XX)													Funding Source	Amount (Year 1) Budget/US\$	Amount (Year 2) Budget/US\$
Choose an item.																	
Choose an item.																	
Choose an item.																	
Choose an item.																	

**Explanatory Notes:**

**SELECTED J-CCCP PILOT PROJECT OUTPUTS:** Kindly restate the **Selected J-CCCP Pilot Project Outputs** outlined in the “Results Framework” table in Section G.

**PLANNED ACTIVITIES:** The activities are the steps that will be undertaken within a specified time period to achieve the pilot project outputs. Describe each activity as follows e.g. Conduct site assessment and undertake system design at identified location; develop and implement capacity building exercise in installation and maintenance; system installation and testing.

**TIMEFRAME:** The expected period of work for the completion of the planned activities

**RESPONSIBLE PARTY:** The agency/ organisation responsible for undertaken the specific planned activity. More than one entity can be identified for each activity

**PLANNED BUDGET:** The estimated financial allocations that would be required to facilitate the implementation of each of the planned activities

**FUNDING SOURCE-** The organization or mechanism providing the funding for the planned activity

**AMOUNT-** The expected costs for each planned activity

## SECTION I: Project Budget Breakdown

Expenditure Category	PROJECT COST			PROJECT FINANCING				
	Unit Cost (Local \$)	No.	Total Cost (Local \$)	J-CCCP Contribution	Contribution from community or group (Local \$)		Contribution from Co-funders (Government; Private Sector, Individuals, other) (Local \$)	
					Cash	In-kind	Cash	In-kind
Personnel/Labour <sup>1</sup>								
Consultants								
Equipment								
Materials								
Capacity Development for Group								
Workshops/Seminars								
Local Travel								
Contracts								
Monitoring and Evaluation								
Other (specify)								
Other (other assistance needed from J-CCCP)								
<b>TOTAL (Local \$)</b>								
<b>TOTAL (US\$)</b>								

<sup>1</sup>**Administration:** The amounts for these items constitute the project administration budget allocation and should not include overheads. Only the labour time required for the project will be funded.

❖ Clearly explain how you arrive at each figure in the Total Budget Column by including precise notes below.



- ❖ A Letter of confirmation is required from each co-funder. Specify names and contact information of all co-funders in the explanatory notes.

**Explanatory Budget Notes:** An explanation for each budget line is required in order for the proposal to be considered. Figures should be quoted in US currency.

Budget Line Item	Explanation



## SECTION J: Management Arrangements and Organisational Capacity

1. Please outline the management structure of the project management team. This should include the full name, assigned roles/position, relevant experience and area of responsibility on the project for each of the members of the team.

Name	Role/ Position	Experience	Area of Responsibility

2. Detail the organization's internal capacity to undertake the critical areas of project management outlined in the table below. Constraints in each of these areas should also be presented as well as planned mitigation actions to reduce their impact on project implementation.

Capacity Requirements	Description of Available Capacity	Description of Constraints	Mitigation Measures
<b>Financial</b>	Briefly refer to or outline written rules and regulations that govern financial management within the organization, procedures used to monitor and track spending, accounting systems for tracking expenditure and any other relevant information. Submit supporting documents where applicable.		
<b>Technical skills and knowledge</b>	Indicate the organization's area of expertise, the level of or ability to access additional technical knowledge and skills needed for implementation of activities, as well as the capacity to acquire baseline information and background documents.		
<b>Administrative</b>	Outline the resources (financial, personnel, facilities etc.) available to undertake the administrative (e.g. financial reporting,		

	progress reports, document development- field monitoring templates, data sheets etc.) requirements for the project		
--	--	--	--

## SECTION K: Project Risk and Assumptions

**Risk Log:** Identify the internal and external risk factors that could result in significant delays or failure to implement project activities. Give thought to the likelihood of them occurring and the actions that should be put in place to manage the risks that you have identified. Examples have been provided in the table below.

<u>Explanatory Notes:</u>					
<ul style="list-style-type: none"> <li>• <b>Description of Risk:</b> Outline of the possible risks that could result in delay or failure of the project</li> <li>• <b>Type of Risk:</b> Category of identified risk e.g. Environmental/ Financial/ Organizational/ Operational/ Political/ Other</li> <li>• <b>Probability:</b> Likelihood of the identified risk occurring i.e. High/ Medium/ Low</li> <li>• <b>Impact:</b> Describe the potential effects on the project if this risk were to occur</li> <li>• <b>Mitigation Actions/Management Response:</b> Outline the actions that have been or will be taken to manage the risks</li> </ul>					
	Description of Risk	Type of Risk	Probability	Impact	Mitigation actions / Management Response
Internal Risk Factors	e.g. The technology implemented failed to work as expected	Operational	Low	The expected results are no longer attainable	Extensive research on the required technology undertaken prior to purchase and installation
External Risk Factors	e.g. Unexpected extreme weather events	Environmental	Medium	Loss of test crops at demonstration sites	Determination of the most appropriate crop types and planting methods for the test sites to minimize crop damage


*\*\*Please add rows to the table as required*

**Key Project Assumptions:** These are factors or events that your organization believes to be true and on which the feasibility and success of the project have been based. Whether evidence-based or presumed, the factors must remain true throughout the entire project cycle in order for the expected results to be realized.

KEY ASSUMPTIONS	EXPLANATION
e.g. Key expertise is available to undertake priority activities	
e.g. Co-funding and in-kind contributions have been secured	

*\*\*Please add rows to the table as required*

## SECTION L: Project Monitoring, Reporting and Evaluation

**Project Monitoring:** Clearly outline how the project progress will be tracked and the scheduled periods for collection of data/information. The established baseline for each expected sub-output and the corresponding targets should be used as the benchmarks for determining progress and success.

<p><u>Explanatory Notes:</u></p> <p><b>Method of Monitoring and Evaluation:</b> The way in which the progress of the project activities and their level of success in achieving the target will be measured</p> <p><b>Timeframe:</b> The time period in which the monitoring activities will be undertaken i.e. weekly/monthly/ quarter way and half way through the project/ at the end of the project period</p> <p><b>Responsible Party:</b> Identify the individuals that will be undertaking the activity. E.g. Team leader, consultant etc.</p>		
<b>Method of Monitoring and Evaluation</b>	<b>Timeframe/ Frequency</b>	<b>Responsible Party</b>
e.g. Data Collection on increased storage capacity for water collection facilities	Monthly	Consultant

*\*\*Please add rows to the table as required*

**Project Reporting and Evaluation:** The table below outlines the minimum reporting obligations of the Responsible Organization/ Group undertaking pilot project implementation.

Type of M&E activity	Description	Responsible Parties	Time frame
Inception report	A report on the initial activities undertaken at the start of the project. This report should also contain information on any changes to the approach to the implementation of activities due to consultation with stakeholders, additional data and ground proofing of proposed methodologies.	<ul style="list-style-type: none"> <li>▪ Pilot Project Team</li> </ul>	Within the first two months of project start
Progress reports	An update on the progress of project activities and implementation. This should detail major accomplishments as well as challenges and mitigations measures to manage them and keep the project on track and on schedule. This report should also include an analysis of data that would have been collected.	<ul style="list-style-type: none"> <li>▪ Pilot Project Team</li> <li>▪ J-CCCP National Focal Point</li> </ul>	Monthly
Financial Reports	A summary of the expenditure for the reporting period. This must be aligned with the project work plan and budget	<ul style="list-style-type: none"> <li>▪ Pilot Project Team</li> <li>▪ J-CCCP NFP</li> </ul>	Monthly
Field Monitoring and Evaluation	This is related to the field monitoring and evaluation exercises that will be undertaken by the J-CCCP project team to verify reported results, monitor project progress and provide technical or administrative support where needed.	<ul style="list-style-type: none"> <li>▪ J-CCCP National Focal Point (NFP)</li> <li>▪ UNDP Barbados and the OECS J-CCCP Project Management Unit (PMU)</li> </ul>	NFP- As necessary  PMU-  At least twice in



Type of M&E activity	Description	Responsible Parties	Time frame
			project lifetime
Final Project Report	A comprehensive report of the project activities and results from inception to completion. This should include analysis of the baseline in relation to the targets reached, a full analysis of data collected and interventions that were used as well as lessons learned during project implementation.	<ul style="list-style-type: none"> <li>▪ Pilot Project Team</li> </ul>	Two weeks before the end of the project

### SECTION M: Project Sustainability

Clearly outline how the project outcomes will be sustained after the end of the project and how the benefits will continue beyond the life of the project.

### SECTION N: Attachments and Supporting Documentation

1. Certificate of Incorporation/Registration
  2. Organizational Chart

3. Financial statement (2 years)
4. Other (please list the other documents attached e.g. maps)

## ANNEX A- Project Outputs and Indicators

Indicators should be selected from this table and incorporated into the Results Framework in **Section G** of the **Pilot Proposal Template**.

Output	Output Description	Required/Optional	Indicators
2.1-2.6	General	Optional	Number of men and women who have received training in climate change adaptation principles and techniques
			% decrease in or avoided tCO2 emissions
			% increase in youths targeted for training in the design/installation/use/maintenance of climate resilient technologies
2.1	Affordable climate-resilient community-based water harvesting, storage and distribution systems designed, built and rehabilitated in selected target areas (e.g. communal reservoirs, rooftop catchment, rainwater storage tanks and conveyance systems)	Required	Number of men and women with improved access to water which meets international drinking water standards
			Number of litres/gallons of increased storage capacity which meets international drinking water standards
		Optional	% of female headed households with improved access to water
			% reduction in time spent collecting and transporting water
			% reduction in the cost of water collection and transport during drought periods

Output	Output Description	Required/Optional	Indicators
2.2	Crop diversification practices tested for their ability to improve resilience of farmers to climate change impacts.	Required	<p data-bbox="1188 643 1948 711">Number of men and women who expand and diversify the agricultural product using sustainable techniques</p> <p data-bbox="1188 748 1948 816">Number of communities which expand and diversify the agricultural product using sustainable techniques</p> <p data-bbox="1188 854 1948 922">% increase of farming land (in hectares) with climate resilient crops planted in the target area</p> <p data-bbox="1188 959 1948 1027">Increase in yield (kilograms per hectare) or crop density (plants per hectare) relative to input cost</p>
2.3	Community-based water capacity and irrigation systems improved or developed to test their ability to raise agricultural productivity.	Required	<p data-bbox="1188 1081 1948 1149">Number of men and women who have gained direct benefits from improved climate resilient irrigation systems</p> <p data-bbox="1188 1187 1948 1255">% increase in agricultural land covered with improved climate resilient irrigation systems</p> <p data-bbox="1188 1292 1948 1328">Increase in yield (kilograms per hectare) or crop density ( plants</p>

Output	Output Description	Required/Optional	Indicators
			per hectare) relative to inputs
		Optional	% reduction in time spent collecting and transporting water
			% reduction in the cost of water collection and transport during drought periods
2.4	Climate-resilient agro-pastoral practices and technologies (e.g. water management and soil fertility) demonstrated in selected target areas.	Required	Number of men and women who have gained direct benefits from adaptive and improved grazing techniques
			Increase in yield (kilograms per hectare) or crop density (plants per hectare) relative to inputs

Output	Output Description	Required/Optional	Indicators
2.5	Small-scale infrastructure implemented to reduce climate change and disaster-induced losses.	Required	<p>Number of men and women who have gained direct benefits from risk reduction measures implemented</p>

Output	Output Description	Required/Optional	Indicators
			<p data-bbox="1188 302 1950 412">Number of communities where sector specific risk reduction measures are being implemented, disaggregated by urban and rural areas</p> <p data-bbox="1188 451 1950 561">Number of kilometers of infrastructure implemented (e.g road or slop stabilization) to reduce climate change and disaster-induced losses</p>
2.6	Energy pilot demonstrations applied to selected adaptation, mitigation and disaster risk management interventions to catalyze low-emission climate-resilient technology transfer, development and investments in the Caribbean	<p data-bbox="896 670 1167 727">Required</p> <p data-bbox="896 735 1167 922">Optional</p>	<p data-bbox="1188 670 1950 727">Number of men and women with improved access to energy</p> <p data-bbox="1188 735 1950 792">% increase in kWh of RE capacity installed in target area</p> <p data-bbox="1188 800 1950 857">% decrease in or avoided tCO2 emissions</p> <p data-bbox="1188 865 1950 922">% of female headed households with improved access to energy</p>

Annex VII  
List of Pilot Project and their status



## Annex VI

## List of Pilot Projects and their status

Focal Area	Country	Name of Pilot Project	Project Development			Approval Status		
			Idea	Conc ept	Propo sal	PMU	TAG	Approved
2.1 Water Resource Management	DOM	Bagatelle alternate water harvesting & storage				√		
	GND	Princess Royal Hospital Rainwater Harvesting Project				√		
		Grand Bay Community Cistern Refurbishment Project					√	
	GUY	Improved access to water in drought-prone rural communities			√			
	JAM	Rehabilitation and construction of water harvesting infrastructure in upper Clarendon						√
	SVG	Adapting to the effects of drought through increasing water storage capacity to address climate change on Mayreau (CSO)						√
	SUR	Infra Hub: a center of practical knowledge (CSO)				√		
		Enhancing access to drinking water for the Maroon community of Asigron, Brokopondo						√
		Climate resilient access to drinking water for the Maroon community of Nw. Lombé, Brokopondo					√	
2.2 – 2.4 Sustainable Agriculture	BLZ	Sustainable agriculture in climate smart landscapes						√
	DOM	Improving seasonality and diversity of vegetable production in Morne Prosper					√	
		Promoting Sustainable Agriculture at the Dominica Community High School					√	
	GND	Building Resilience to Climate Change and Weather Variations at Mirabeau Propagation Station				√		

		Chambord Water Rehabilitation Project (CSO)				√		
		Carriacou Pasture Improvement and Paddock Project						√
		Bacolet Juvenile Rehabilitation and Treatment Centre Hydroponics/Aquaponics Project						√
		The St. Andrew's Anglican Secondary School Climate Smart Model Agricultural Project						√
	JAM	Promoting climate smart technologies in schools through enhancement of the 4H supported school gardens programme						√
		Demonstrating climate smart technologies for the enhanced agricultural production and sustainable livelihoods in rural farming communities of St Ann						√
	SLU	Building the resilience of the honey sector to the impacts of climate change through genetic security and improved management.						√
		Using aquaponics to increase farmer resilience to the impacts of climate change						√
	SVG	Irrigation capacity improvement to improve climate change resilience among small farmers						√
		Promoting the adoption of climate smart agriculture practices among small-scale producers (IGO)						√
		Climate change adaptation project for livestock production						√
		Building climate change resilience in the co-operative sector of St. Vincent and the Grenadines						√
		Pass it on sustainable model gardens project (CSO)					√	
	SUR	Encouraging children's homes to grow crops and fish for food security and climate change resilience						√
		Everyday food: growing vegetables no matter what weather - Education on simple sustainable						√

		agricultural methods at selected primary schools through the use of second hand PET-bottles						
2.5 Community Based Climate Smart Resilient Infrastructure	DOM	Enhanced functionality of the Morne Rchette Emergency Shelter and Resource Centre				√		
	GRD	La Sagesse Flood Project (CSO)						√
	SVG	Strengthening community resilience within selected poor vulnerable communities on mainland St. Vincent						√
	SVG	Dickie village slop stabilisation and road improvement project						√
	SUR	Co-financing with GCCA+ project			√			
2.6 Renewable Energy and Energy Efficiency	GUY	Piloting Solar-Photovoltaic (PV) Systems and Energy Efficient Streetlights in Bartica, Region Seven						√
	SLU	Green Architecture Promotion Pilot (GAPP) toward Building Resilience to the Adverse Effects of Climate Change					√	
	SUR	Women Empowerment & Renewable Solar Energy (CSO)						√