



FINAL REPORT

MID-TERM EVALUATION OF ACP-EU NATURAL DISASTER RISK MANAGEMENT IN THE CARIFORUM PROGRAMME

DECEMBER 2016 – FEBRUARY 2017

FRAMEWORK CONTRACT EUROPEAID/132633/C/SER/MULTI

LOT 6: ENVIRONMENT

SPECIFIC CONTRACT N° 2016/379923/1

PREPARED FOR: DELEGATION OF THE EU TO BARBADOS

PREPARED BY: GEOTEST AND PARTICIP GMBH

BIRGIT HALLE, MARCO MINELLI

SUBMITTED IN: FEBRUARY 27TH, 2017

This report was prepared with the financial assistance of the European Commission. The views expressed in this report are those of the consultants and do not necessarily reflect those of the European Commission.



Particip-led Consortium comprising: Particip, Adelphi, AETS, Bipro, ELLE, ETI Consulting, Geotest, HTSPE, Milieu, NIRAS, PEMConsult, Poseidon

Table of contents

Table of contents.....	II
List of figures	III
Abbreviations	IV
Executive summary.....	VIII
1 Introduction	1
1.1 Context of the programme	1
1.2 Programme presentation.....	1
1.3 Objectives and methodology of the mid-term evaluation	2
2 EVALUATION FINDINGS	4
2.1 Relevance.....	4
2.1.1 Analysis of the global relevance of the programme	4
2.1.2 Programme formulation.....	5
2.2 Effectiveness	6
2.2.1 Achievements of results and outcomes	6
2.2.2 Assumptions and risk evaluation	9
2.2.3 Programme management by the different implementation partners.....	10
2.2.4 Reporting, monitoring and documentation	11
2.2.5 Crosscutting questions gender and environment.....	13
2.3 Efficiency	14
2.3.1 Disbursement and resource use.....	14
2.3.2 Communication between implementation partners and the EU	16
2.3.3 Technical assistance and programme implementation	17
2.4 Potential impact	18
2.4.1 Contribution to the global and specific objectives of the programme	18
2.4.2 Capacity building and policy/strategy development	18
2.4.3 Unplanned impacts.....	19
2.5 Potential sustainability.....	19
2.5.1 Technical and financial capacities	19
2.5.2 Political support.....	20
2.5.3 Institutional capacities	20
2.6 Coherence	21
2.6.1 Regional, national and EU development policies.....	21
2.6.2 Coordination.....	21
2.7 Added value.....	23
2.8 Visibility.....	24
3 OVERALL PROGRAMME PERFORMANCE.....	25
4 CONCLUSIONS.....	25
4.1 Major strengths and weaknesses of the programme	25
4.2 Lessons learnt	26
5 RECOMMENDATIONS.....	27
5.1 Recommendations to improve current implementation.....	27

5.2 Recommendations for future regional operations in the DRM sector.....	28
Administrative annex	32
Annex 1. Terms of reference.....	32
Annex 2. Expert CV.....	48
Annex 3. Detailed methodology	50
Annex 4. Log frames.....	54
Annex 5. Map of programme area.....	66
Annex 6. Itinerary.....	67
Annex 7. List of persons/organisations consulted.....	68
Annex 8. Literature and documentation consulted.....	71
Technical annex	76
Annex 9. Implementation status	76
Annex 10. Budget sold.....	81
Annex 11. Status of sub-projects and contracts of result 1 and 2.....	84
Annex 12. DRR-CCA Regional Programmes and Projects for the Caribbean Region ..	89
Annex 13. Evaluation matrix	93
Annex 14. DAC evaluation summary	119

List of figures

Figure 1: Total budget NDRM.....	14
Figure 2: Budget paid by EU in January 2017	15

This evaluation is supported and guided by the European Commission and presented by PARTICIP. The report does not necessarily reflect the views and opinions of the European Commission.

Abbreviations

ACP	Africa Caribbean Pacific
AECID	Spanish Agency for International Development Cooperation
APS	Drinking Water and Sanitation
AUSAID	Australian Agency for International Development
ATREVIA	Spanish communication consultant firm
BMC	Borrowing Member Countries
CARICOM	Caribbean Community,
CARIFORUM	Caribbean Forum of African, Caribbean and Pacific States
CC	Climate Change
CCA	Climate Change Adaptation
CCCCC	Caribbean Community Climate Change Centre
CDAC	CARICOM Damage Assessment and Coordination
CDB	Caribbean Development Bank
CDEMA	Caribbean Disaster Emergency Management Agency
CDF	Country Directed Fund
CDM	Comprehensive Disaster Management
CDM-HIP	CDM - Harmonised Implementation Programme
CDRRF	Community Disaster Risk Reduction Fund
CDRU	CARICOM Disaster Relief Unit
CERT	Community Emergency Response Teams
CfP	Call for Proposals
CHC	Coordination and Harmonisation Council
CIDA	Canadian International Development Agency
CIMH	Caribbean Institute for Meteorology and Hydrology
CNCCMDL	National Climate Change and Clean Development Mechanism
CNE	National Emergency Commission (Dominican Republic)
COST	CARICOM Operational Support Team
CRIS	Caribbean Risk Information System
CRITI	Caribbean Regional Information and Translation Institute
CTSM	CDEMA Technical Support Mechanism
CU	Coordination Unit
DANA	Damage Assessment and Needs Analysis

DEM	Department of Emergency Management (Barbados)
EUD	European Union Delegation
DFATD	Department of Foreign Affairs, Trade and Development (Canada)
DFID	United Kingdom's Department for International Development
DIGECOOM	Directorate-General for Multilateral Cooperation
DiMSOG	Disaster Management Strategy and Operational Guidelines
DIPECHO	DG ECHO's DRR Programme
DG ECHO	Directorate General European Civil Protection and Humanitarian Aid Operations
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
ECDPG	Eastern Caribbean Development Partners Group
EDF	European Development Fund
EIB	European Investment Bank
EU	European Union
EWS	Early Warning System
GCCA	Global Climate Change Alliance
GDP	Gross Domestic Product
GFDRR	Global Facility for Disaster Reduction and Recovery
HFA	Hyogo Framework for Action
HIP	Harmonized Implementation Programme
HQ	Head Quarters
HR	Human Resources
HS	Highly Satisfactory
HU	Highly Unsatisfactory
ICT	Information Communications Technology
INAPA	National Institute of Drinking Water and Sewerage
ISCERD	Security Index for Educational Centre
KAP	Knowledge, Attitude and Perception
L	Lessons learnt
LF	Logical Framework
LLCS	Low lying Coastal States
MER	Monitoring, Evaluation and Reporting
MFPED	Ministry of Financial Planning and Economic Development
MINPRE	Ministry of the Presidency

MoU	Memorandum of Understanding
MS	Member State
MS	Member States
MS	Moderately Satisfactory
MTE	Mid-Term Evaluation
MU	Moderately Unsatisfactory
NAO	National Authorising Officer
NDO	National Disaster Offices
NDRM	Natural Disaster Risk Management
NEMO	National Emergency Management Office (St. Vincent & the Grenadines)
NIP	National Indicative Programme
NGO	Non-Governmental Organisation
OCT	Overseas Countries and Territories
ODPEM	Office of Disaster Preparedness and Emergency Management (Jamaica)
OECD	Organisation for Economic Cooperation and Development
ONAMET	National Meteorological Office
ONESVIE	National Bureau of Earthquake and Vulnerability Assessment of Infrastructure and Buildings
OU	Operational Unit
OVI	Objective Verifiable Indicator
PE	Project Estimate
PMF	Performance Monitoring Framework
PMP	Performance Monitoring Plan
PMR	Prevention, Mitigation and Response
PPCR	Pilot Programme Climate Resilience
PS	Participating States
PSC	Project Steering Committee
PSC5	Project Steering Committee's meeting #5
R	Result
RIP	Regional Indicative Programme
RRM	Regional Response Mechanism
S	Satisfactory
S	Strengths
SIDS	Small Island Development States
SINI	Integral Information System

SMART	Specific, Measurable, Achievable, Relevant, Time-bound
SN-GIRD	National System for Integrated Disaster Risk Management
SPCC	Strategic Plan for the Caribbean Community
SVG	Saint Vincent and the Grenadines
SWOT	Strengths – Weaknesses – Opportunities – Threats
TA	Technical Assistance
TASP	Technical Assistance Secondment Protocol
ToR	Terms of Reference
U	Unsatisfactory
UK	United Kingdom
UNDP	United Nations Development Programme
UNISDR	United Nations Office for Disaster Risk Reduction
USAID	United States Agency for International Development
USD	United States Dollar
UWI	University of the West Indies
W	Weaknesses
WB	World Bank

Executive summary

The **purpose of the mission** is the mid - term evaluation of the regional «ACP-EU Natural Disaster Risk Management in the CARIFORUM programme», known as NDRM. The mission should provide (1) an overall independent assessment of the past performance of the intervention, paying particular attention to the results of the programme against its objectives, (2) key lessons learnt and recommendations to improve the current action and (3) recommendations for a possible follow-up programme to be financed under the 11th EDF regional programme and / or other source of funding.

The NDRM is one of three components of the ACP-EU Natural Disaster Risk Management programme for the Caribbean region, financed through the 10th EDF Regional Indicative Programme (RIP). The general financial agreement was signed on December 20th, 2013 for a five-year period (2014 – 2019) for an amount of 20,000,000 €. Programme implementation is done through a grant contract with CDEMA (Result 1, 4,470,000 €), a contribution agreement with CDB (Result 2 and 3, 12,294,300 €) and a national project approach using Programme Estimates in the Dominican Republic (Result 4, 2,200,000 €).

The **overall objective** of the programme is to reduce vulnerability to long term impacts of natural hazards, including the potential impacts of climate change, thereby achieving regional and national sustainable development and poverty reduction goals in the CARIFORUM States. The **specific objective** is to strengthen regional, national and community level capacities for disaster risk reduction, preparedness, management and coordinated response to natural hazards and the effects of climate change.

NDRM addresses identified challenges through the following **results**: (1) Capacity of National Disaster Offices (NDOs) and CDEMA's Coordinating Unit strengthened for implementation of Comprehensive Disaster Management (CDM), (2) National, local and regional resilience through strengthened early warning, national risk profiling and community-based DRR and CCA, (3) Sector resilience strengthened in key public policy sectors, through DRR and CCA mainstreaming. A specific national component exists for the Dominican Republic, being a member of CARIFORUM, but not a member state of CDB and CDEMA. This component is considered as a specific national result (4) Strengthened organisational and functional structures and capabilities of the National System for Integrated Disaster Risk Management (SN-GIRD).

The **methodology** applied by the mission has been a mixed methods approach using multiple data sources and a participatory approach. The main working tools have included a review of the documentation, semi structured interviews, data gathering directly from stakeholders and beneficiaries, a synthesis and concertation phase with the main implementation partners and use of an evaluation matrix with attribution of a qualitative performance indicator for each evaluation criteria. There are six rating categories from highly satisfactory to highly unsatisfactory.

The major **evaluation findings** are:

Relevance: The global relevance is Satisfactory. Imbedded in all relevant Disaster Risk Management (DRM) policies and strategies, the programme with justified management set-up addresses a highly relevant problem of increasing actuality (due to the effects of climate change). The project formulation builds on previous experiences and projects (CDM – HIP), but national/local capacities for project proposal formulation have not been sufficiently assessed or overestimated. Unclear result and indicator formulations in the log frame prevent its effective use as a management tool. Sub-projects in the countries (R1+2) depend on proactivity of beneficiaries to respond to Call for Proposals (CfP) to finance actions identified

in their endorsed multi-year work programme and not necessarily on the most relevant and urgent needs in the countries with the chosen implementation approach through Call for Proposals (CfP).

Effectiveness: Effectiveness is Moderately Unsatisfactory. The programme is far away from the expected results at this stage (Mid-term Evaluation) and important challenges exist for monitoring and gender issues. Limited capacities of the countries to elaborate quality project proposals including work implementation plans have significantly contributed to delays of uptake and implementation of sub-projects under Results 1.1 (Country Driven Fund (CDF) following competitive procedures) and Result 2.. However, there are differences between the results. Results 1 and 4 have limited delays. Result 4 has speeded-up implementation in the last months with management changes and CDEMA has progressed with the other activities. Delivered products are in general of good quality and appreciated by the beneficiaries. Achievement of the results is quite probable and R1 and R4 are classified as moderately satisfactory. Result 2 and 3 (CDB) are, due to crucial implementation delays, at risk and are categorised as unsatisfactory (U). Only preparatory works are in the finalisation stage, 6 out of 15 initial sub-projects were approved very recently (December 2016, January 2017) and the first Technical Assistance contract for result 3 only started in January 2017. A proposed mitigation plan can only partly solve problems. Full achievement of outcomes in particular at a higher political level (R3, targeting national budget planning policies and completed implementation of specific DRM plans by sector state agencies) is evaluated by the MTE mission as not likely during the programme and on time preparation of new sub-projects (four following the mitigation plan) until the deadline in July 2017 is administratively possible, but difficult.

Efficiency: Overall efficiency is Moderately Unsatisfactory and directly linked to implementation and therefore, disbursement delays in particular of Result 2 and 3. These two results are scored unsatisfactory due to the considerable risk for over 50% of the total budget to be partly reverted to EU Head Quarter¹. Slow administrative procedures at regional and national level significantly reduced the efficiency in the project preparation and activity start-up phase. Results 1 and 4 still have potential for efficiency improvement, by speeding up some administrative processes. However, considering general budget management, communication with EU Barbados and good value for money services already provided, a score of moderately satisfactory for Result 1 and 4 is justified.

Potential Impact: If all outcomes can be realised, NDRM will potentially contribute to the strengthening of national and local capacities for DRM, to reducing national financing gaps for DRM (by awareness raising in Ministries of Financial Planning) and to speeding up policy agenda related to DRR issues in the region. Potential impact is Moderately Satisfactory. However, trainings and other technical support by CDEMA and within the Dominican Republic system are up to now the main field implementations and most impacts are still potential. Significant implementation delays increase the risk that key activities to reach the outcomes can't be realised and impacts will be pending, in particular at the higher political level of national finance planning where behavior changes are required.

Potential sustainability: NDRM is at MTE stage in the early implementation phase for most activities and future implementation progress will have to prove its real sustainability. However, the overall potential sustainability is Moderately Satisfactory. Compared to other programmes and projects, NDRM shows suitable political and institutional sustainability; financial sustainability of CDB for similar projects is ensured due to multiple donors' funding and other resources. However, speed-up of administrative processes and procedures is

¹ Most sub-contract signatures for R2 and R3 are still pending. Not committed resources three years after financial contribution contract signature are reverted to EU HQ following EU procedures.

necessary to ensure a qualified service that works for Borrowing Member Countries (BMC) and ongoing sustainable efficient work in the future. Financial gaps to ensure entire functioning of CDEMA and the future availability of sufficient human resources will remain a challenge until complete fulfilment of financial commitments by Participating States (PS) of CARICOM. This is not very likely in the medium term due to the economic situation of most countries concerned and dependence of CDEMA activities upon donor funding, reduces its potential financial sustainability.

Coherence: Coherence is Moderately Unsatisfactory. NDRM is in line with all guiding global, regional, national and EU development policies and strategies and political / strategic coherence is very high, but the more important coordination, information exchange and knowledge management challenges reduce synergies and complementarities. Important improvement in particular between the regional and national levels is an urgent need to allow regional learning, avoid duplication and facilitate institutionalisation of existing tools.

Added value: Added value is deemed to be Moderately Satisfactory. NDRM already shows some good steps forward to complementarity with EU member states initiatives and in line with the Paris Declaration on Aid Effectiveness. However, added value is not being fully realised (still a potential) and synergies could be improved within the CCA and DRR framework.

Visibility: Each implementation partner has their own visibility activities, but visibility of NDRM as a regional programme is very limited and Unsatisfactory. A proposed overall communication and outreach plan needs revision and the large number of closely related initiatives, partly implemented through contribution to multi-donor funds and limited products up to date significantly reduce the specific visibility of NDRM.

Overall programme performance and conclusions:

Global appreciation of the programme performance

Criteria	Rating
Relevance	Satisfactory (S)
Effectiveness	Moderately Unsatisfactory (MU)
Efficiency	Moderately Unsatisfactory (MU)
Potential impact	Moderately Satisfactory (MS)
Potential sustainability	Moderately Satisfactory (MS)
Coherence / coordination	Moderately Unsatisfactory (MU)
Added value	Moderately Satisfactory (MS)
Visibility	Unsatisfactory (U)
Global performance of the programme: Moderately Unsatisfactory (MU)	
R1+R4: (MS) ; R2+R3: (MU)	

NDRM is far away from the expected results at this stage and the global performance is Moderately Unsatisfactory. However, NDRM has a good potential and the MTE mission recommends its continuation. This is justified by the fact that R1, implemented by CDEMA and R4 in the Dominican Republic are both evaluated as Moderately Satisfactory. R2 and R3, implemented by CDB, are primarily evaluated as Unsatisfactory due to crucial implementation delays. However, accelerated implementation in the coming months is likely as the long preparatory works are in the finalisation stage. To avoid additional delays, the

MTE recommends no major strategic changes should be undertaken up to the end of NDRM. However, challenges need to be taken into account in the formulation of future regional programmes in the sector.

Major strengths of the programme:

- S1) NDRM is highly relevant for responding to the high and increasing disaster risk related to natural hazards due to the effects of climate change
- S2) NDRM is very well imbedded in regional and national policies, strategies, institutions and long term development planning
- S3) Products (technical support and trainings) already delivered by CDEMA and in the Dominican Republic are of good quality and appreciated by the beneficiaries.
- S4) After a slow start-up and time consuming preparatory procedures, the programme is now in a stage to progress more significantly towards the outcomes and results.
- S5) NDRM overall coordination at regional level is sufficient and PSC assumes its mandate
- S6) Potential impact, sustainability and added value of NDRM are good, if all outcomes can be realised

Major weaknesses of the programme:

- W1) Overestimation of capacities during project formulation and unclear formulations in the log frame avoiding its use as management tool reduce NDRM performance up to now
- W2) There are significant, for R2+3 crucial implementation delays, which can only partly be addressed by corrective measures to reach the outcomes during the lifetime of the programme
- W3) Administrative procedures for sub-projects approval are time consuming and requirements are exceeding the capacities of potential beneficiaries
- W4) R4 stands alone with insufficient links to justify a regional programme approach
- W5) Underuse of existing information (tools, country / sector profiles, studies) and insufficient communication are challenges in particular at national level and between regional and national level, reducing effectiveness and efficiency
- W6) Monitoring is an important challenge at all levels, within NDRM and in the countries.
- W7) NDRM, as a regional programme, has nearly no visibility

Lessons learnt

- L1) Much attention should be given to real absorption and project management capacities of potential beneficiaries and implementation partners. Sufficient technical support must be made available for beneficiaries from the early beginning to ensure effective implementation during usual project lifetime of 3 to 5 years. Procedures should be adapted to the absorption capacities of potential beneficiaries.
- L2) It is very important that implementation of projects should begin within a reasonable timeframe after the project formulation – this is often crucial for relevance, effectiveness, efficiency, impact and sustainability. Preparatory work needs to start immediately after contract signature and to be limited to a few months.
- L3) Financial contribution agreements create implementation time pressure and cascade implementation through Call for Proposal (CfP) approach reduces funds available for activities and final beneficiaries because 7% indirect costs are budgeted several times. International organisations using this EU financing mechanism should be obliged to ensure efficient start-up in a reasonable time frame.
- L4) More is not always better; good knowledge management is a must for effectiveness and efficiency. Too many similar tools, institutions, funds and projects create confusion, limit use of tools by final beneficiaries and reduce potential synergies / complementarities if information sharing and transparency are insufficient.
- L5) Projects need to come back to the ground; project administration, planning and reporting should be balanced with the dimension of the planned action and not an objective itself

- L6) Global strategic planning, trainings and tools at the highest programme management level change nothing if they are not directly linked to pragmatic implementation on the ground where every stakeholder can find their interest.
- L7) Log frames and monitoring frameworks are not a necessary exercise but management tools to be used for decision making

Recommendations to improve current implementation

- Provide more technical assistance and training for project proposal development and development of project implementation plans for the coming CDEMA CfP for actions (10,000 – 60,000 €) and proposed sub-projects under development of R2 (CDB) to ensure that countries will really profit from available funds.
To note: TA for countries is a real priority need, but financing of CDEMA Technical Support Mechanism (CTSM) comes to end. CDEMA efforts to mobilise the foreseen contributions of Participating States (PS) to the CDEMA budget allowing functioning of CTSM without donor support have not been successful. The continued existence of CTSM requires urgent funding alternatives and the mobilisation of the Contingencies of the budget seems to be indicated
- Reallocate budget from R3 to R2 as proposed in the CDB mitigation plan and concentrate on approval, start-up and monitoring of sub-projects under R2.
 - Allow new proposal submissions to fill identified funding gaps related to the objective of NDRM and the expected results of CDB, in particular from (1) CDEMA to improve knowledge management and (2) from partners of the DIPECHO programme to continue work after down scaling of ECHO funding, should be encouraged to ensure timely use of all available funds for R2 taking advantage of know-how of ECHO's partners.
To note: Proposals have to be submitted before the end of February 2017 to allow approval before the deadline in July 2017
 - Apply supplementary mechanisms to CDB Board Meetings to accelerate and to ensure for R2 and R3 sub-project and TA contract approval and signature before the deadline.
 - Facilitate communication of sub-project promoters with the responsible national development planning institutions to speed up national approval of proposed sub-projects (CDB).
- Extend sub-project implementation time for R1 and R2 beyond December 2018 without budget modification (no cost extension) (*, CDEMA, CDB).
- Ensure that coming TA for R3 build on existing tools and country and sector risk profiles, in particular from ECHO past funding in the region
- Ensure monitoring of the programme and public access to the CDM Monitor. This includes an urgent need to make the CDM Monitor operational and to strengthen CDEMA human and ICT monitoring capacities.
- Foster coordination and collaboration between CDEMA and CNE (Dominican Republic) based on the five areas of cooperation defined in the signed MoU between the two parts.
- Scale down the proposed communication and visibility plan to the real programme needs and update the CDEMA and CDB webpages to increase NDRM visibility

Recommendations for future regional operations in the DRM sector

GENERAL RECOMMENDATIONS

- Concentrate EU/donor support on field implementation and trickle down to local community level of existing regional strategies
- Address the naturally linked issues DRM/DRR, Climate Change Adaptation in a holistic way and avoid multiplication of parallel financing instruments
- Make institutional arrangements and country access to funding opportunities as simple as possible to ensure timely implementation and effective use by potential beneficiaries.

- Ensure effective coordination and collaboration between CDEMA and CNE (Dominican Republic) from the early stage in the formulation of the 11th EDF to prevent stand-alone results. This should include, after the already done common concept note for the 11th EDF: (1) design of an integrated logical framework with common objectives and results and (2) participation, feedback and transparency from the very early stage and implementation in Dominican Republic through CNE

INSTITUTIONAL STRENGTHENING / CAPACITY BUILDING

- Regional institutions using CfP should systematically support countries by providing sufficient technical assistance for project development
- Strengthen the Monitoring –Evaluation - Reporting capacity of regional and national institutions for DRM / DRR/ CCA and project monitoring
- Simplify and institutionalise as much as possible existing DRM tools to make them applicable and to avoid confusion in the countries

INFORMATION / COMMUNICATION / KNOWLEDGE MANAGEMENT / AWARENESS RAISING

- Improve knowledge management and exchange / valuation of existing experiences at local, national and regional level and ensure regional dissemination: (1) Strengthen CRIS within CDEMA, (2) translate important regional reports and tools to Spanish, English and French and ensure easy access, (3) develop mechanisms to network with Cuba to make use of their best practices in DRM and (4) improve / strengthen mechanisms for the exchange of information between donors, regional agencies and countries
- Continue assessments on climate change/natural hazard related disaster impact on the economies and complete them with further measures to sensitise decision makers.

1 Introduction

1.1 Context of the programme

The Forum of the Caribbean Group of African, Caribbean and Pacific (ACP) States (CARIFORUM) comprises small states with developing economies prone to natural hazards. Both hydro meteorological and climate related hazards, such as hurricanes, windstorms or floods, as well as geological hazards, such as earthquakes or volcanic eruptions are recurrent in the region. In these small states, single catastrophic events can have a disproportionate negative effect on both the national and regional economies, also due to the interaction of a number of driving forces (in intensity and frequency) such as climate change, environmental degradation, demographic pressure, unplanned urban growth, trans-boundary nature of natural hazards, etc. Such factors intensify the effects disasters have on people, in particular the poorest and most vulnerable, their assets and livelihoods and their ability to recover. Furthermore, they also strain the ability of the public sector in reconstruction efforts and lead to higher debt levels.

Disaster mitigation and resilience, is therefore a particularly relevant and important component of economic policy in the region, in the attempt to reduce exposure of governments to divert substantial resources for relief operations, recovery and reconstruction.

1.2 Programme presentation

The ACP-EU Natural Disaster Risk Management in the CARIFORUM programme (NRDM) is financed by the European Union through the 10th EDF Regional Indicative programme (RIP).

The beneficiary countries are the CARIFORUM States: Antigua and Barbuda, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Republic of Suriname, Republic of Trinidad and Tobago, Saint Christopher (St. Kitts) and Nevis, Saint Lucia, St. Vincent & the Grenadines, the Bahamas and the Dominican Republic.

The objective of the programme is to reduce vulnerability to long term impacts of natural hazards, including the potential impacts of climate change, thereby achieving regional and national sustainable development and poverty reduction goals in the CARIFORUM States.

The purpose is to strengthen regional, national and community level capacities for disaster risk reduction, preparedness, management and coordinated response to natural hazards and the effects of climate change.

The NDRM is one of three components of the ACP-EU Natural Disaster Risk Management programme and addresses for the Caribbean region identified challenges through the following results:

- 1 - Capacity of National Disaster Offices (NDOs) and CDEMA's Coordinating Unit strengthened for implementation of Comprehensive Disaster Management (CDM)
- 2 - National, local and regional resilience through strengthened early warning, national risk profiling and community-based DRR and CCA.
- 3 - Sector resilience strengthened in key public policy sectors, through DRR and CCA mainstreaming.

A specific national component exists for the Dominican Republic, which is member of CARIFORUM, but not a MS of the CDB and the CDEMA. This Dominican Republic component is considered as a specific national result:

4 - Strengthened organisational and functional structures and capabilities of the National System for Integrated Disaster Risk Management (SN-GIRD).

The general financial agreement of the programme was signed on December 20th, 2013 for a five-year period (2014 – 2019) for an amount of 20 Million Euros. Programme implementation is done up to now through:

- a grant contract with CDEMA for result 1 signed (Euro 4,470,000, 01/09/2014 to 31/12/2018),
- a contribution agreement with CDB for result 2 and 3 (Euro 12,294,300, 24/07/2014 to 31/12/2018)
- a specific national project approach for the Dominican Republic with the 1st Programme Estimate (PE) of Euro 1,126,040, running from 04/02/2014 to 17/12/2016. PE2 (Euro 554,165.54) is actually in preparation.
- a service contract for "Communication and Outreach for the ACP-EU Natural Disaster Risk Management Programme in the CARIFORUM", which has been signed with Atravia for Euro 179,450 within the period 15/09/2016 to 14/09/2018.

1.3 Objectives and methodology of the mid-term evaluation

In line with European Union guidelines, the financing Agreement REG/FED/024-192 Art.4.2 foresees an independent mid-term evaluation of the ACP-EU Natural Disaster Risk Management in the CARIFORUM after 2, 5 years.

The mission should answer to the key questions of the five criteria defined by OECD (relevance, effectiveness, efficiency, sustainability and impact) and the EU specific criteria coherence, added value and visibility. The mid-term evaluation (MTE) should provide:

- An overall independent assessment of the past performance of the intervention, paying particular attention to the results of the programme against its objectives;
- Key lessons learnt and recommendations to improve the current action;
- Recommendations for a possible follow-up programme to be financed under the 11th EDF regional programme and/or other source of funding.

The evaluation mission has applied a mixed methods approach using multiple data sources and a participatory approach by conducting semi structured interviews and gathering data directly from individuals and institutions at regional and national level. Main evaluation methods were: documentation review; evaluation matrix to identify strengths and weaknesses, rating of each evaluation criteria, using the following qualitative performance indicators: highly satisfactory (HS), satisfactory (S), moderately satisfactory (MS), moderately unsatisfactory (MU), unsatisfactory (U) and highly unsatisfactory (HU). An interview guide was developed for the semi-structured interviews with the different key informants and stakeholders, using the participatory evaluation tool SWOT (Strengths – Weaknesses – Opportunities – Threats). Field visits in four countries completed the data finding process. The findings have been linked to the key evaluation questions of the five internationally accepted evaluation criteria: Relevance, Effectiveness, Efficiency, Impacts, Sustainability and the EU specific criteria coherence, added value and visibility. The detailed methodology is presented in annex 3.

The mission started with a desk review (December 18th 2016 to January 14th, 2017) of the relevant programme documentation (logical framework, work-plans and programme implementation reports) and other DRM strategic and policy documents obtained from involved EU Delegations, the Project Steering Committee (PSC) and key implementation structures (CDEMA Coordinating Unit, CDB, DIGECOOM and CNE in the Dominican Republic) and through internet research by the consultants.

The field mission took place from January 16th, 2017 to February 6th, 2017 following the structure proposed in the ToR. The mission team, Birgit Halle (team leader) and Marco Minelli (DRM expert) has applied a mixed methods approach using multiple data sources and a participatory approach by conducting semi structured interviews and gathering data directly from stakeholders and beneficiaries involved in the programme.

A briefing (kick-off meeting) was held on January 16th, 2017 with the EU Delegation and the main Project Steering Committee (PSC) members at the EU Office in Barbados to discuss the mission ToR, the methodology and to identify the key actors and major stakeholders to meet and / or to contact. The initial timing has been reviewed and a new debriefing date has been fixed on February 3rd, 2017.

Referring to the ToR propositions, local data collection took place with relevant regional and national institutions and stakeholders in Barbados, Dominican Republic, Jamaica and St. Vincent & the Grenadines. The field phase has been organised in three phases:

- The evaluation team started with meeting the key implementation structures (CDEMA, CDB), relevant national authorities for DRM (DEM), sub-project beneficiaries (CIMH) and donors (DFATD, DFID, UNDP, ECHO) in the DRM sector in Barbados in week one.
- In week two the experts visited separately (1) the Dominican Republic to evaluate the Dominican nationally implemented component (result 4) and (2) Jamaica, having a large number of ongoing initiatives and institutions in the DRM sector, and St. Vincent & the Grenadines, representing one of the highly vulnerable SIDS. Meetings and consultations have been organised with National Planning Institutions, EU Delegations, National Disaster Offices (NDO), beneficiaries of NDRM financed sub-projects, sector ministries and other involved donor's agencies and implementing partners.
- Returning to Barbados during week 3 of the field phase, the experts have analysed and resumed their initial findings and proposed recommendations. The mission has attributed during the evaluation process a qualitative performance indicator at the different levels for each evaluation criteria and question. Rating has been done in six categories from 'highly satisfactory' to 'highly unsatisfactory'. The in-person meetings have been completed by phone and email exchanges with relevant regional institutions outside the visited countries. Initial findings and recommendations have been discussed with the main implementation partners. This was done to ensure concertation, ownership and responsibility of the key implementation partners for future recommendation implementation.

A debriefing and discussion of mission's findings on February 3rd, 2017, was organised in Bridgetown, Barbados at the CDEMA Headquarter with the EU Delegation, the main implementing partners CDEMA and CDB in Barbados and interested PSC members and stakeholders outside Barbados (CARICOM, EU Delegation and DIGECOOM from Dominican Republic) through video - conference. The outcomes of this discussion are integrated in the report.

2 EVALUATION FINDINGS

2.1 Relevance

2.1.1 Analysis of the global relevance of the programme

Key questions

Do the four results expected from the programme (including the Dominican Republic component) correspond to the prior DRM needs of the region and the concerned countries?

To what extent is the current design of NDRM adequate to support its objectives? Is the management set-up appropriate?
--

The regional NDRM programme is highly relevant and addresses a problem of increasing actuality. The Caribbean is one of the regions with the highest risk of natural hazards (hydro-meteorological and geological) and increase of disasters risk is very likely due to climate change and climate variability. Most effective DRM is a priority in all countries and on the regional level.

NDRM is in line with regional / national policies and strategies and aligned to the overall guiding Comprehensive Disaster Management (CDM) strategy. The expected results are continuing in line with the regional priorities reviewed in November 2016, the four Caribbean Disaster Management Regional Priorities) and the four Sendai Priority Actions formulated in 2015:

- R1 (Capacity of National Disaster Offices (NDOs) and CDEMA's Coordinating Unit strengthened for implementation of Comprehensive Disaster Management (CDM) contributes mainly to the priority # 4 (Institutional Strengthening) of regional priorities reviewed in November 2016
- R2 (National, local and regional resilience through strengthened early warning, national risk profiling and community-based DRR and CCA) contributes mainly to the regional priorities # 1 (Early Warning Systems) and # 2 (Community Resilience) reviewed in November 2016
- R3 (Sector resilience strengthened in key public policy sectors, through DRR and CCA mainstreaming) contributes mainly to the regional priority # 2 (Community Resilience) reviewed in November 2016
- R4 (Strengthened organisational and functional structures and capabilities of the National System for Integrated Disaster Risk Management (SN-GIRD) contributes to the regional priority # 1, 2, 3, 4 and 5 reviewed in November 2016.

The demand driven flexible approach (R1, 2) and the national component for the Dominican Republic (R4) allow flexible responding to real country needs, responsive to specific and priority DRM work programme needs of the participant states, based on the iteration of their own gaps, challenges and priorities and with a view to complementarities of other ongoing initiatives.

R4 (Dominican Republic) reinforces some of the most relevant issues in terms of risks that were not being addressed by other actions. The project's emphasis on institutional aspects, with the National Emergency Commission itself at the top, and the rest of entities are contributing to the development of new DRR components.

Management set-up is comprehensive and justified. CDEMA has a unique mandate for R1 and is in a legal monopoly situation. CDB has an instrumental role in mainstreaming DRR in the MFPED (R3) and existing financing mechanisms for DRR actions (R2). The Dominican

Republic (R4) is not a member of CDEMA and CDB, justifying a national management set-up.

However, the chosen demand driven approach, using Call for Proposals (CfP) for R1+2, has a smaller systemic challenge. Sub-projects and activities in the countries depend on proactivity of beneficiaries to respond to Call for Proposals (CfP) to finance actions identified in their endorsed multi-year work programme and not necessarily on the most relevant and urgent needs in the countries and the region.

Additionally, recommended actions to address priorities reviewed in November 2016 in “CDM Signature Event” just in part fit with NDRM programme activities formulated in 2013.

The R4 Project Management Unit has been inserted during PE0 and PE1 within the MINPRE that does not have the expertise of the selected management modality.

2.1.2 Programme formulation

Key questions

Are objectives and results adequate, realistic and clear?
Have relevant facts / circumstances taken place in the project context (political, economic, social, etc.) since the project was designed and implemented? Have these facts / circumstances affected the project? Did the project adapt to these changes? Is there a risk management strategy in order to adapt to changes in the external factors and has it been applied
How implementation capacity of programme partners (national and local institutions) has been assessed?
To what extent has been initial consultations with, and participation by, local key stakeholders including the EC Delegation, national authorities, and other donors before the design was confirmed and implementation started?

NDRM formulation is based on a wide stakeholder consultation survey which started in November 2012 at the request of the CARIFORUM, and gaps and priority studies including CDM audit and an EU funded study in 2010.

Implementation partners have the necessary experiences. The programme’s formulation builds on the experiences and evaluations/lessons learnt since the 9th EDF (2007) in cooperation with CDEMA and R1 is the continuation of the CDM HIP programme financed by CIDA / DFID / AUSAID which closed in December 2014. Already existing funding mechanisms of CDEMA (CDF) and CDB (DiMSOG and CDRRF) are used for R1 and R2, respectively. Concerning R4, DIGECOOM as a Dominican entity responsible for the multilateral funds is familiar with this management modality and knows in depth the contractual mechanisms of the European Union.

NDRM objectives and results are adequate and vertical and horizontal links of the log frame are coherent and relevant. Indicators and sources of verification are formulated at overall objective, outcome and activity level and a monitoring plan is available. Most indicators have been reformulated between the log frames presented in the signed financial agreements and the log frame used since PSC 2 in March 2015. The indicator reformulation has been done to simplify them and for alignment with the indicators of the CDM strategy. Individual log frames exist for result area 1, 2, 3 and 4 implementation (source: IntraACP_PSC5_1216_05_Work Implementation Plan and Budget). These individual log frames have refined indicators.

Relevant risks and assumptions have been identified since the action fiche. They have been refined and completed during the programme and a plan for risk mitigation measures is available.

However, the programme's implementation status (annex 9, 11) shows that stakeholder consultation /studies during the programme formulation process have not given sufficient attention to or overestimated national and local capacities to formulate quality sub-project proposals and Work Implementation Plans.

R4 addresses only the national level in Dominican Republic and links / interactions with the rest of the programme are not much visible. Justification of a regional programme approach for this component needs much more inter linkages.

Log frame formulations are not always clear. 'Strengthened capacities' on result level are unclear, without definition. Results can only be measured by the sum of the outcome indicators. The indicator reformulations for alignment with the CDM Strategy have not always improved the indicator quality. Several are today less SMART than in the initial log frames of the financial agreements and baselines are missing.

Outcome indicator quality is variable. They are all relevant, but not all are SMART and most are not measurable without baselines. For the indicators of the CDEMA outcomes (R1), it's impossible to separate specific NDRM contribution from other support to CDEMA and CDM implementation. Similar remarks are valid for the indicators of R2, R3 and R4. With regard to the multiple ongoing DRM, DRR and CCA initiatives, it's difficult to link community resilience mechanisms, multi-hazard EWS, multi-hazard risk profiles (R2) and incentive programmes for DRR and CCA, sector specific DRM plans and risk reduction strategies in the water and transport sectors (R3) particularly to the NDRM programme. The outcome indicators of the Dominican Republic component (R4) are more specific as this component is implemented through a single country project approach. Nevertheless, baselines are missing and indicator R4.1 is not measurable without the criteria for improvement of communication and coordination. Activity indicators are much clearer, but they measure only the implementation of the programme's work plans.

No specific assumptions and risks are formulated for result 3 (sector resilience strengthened in key public sectors). But, addressing assumptions and/or risks of political will, readiness and financial capacities in particular of the Ministries of Finance, Planning and Economic Affairs seems to be important.

The MTE mission appreciation of the global relevance is Satisfactory (S). Being highly relevant for actual problems and policies and strategies in the DRM sector, the project formulation shows some weaknesses. In particular unclear result and indicator formulations in the log frame prevent its effective use as a management tool. More attention should be given in the future to indicator and log frame definitions.

2.2 Effectiveness

2.2.1 Achievements of results and outcomes

Note: The detailed analyses are presented in the technical annexes 9 and 11.

Key questions

How much progress has NDRM done towards the achievements of its stated results and outcomes as identified in the Logical Framework Matrix? What is the quality of the results/services available? Have actions already implemented delivered the expected benefits?

Have all planned target groups access to / using programme results available so far?
--

What is the likeliness of programme results being achieved in the programme timeframe?
--

Result 1 addresses 'Capacity of National Disaster Offices (NDOs) and CDEMA's Coordinating Unit strengthened for implementation of Comprehensive Disaster Management (CDM)' through 3 outcomes. Missions' findings are summarised as follow:

Implementation progress is almost in line with planning and demand and implementation rate of Country Directed Fund (CDF) up to <10,000 € (simplified procedures) are high. CDEMA has set up a Programme Board, regrouping all Participating States (PS) and smaller funding through CDF and support through CDEMA's Technical team (CTSM) and Technical Assistance Secondment Protocol (TASP) are highly appreciated and used by the target groups. 86% (12/14) of NDOs have been supported: Relief Supplies Tracking System Training (RSTS), participation and presentation at the CDM Conference 2015 and Technical Advisory Committee, 10 WS/trainings in 5 countries through CDF responsive simplified process, 10 sub-project proposals approved for CDF following competitive procedure (10,000 – 60,000 €). Furthermore, 14 countries have been supported through CTSM and TASP for CDAC/COST/ DANA and CDRU Training. Improvement process of CDEMA's internal finance management system to become eligible for international indirect budget management support is ongoing with first positive results.

Smaller delays exist in improving ICT equipment and TA /CDF delivery to PS against the planning. Most outcomes and activities are likely to be achieved in the timeframe. However, continuity of CTSM services offered is at risk due to lack of funds: EU funding ends February 2017 and PS do not pay the whole foreseen obligatory financial contribution to CDEMA's budget. Furthermore, CDEMA has to concentrate efforts on improvement of the internal finance management system and its full implementation to ensure reaching of required benchmarks until the end of NDRM. More support and efforts are necessary to implement foreseen CDF for action from 10,000 - 60,000 € following competitive procedures. Very limited capacities of the countries in project proposal and work implementation plan development are a challenge. PS have only access to funds in case of approved project proposals. CDF and other activities of outcome 1.1 and 1.3 are mainly demand driven, not all countries profit in the same way and some CARIFORUM states profit up to now not at all (Haiti, Suriname Bahamas among others) even if some are the most vulnerable to natural hazard related disasters (ex: Haiti).

Result 2 addresses 'National, local and regional resilience through strengthened early warning, national risk profiling and community-based DRR and CCA' through 3 outcomes,

and

Result 3, addresses 'Sector resilience strengthened in key public policy sectors, through DRR and CCA mainstreaming' has 2 outcomes.

Preparatory work following CDB procedures for staff recruitment, sub-project approval (R2)², and TA contracting (R3) is nearly finished 30 months after financial contribution agreement signature. Up to now one of the two project officer posts is filled (since June 2016), three sub-projects have recently (January 30th, 2017) and three others in December 2016 been approved for outcome 2.1 and 2.2. (R2). TOR for National Risk Profiles (outcome 2.3) and Knowledge-Attitude-Perception (KAP) studies (outcome 3.1) are under preparation. One Technical Assistance (TA) (Water sector tool) contract to develop tools for outcome 3.2 started on Jan 2nd, 2017, the other TA for the transport sector tool is in the finalisation stage but still under development.

Both results (R2 and R3) have crucial implementation delays against the planning. The financial contribution agreement EU – CDB for the NDRM programme has been signed in July 2014 and all subcontracting must be signed at least three years after signature of a

² As already mentioned for R1, sub-projects are mainly demand driven and countries have challenges to reach the requested high quality standards for project proposals and Work Implementation Plans; this results in delays and difficulties to implement sub-projects.

contribution agreement following EU regulations. Contract signature for Technical Assistance (R2.3,3) and sub-projects (R2) until the deadline in July 2017 seems to be still possible, but there's a high risk that not all 15 (19 following CDB mitigation plan) sub-project proposals (R2.1 and R2.2, see annex 11) can be approved until July 2017 (deadline). Several follow-up actions (in particular to ensure absorption and use of products by national structures to reach indicators and targets) after the first Technical Assistance input step for national risk profiles (R 2.3), Knowledge, Attitude and Perception (KAP) studies (R 3.1) and for tool development in the water and transportation sector (R 3.2) can't be completely realised in the remaining time. A mitigation plan presented by CDB to PSC5 in December 2016 foresees budget shifts and some reduced activities/outputs for R3 to adapt to the implementation delays. However, applying the proposed mitigation plan can only partly solve the problem. Time pressure for the development of four new project proposals (R2) following the mitigation plan proposition is very high. Furthermore, outcome 3.1., addressing sensitisation and behaviour changes towards DRM in the MFPED, is not at all realistic with the proposed measures and activities (KAP study) and in the remaining time of NDRM. Creating a suitable political environment for national incentive programmes for DRM and CCA is a medium to long term process, requiring much more than the KAP study in the frame of NDRM. The expected outcome 3.1 is seen by CDB in a long term perspective within the CDB mid-term strategy. However, the MTE mission is convinced that reaching the targets of the indicators for this outcome in the by NDRM fixed time frame will not be possible.

Due to the implementation delays, time extension for sub-project implementation beyond December 2018 will be necessary for most of the proposed sub-projects to ensure the realisation of all planned activities. In particular the foreseen and important dissemination activities of the expected products at the end of the sub-project implementation phase will be for most of the proposed sub-projects a major time challenge due to the late start-up.

TORs and project description for TA for tool development and requested standards for sub - project proposals show a high quality level. CDB ensures a professional project /TA contract preparation including log frames which can be used as management tool (SMART indicators), screening of crosscutting issues and OECD evaluation criteria.

Quality and benefits of services and actions can't be appreciated at MTE stage; the first TA contract for R3 started on Jan 2nd, 2017 only and no sub-project of R2 has started implementation up to now. However, provided assistance and guidance for project proposal development following CDB high quality standards is appreciated by most sub-project promoters, in particular since the arrival of the first programme officer in June 2016.

Result 4, the national Dominican Republic component, is 'Strengthened organisational and functional structures and capabilities of the National System for Integrated Disaster Risk Management (SN-GIRD)' and is addressed through 3 outcomes.

R4 has some implementation delays. The accumulation of activities in PE2 involves some risks, however changes decided recently in the R4's management system should speed up implementation during PE2 and expected results are likely to be achieved by the end of the programme. Moreover R4 has accelerated activities substantially. Regarding outcome 1, the bottleneck (validation of the SINI architecture) has been solved through changes occurred (management shifting from MINPRE to CNE). Outcome 2 delays are going to be overtaken by the support of CNE staff and voluntaries in the field and mitigation measures include increasing of simultaneous actions. For outcome 3 the outlook is optimistic; it has been decided that the relationship with the Ministry of Health will be solved through a grant agreement and there are previous experiences of other projects in the sector.

The quality of most of the products delivered to date is high. Courses to date have also been evaluated very positively. In Dominican Republic there are interesting examples on how capacity built through training is already used and put in practice. The DRM diploma carried out in PE1 is an example; training is already having a positive impact on the measurement of the ISCERD index (48 educational centres evaluated by technicians certified within the

programme). Although a systematic monitor of training has not been carried out, this is in part happening. Formalising is foreseen during PE2.

Actions addressing Early Warning Systems (EWS) are expected in two results of NDRM (R2+R4). Currently one project has been approved end of 2016 for SVG (outcome 2.2), two recently on January 28th, 2017 approved are in the pipe line (Jamaica and CIMH) and equipment for EWS is expected to be installed in 3 municipalities of Dominican Republic (outcome 4.2). These activities have not yet started, however the programme should pay specific attention to ensure that the 4 recognised elements of EWS are considered during implementation³. Moreover the conclusions on the Early Warning Systems state of play in the region, gathering main orientations on how to work on EWS, should be consulted⁴ as well as the desk review on Early Warning Systems in the Caribbean recently developed by UNDP.

2.2.2 Assumptions and risk evaluation

Key questions

In case of no or partial achievement, what are the reasons and the prospects for achievement? Have risks been taken into account?

The programme is far away from the expected results at this stage (MTE). There are important delays against the planning in particular for R2 and R3.

For R1 and R2 the main reason is countries having difficulties to meet quality standards required for project implementation plans under the Country Driven Fund (CDF) following competitive procedure (10,000 – 60,000 €) for R1.1 and sub-project proposals of CDB financed sub-projects under R2.1 and R2.2. Countries have limited capacities to prepare quality project proposals that meet the standards required for project appraisal and approval. In particular CDB quality standards are high, resulting in the need for time-consuming rewriting nearly all submitted sub-project proposals.

Relevant risks and assumptions have been identified since the action fiche. They have been refined and completed during the programme and a plan for risk mitigation measures is available (Reference: INTRA-ACP/PSC5/1216/05). The risks 'NDOs lack capacity in terms of human resources to be able to prepare the necessary proposals to uptake the available fund' for R1 and 'The quality of the project proposal/concepts received by the Bank are too low to facilitate timely implementation of agreed project activities' are already integrated in the assumptions and risk mitigation measures of NDRM. CDEMA increased support to help PS in project proposal and work implementation plan development and achievement of the results up to the end of the programme is likely. Improvement of proposal quality is already recognised since intensifying CDEMA technical support.

CDB provides already assistance and training for project proposal development following CDB standards and intensified TA with additional external consultants to help beneficiaries in proposal formulation is now foreseen by CDB as risk mitigation. However, another main cause for crucial delays of R2 and R3 is due to slow recruitment processes for additional staff and TA contracting.

A mitigation plan with budget reallocation between R2 and R3 and reformulation of outputs have been presented by CDB during PSC5 to respond between others to the implementation delays. The mitigation plan foresees budget shifts and some reduced activities/outputs for R3. However, pilot application (3.2.4) in 2 countries and full achievement of outcome 3.1 of the mitigation plan seems for the MTE mission to be not realistic due to the internal time constrains (see 2.2.1) and slow administrative processes for approval and implementation at national level. CDB mitigation plan foresees new sub-projects partly by CDEMA, having procedures for starting sub-projects in a shorter time frame. However, high risks persist that

³ <http://www.unisdr.org/2006/ppew/info-resources/ewc3/checklist/English.pdf>

⁴ http://eird.org/americas/caribbean-early-warning-system-workshop-in-barbados/#.WH_x3FXhDIU

new sub-project proposals can't be developed and approved until July 2017 (deadline for contract signature) and that not all expected outcomes of R3 can be realised.

The main reasons for R4 delays have been changes, tensions and lack of in-depth knowledge of EU procedures within the Operational Unit (OU) of the Programme (R4). This has been accompanied by misunderstandings regarding validation processes and decision making (e.g. validation of SINI – R1). Other more external causes have been the electoral process (2016) and change of responsible in some public institutions (e.g. Ministry of Health). Delays in approval DRM Law initially mentioned as a possible cause, has not been really relevant for the delay.

The schedule of activities of R4 has been revised and PE2 is incorporating many of the activities foreseen in PE1. The programme has passed the most difficult phase and bases have been set to reduce risks and allow a smoothly implementation of activities and result achievement. Change of management (from MINPRE to CNE) is expected to facilitate the process. Although there is a risk related to the exit of 3 of the 4 members of the Operational Unit (OU) and the reduction of the team to three persons (administrator, accountant, responsible for purchases and tenders). The probability to overcome the difficulties experimented in the past and to achieve R4 is high. This is justified by considering (among other reasons) that CNE has a deep knowledge of the Programme and will make available the necessary staff and volunteers for direct implementation of part of the activities.

Furthermore, programme external metrological risks like hurricane Matthew and intensive floods (e.g. in SVG) have been confirmed in 2016, slowing down programme's implementation. However, they have been no significant challenge for achieving NDRM results.

2.2.3 Programme management by the different implementation partners

Key questions

How can the programme management by the different implementation partners in general be evaluated (both technical and financial)?

To what extent the Steering Committee's composition is relevant in guiding the Programme?

Did the Programme have enough capacities and human resources to manage the implementation of their projects?
--

CDEMA's overall NDRM coordination and contractual reporting by the implementing partners is in general correct and PSC is effectively leading the programme by taking decisions and following the implementation of recommendations. Presence of other main donors in the sector as observers helps to ensure coordination. However, the large number of PSC members makes reaching of required quorum in the meetings difficult and, to be operational, the decision was taken that a PSC could be convened once the implementation institutions, CARIFORUM and the EU are present. Moreover, Steering Committee's meetings should be taken advantage to discuss strategic issues without limiting to reporting and operational and administrative issues. It would be also relevant to improve the reporting system to allow timely use as a working tool. Reports are up to now usually sent when following meeting is convened.

An important observation concerning overall NDRM management is the poor linkage between the results. In particular, the Dominican Republic component (R4) develops up to now as a stand-alone national programme. Exchange and coordination with the other results are very limited and largely insufficient to justify a regional programme approach. This important remark is already recognised by the implementation partners and has to be considered through a deeper consultative approach in the design and formulation process of future similar initiatives.

CDEMA has a qualified team (CTSM, TASP) able to build capacity and give technical assistance themselves to the Participating States (e.g. support to Haiti during four weeks in occasion of Hurricane Matthew; several trainings delivered to PS). Support areas being covered by the CTSM are primarily Emergency Operations; Integrated Risk Management; Education and Training and Information and Communications Technologies. Expertise in these areas is being provided primarily by Technical Specialists who have been contracted by the CDEMA Coordinating Unit (CU) within the Programme.

CDB has some high qualified staff and ensures a professional project / Technical Assistance contract preparation including log frames which can be used as management tool (SMART indicators), screening of crosscutting issues and OECD evaluation criteria.

However, regarding programme management performance (R2+R3), CDB's result orientated management capacities to ensure timely project execution seems to be limited. Main issues in implementation of NDRM are BMC's capacities not matching with administrative procedures for approvals and required quality standards for project proposals. But additional time consuming project staff and TA recruitment processes slow down NDRM implementation significantly, technical and financial. The planned 2nd project officer for R3 is not yet recruited; the officer for R2 recruited late, in June 2016, ensures actually both functions with the support of the permanent CDB staff. This appreciation of CDB management performance by the MTE mission is shared by the donor community⁵ and expressed in CDB's 'Development Effectiveness Review 2015' too. This report confirms challenges in CDB's 'Development effectiveness', 'Operational processes and practices', 'Portfolio performance' and 'Resource allocation and utilisation'. Management challenges of CDB have been identified since several years and are documented e.g. by DFID in the 'CDB Multilateral Aid Review (2013)'. A performance improvement plan, outside the scope of NDRM, has been developed in consequence and is under implementation within CDB since 2014, progresses are there, but slowly.

Referring to DFID's communication during the MTE mission is the donor community partly responsible for management challenges of CDB. Being the only entity in the Caribbean, which can be accredited for large funds, all important financial partners and multi-donor funds pass through CDB. This problem will continue as CDB is accredited for the Green Climate Fund since 2016. Significant performance increase and additional staff to treat all project proposals in an acceptable time frame are needed in CDB to ensure sufficient management capacities for the large scope of work. This should be taken into account during elaboration of management arrangements in future programmes (11th EDF) to ensure effectiveness and efficiency.

The composition of the Dominican Republic's steering committee is adequate; the further inclusion of INAPA (National Institute of Drinking Water and Sewerage), Ministries of Health and Education is highly relevant and opportune. Government institutions are having an important role in programme implementation, adding value and ensuring sustainability. R4's Operational Unit (OU) experimented important difficulties during PE0 and PE1 but is now renewed and is expected that now will work properly. Initially OU was inserted within the MINPRE that did not have the expertise of the selected management modality (Programme Budget). This raised some problems and didn't allow an efficient management of resources. Programme management in PE2 shifted to the National Emergency Commission (CNE) that has enough capacities and human resources and, in the last two years, developed (among others) a very positive record in planning and implementation.

2.2.4 Reporting, monitoring and documentation

Key questions

⁵ In particular by DFID, being a shareholder of CDB

How is the quality of programme reporting, monitoring and documentation? How the Programme is practically measuring the programme objectively verifiable indicators (OVIs). What are the main limitations for monitoring Programme achievements?

Implementation partner's reporting is in general in line with EU requested standards, in time, complete and comprehensive without particular observations.

A monitoring plan for NDRM and a Performance Monitoring Framework (PMF) for CDM 2014-24 are developed and the NDRM results should be integrated in the CDM Monitor. But the overall monitoring plan is not implemented and the CDM Monitor is not yet operational. Several OVIs are difficult to measure and/or unclearly formulated and without baselines (see chapter 2.1.2 project formulation). A lot of baselines of the PMF for CDM 2014-24 are still pending. The CDM Monitor has still some ICT problems, reports have to be generated manually and there is no access to it on CDEMA webpage.

Monitoring challenges have been realised by CARICOM even at their highest strategic level. A Technical Assistance is already engaged to improve the general monitoring system for CARICOM's strategic outcomes and results (social and environmental resilience). This work will start in March 2017. Monitoring of CDEMA's Corporate Plan allows tracking of R1 activity implementation status, but no quality monitoring of use or impact of trainings for PS or other activities is done. No overall monitoring of the NDRM indicators is accessible for interested since the programme has started⁶. CDEMA should present in December 2017 the first 2 year report on implementation of the CDM implementation plan 2014-24. A consultant is already hired, starting February 6th, 2017, to work on the improvement of the CDM Monitor to render it operational until June 2017.

CDB has a very professional overall monitoring system (Design and Monitoring Framework (DMF)) and use performance core evaluation criteria and crosscutting issue scoring for planned TA interventions and projects. However, up to now it is not clear for the MTE mission how the CDB overall monitoring system will allow monitoring specific NDRM financed sub-projects and activities. No information is given how quality and impact will be monitored against the NDRM (CDM aligned) indicators; the DMF is not aligned to CDM indicators. Each sub-project has its specific monitoring framework for the foreseen action; direct links of the sub-project indicators, most only on implementation status level, and measuring of sub-project contribution to the NDRM indicators have not been observed by the MTE mission.

Dominican Republic (R4) has an adequate technical monitoring system that allows the access and management of relevant data. The sources of verification are clear and unambiguous. Indicators, especially those of result, incorporate goal values that are in general realistic and also incorporate calendar of attainment of the goal. The program started from a good diagnosis of the reality in which it works; however in many cases (by the type of program) the starting point was 0. In other cases, specific diagnostic documents were elaborated that have been used as line of base. Baselines have not been updated for each indicator. However the monitoring that has been carried out to date has been basically of an administrative and financial implementation aspects and has not entered into substantive aspects of the programme. The OU analyses the performance of the activities and the achievement of the products but does not reach the level of the results. There has been no clear monitoring of all aspects of the programme, including political aspects, and this has led to duplications, double-track and efficiency losses. The Dominican Republic's Steering Committee has not played, in this sense, a true monitoring role of the programme.

Additionally, (Monitoring, Evaluation and Reporting (MER) capacities in most countries are in general weak and information transfer to CDEMA for the CDM Monitor is limited or missing.

⁶ It seems that periodically monitoring is done since March 2015, but no source of verification has been made available for the MTE mission

Monitoring is an important challenge at all levels and needs important upgrading to be usable for NDRM progress tracking and for decision making.

2.2.5 Crosscutting questions gender and environment

Key questions

How practical and strategic gender interests have been considered in the Programme. In which way the Programme is approaching gender mainstreaming in the Programme?
--

How environmental constraints and opportunities have been considered in the Programme design? Have they been monitored and taken into consideration during the implementation?
--

No specific gender monitoring exists, only two indicators (R2) of the individual LF are gender disaggregated, and general LF is without gender perspective. If OECD gender marker would be applied, it would get a 0 as a score. CDM has a gender work group and CBD has a cross cutting screening system that include Gender Marker for Capital Projects and TAs over USD 50,000. Several outcomes (1.1, 2.1) and actions (in particular CDF smaller actions up to 10,000 €) place a strong emphasis on community participation and awareness and links with Civil Society. Gender differentiation is much more relevant at sub-project operational field level than at the regional level. CDB's DMF seems to place emphasis when appropriate on sex-disaggregated data for sub-projects, but verification for NDRM financed projects is not possible as no project started implementation at MTE stage. However, the programme does not make any reference to gender issues and paid up to now very limited attention to obtain and / or to report disaggregated data from the participants of the activities carried out⁷.

The Programme's objectives will contribute to environmental sustainability of the CARIFORUM States through the provision of information on potential risk from natural hazards and the strict compliance with internationally agreed best practices on environment-friendly resilient infrastructure, equipment and livelihoods. Several expected outputs, sub-projects and activities address the integration of potential risks from natural hazards into sector policies, strategies and action plans and adaptation of communities to ensure more resilience and environmental sustainability at local level. In Dominican Republic, the National Climate Change and Clean Development Mechanism (CNCCMDL), the National Meteorological Office (ONAMET), the National Bureau of Earthquake and Vulnerability Assessment of Infrastructure and Buildings (ONESVIE) and the National Institute of Drinking Water and Sewerage (INAPA) are participating in the project's Steering Committee. However to date, there has been no consideration of the most global and relevant environmental factors for the country (watershed management, deforestation, territorial planning, agricultural risks, etc.) within the Programme design. At regional level (relevant in particular for R1, 2, 3), CARICOM ministerial focal points for disaster management should participate as observers in the NDRM PSC meetings; other ministries in charge of environment are not included.

The MTE mission summarised appreciation of the global effectiveness is moderately unsatisfactory (MU). The programme is far away from the expected results at this stage (MTE) and important challenges exist for monitoring and gender issues. However there are significant differences between the four results. R1 and R4 have limited delays; result achievement is quite probable and R1 and R4 are classified as moderately satisfactory (MS). R2 and R3, due to crucial implementation delays, are at risk and are categorised as unsatisfactory (U).

⁷ In some indicators (R4) related to the attendance of training courses exist a disaggregation by sex

2.3 Efficiency

2.3.1 Disbursement and resource use

Key questions

How well are NDRM resources used in terms of funds, human resources, time and expertise compared to the output produced to date? Do the results achieved justify the costs? Or could the same results be achieved with use of fewer resources and/or more quickly?

Budget lines of CDEMA (R1) are globally respected and highly appreciated support to the 14 PS through staff within the CDEMA institution instead of external consultants is an efficient approach with high value for money. Expenses to improve CDEMA's internal financial management system are justified; the improvement process is underway with first positive changes.

Resource planning and budgeting in the Dominican Republic (R4) have generally been correct and the balance between activities costs (around 75% of the budget) and operating costs, including staff (around 25%), seems reasonable in a project of these characteristics. The cost of the products delivered to date is reasonable and is within the parameters of the sector. In some cases, even the results of some of the consultancies are well above expectations in the Terms of Reference. The balance between the costs assumed by the project in the training (staff, refreshments, accommodation, etc.) and those contributed by the partner (e.g. locals, announcements) are within the normal parameters of this type of actions. Project resources are executed transparently. The audit report is quite positive and does not detect serious problems.

However, there are important, for R2 and R3 crucial, disbursement delays against planning directly linked to the slow implementation. Total disbursement at MTE stage is 28.89% only following EU CRIS January 17th, 2017. R1 and R4 are with 54% and 44% disbursement at MTE stage more or less in line, with exception of CDF sub-projects following competitive procedure (10,000 -60,000€) under R1. But disbursement of R2 and R3 is limited to 18.7% (2,300,000€) and within this 1st EU advance payment to CDB, less than 100,000€ (<1% of the budget) are to date really disbursed. Real CDB disbursement in December 2016 cumulated 0.55% only of their budget (annex 10).

Figure 1: Total budget NDRM

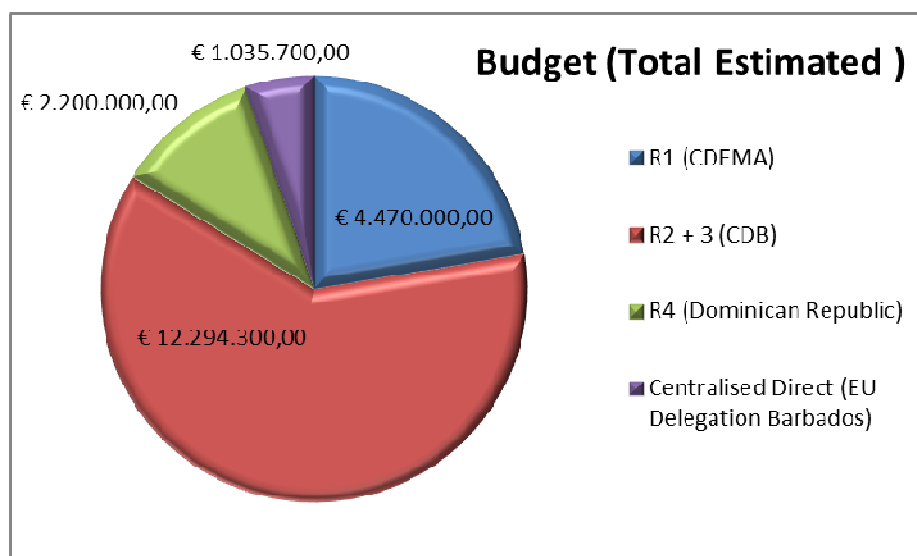
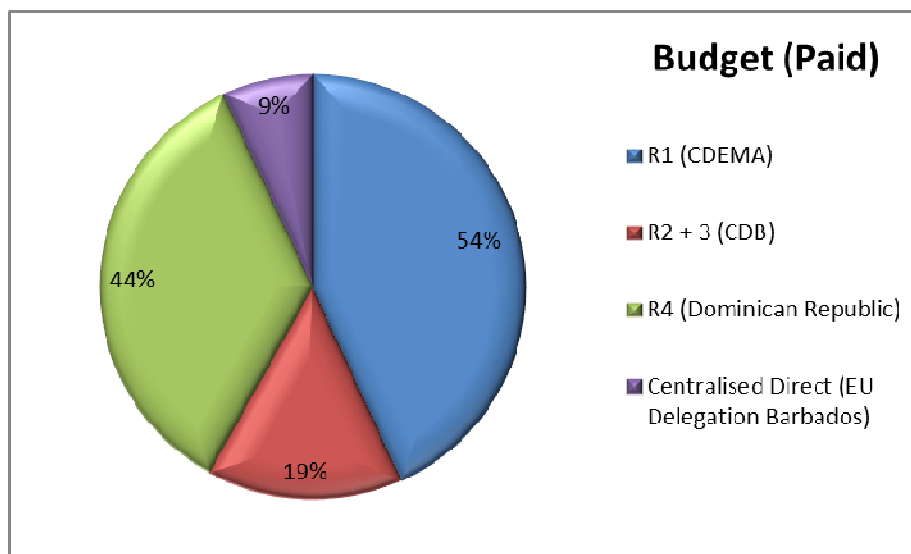


Figure 2: Budget paid by EU in January 2017



This is a crucial risk and bottleneck of the programme. According to EU procedures for Contribution Agreements, all sub-contracts (Technical Assistance and sub-projects) have to be signed three year after signing the Contribution Agreement, otherwise funds are reverted to EU HQ and not any more available for the programme and the region. This means that CDB has still to sign contracts for at least 16 sub-projects (R2) and for two important TA contracts (R3) until July 2017. Administratively this could be possible however the MTE is not sure if CDB will be able to manage it. Speed-up measures as (i) engagement of short-term consultants for project preparation and (ii) using CDB Round Robin BOD approval of projects have recently (end of January 2017) been decided by CDB, but are not yet implemented by end of the MTE. Administrative processes of all implementation partners and at national level of all concerned countries are in general slow and this reduced significantly the efficiency in the project preparation and activity start-up phase.

Regarding R1, the MTE observes in the budget relative high staff, TA for CDEMA and management costs (1,700,000 €) compared to direct benefit through CDF for PS (1,736,250 €). This is understandable as internal improvement and services by CDEMA are part of the programme. However, a better balance between staff / management costs and activities / beneficiaries in the BMC could be obtained if higher amounts for country actions would be managed by CDEMA. Furthermore, some expenses are not done as programmed because of implementation delays. In particular, PS need still more TA by CDEMA for project proposal and Work Implementation Plan development for sub-projects under CDF Call for Proposals (CfP) following competitive procedures (10,000 – 60,000 €). Disbursement of funds to these sub-projects is still low. Interest and requests from PS are limited for this funding opportunity and few proposals reach the quality criteria.

Additionally to the crucial disbursement delays of CDB, it has to be noted that since 30 months all human resources have been used for preparatory work following CDB guidelines without reaching the implementation level. The first TA (water sector tool) started only on Jan 2nd, 2017 and just 5 out of now 19 sub-projects have been approved recently. Concerning the water sector tool, attention should be given to integrating already existing tools, in particular the one developed in the Dominican Republic. Discussions between CDB, the consultant and INAPA are ongoing to avoid duplication.

The budget execution rate for activities in the Dominican Republic (R4) has been less than 20% in August 2016, indicating an important delay. But in the last two months resources have been committed through tendering processes increasing significantly disbursement up

to 44%. The percentage of execution of the operating items (offices, staff and other expenses) has been executed close to the expected at MTE stage (about 60%). Several of the consultancies that were summoned by tender were deserted when no candidates had been presented. The amount envisaged was scarce and therefore unattractive to the entities to which it was convened. This required a repeat of the tender process with the consequent delay. This affected the implementation of the action as a whole since some activities depend on the performance of others. Although the program does not provide for counterpart funds from the Dominican government, the costs of the Administrator and some infrastructure expenses were provided by the partner (MINPRE). These resources have been provided with some delays and the decision making on basic issues such as furniture, have also been delayed by the partner. In summary, there are delays, but R4 has speeded up disbursement significantly to 44% in January 2017 from 20% in August 2016.

Another MTE remark concerns visibility actions. They are budgeted several times, by each implementation partner and by EU. CDEMA has the overall coordination / reporting mandate and should logically ensure overall visibility of the programme. Double budgeting of overall visibility actions by CDEMA and EU is comprehensive following EU procedures, but not the most efficient way. Furthermore, the proposed communication and visibility plan from ATREVIA is very detailed and exceeding the real and expected needs of NDRM. It is expensive compared to its potential value for NDRM; it will be fully operational only in the last 16 months of the programme when only few new actions and sub-projects can start. A revision by the consultant with support from CDEMA and CDB has already been decided in December 2016 during PSC5.

A last remark concerning efficiency is a general one. The chosen management modality of joint management with CDB (finance contribution agreement) for R2 and R3 is in general not the most efficient mode. Project documents have to be adapted to fit in the procedures, forms and administrative processes of the benefitting organisation. This is time consuming and a double work in the preparation phase of the programme. Furthermore, applying several times the 7% indirect costs due to the used procedure of cascade implementation through Call for Proposals (CfP), reduces the funds available for activities and final beneficiaries of the programme. The use of this management modality should be critically evaluated in each case.

2.3.2 Communication between implementation partners and the EU

Key questions

Is the communication between implementing actors and the EU satisfactory?

Good communication between implementation partners and EU is approved on regional level. Furthermore, ensures CDEMA a good communication with the D.G. ECHO funded DIPECHO programme and its implementation partners, in particular the Red Cross, in all visited countries. EUD Barbados participate regularly in all PSC meetings and additional meetings to discuss specific implementation items with the implementation partners CDEMA (R1) and CDB (R2 and R3) take always place if necessary.

Good communication exists between implementation partners and EU in Dominican Republic; however more proactivity of implementing partners could improve to prevent difficulties. The EU Delegation in Dominican Republic (R4) has been throughout the process of the project respectful with the leadership role of the Dominican authorities. The EUD participates in the Steering Committee and together with the MINPRE and the DIGECOOM participates in the bi-monthly monitoring of the project. The role and behaviour of the EUD is generally acknowledged as positive by the partners. There have been just minor confusions in terms of recruitment modalities that have finally been resolved (e.g. the agreement with the Ministry of Health for the evaluation component of safe hospitals had to be resolved through a grant, for which derogation was required by the EU).

2.3.3 Technical assistance and programme implementation

Key questions

How well the Technical Assistance inputs have been provided to develop local capacities and to produce concrete results?

CDEMA (R1) supports regularly its fourteen PS through CTSM and TASP and these trainings are highly appreciated by the beneficiaries. Additionally, a large number of trainings (COST, CDAC, DANA) are provided by CDEMA to strengthen the Regional Response Mechanism (RRM). The TA through a consulting firm to CDEMA CU seems to be useful, improvement of the financial management system and a revised Operational Manual are underway. Correct use of the revised Operational Manual might allow CDEMA to reach the benchmarks of the EU Pillars Assessment by the end of the programme.

However, impact of trainings through CTSM and TASP is not systematically monitored by CDEMA and can only be appreciated in case of better concrete intervention as e.g. after a hurricane event. This is insufficient to appreciate in general the quality and the impact of the TA.

An appreciation of TA of R2 and R3 and implemented by CDB is impossible at MTE stage. The first TA started on Jan 2nd, 2017 only. Up to now, no TA has been provided through CDB to develop local capacities. Only exception is direct support through CDB staff for sub-project proposal development. Additional CDB TA for proposal preparation has been decided recently in January 2017 to speed-up approval processes. However, actually provided TA to BMC to develop project proposals and work implementation plans is still insufficient for R2 and to lesser extent for R1. Most project proposals do not reach easily the minimum criteria of the CfP, slowing down implementation.

The quality of most of the products delivered by R4 is high and this is confirmed by the majority of informants and participating entities. The products of outcome 4.1 have been rated as very good and especially the Training Plan is being used and has been an important advance. Courses to date have also been subject to very positive evaluations. In output 4.2, the PMR Committees consulting products have been rated as good quality. The product of the consultancy of selection and diagnosis of the 7 vulnerable communities is of a great quality, above expectations. In outcome 4.3, the results in relation to the components of safe schools and aqueducts are of very good quality and, in fact, may be replicable good practices of the project. The methodologies for the evaluation of safe schools or aqueducts are excellent and are being applied with good results.

Already provided TA under R1 and R4 seems to be of good quality but more should be done and the impact of TA and other capacity building activities needs monitoring.

Overall efficiency is moderately unsatisfactory (MU) and directly linked to implementation delays and therefore, disbursement delays of R2 and R3. These two results are scored unsatisfactory (U) due to the considerable risk for over 50% of the total budget to be partly reverted to EU HQ⁸. R1 and R4 have still potential for efficiency improvement, in particular by speeding up some administrative processes. However, general budget management, communication with EU Barbados and already provided services with a good value for money relation justify a scoring of moderately satisfactory (MS) for R1 and R4.

⁸ See above: Most sub-contract signatures for R2 and R3 are still pending. Not committed resources three years after financial contribution contract signature are reverted to EU HQ following EU procedures.

2.4 Potential impact

2.4.1 Contribution to the global and specific objectives of the programme

Key questions

Are actions already implemented likely to help achieving the programme overall objective of reducing vulnerability to long term impacts of natural hazards, including the potential impacts of climate change, thereby achieving regional and national sustainable development and poverty reduction goals in the CARIFORUM?
--

NDRM has a potentially positive impact to contribute to the objective if all outcomes can be realised. The Programme contributes to strengthen national and local capacities for DRM and wants to reduce national financing gaps for DRM by awareness raising in Ministries of Financial Planning and Economic Development and speed up of the policy agenda related to DRR issues in the region. Only few actions have advanced at MTE stage. Trainings and other technical support by CDEMA to PS and in R4 are the main field implementations.

However, NDRM with its key objective to strengthen human and technical capacities, alone is insufficient; it needs complementary infrastructure investments and additional funds to implement national plans to have a significant impact on reducing vulnerability.

2.4.2 Capacity building and policy/strategy development

Key questions

Does the programme have an impact on the DRM/CCA policies and strategies at regional and /or national level?
--

What is the impact of the Programme at beneficiary country level, with regard to regional coordination and capacity building?

CDEMA's work improves coordination at regional level and between countries and supports the use of CDM as guiding strategy and action plan by all countries. This contributes to more harmonised use of tools, concerted interventions and the real field implementation of the regional policy.

Several sub-projects proposed by BMC government structures to CDB address the development/review of DRM/CCA policies, strategies or guidelines. Nevertheless, financial capacities to implement potential innovations are often missing in BMC. KAP study that will be carried out by CDB is expected to improve understanding of Ministries of Financial Planning and Economic Development (MFPED) and speed up policy agenda related to DRR issues in the region.

The Directorate General for Risk Management has been recently created by Ministry of Education in Dominican Republic. According with the Managing Director of the Institution, NDRM has substantially contributed (together with other initiatives) to this decision. Another initiative that has already a positive impact on policies and strategies at national level (R4) is the "tool for safe water systems". The tool was presented to the board for APS's reform and modernisation (Drinking Water and Sanitation). All the ministries related to the sector now know the tool and INAPA has been selected for its implementation. The tool is an innovation and is a specific added value of NDRM.

All results contribute to national capacity building. In particular R1 fosters regional coordination and national technical capacity building is the core task of CDEMA. R2 should deliver upgrading of national policies/guidelines, technical equipment and financial resources to implement field projects in communities. R3 should improve the national DRM implementation environment by working with decision makers on high political level. R4 has

an important training programme with the Ministry of Education and training institutions on DRM.

A monitoring system is foreseen for PE2 (R4) and there are interesting examples on how capacity built through training is already used and put in practice. Forty-eight school centres in Dominican Republic were assessed and ISCERD index, defined by twenty three technicians certified within the DRM educational programme, carried out by NDRM. The technicians will be contracted within an AECID programme to carry out further assessments and a new DRM certificated course is expected in PE2. The DRM National School has a 5-year training strategy and plan, and started the process to reach the standards needed to get certification by the Ministry of Education.

However, technical capacity building does not automatically improve acting of people. Financial capacities, possibilities or willingness to implement changes and /or to use new tools and instruments are often missing at national level and NDRM does not monitor if and how trainings, workshops and conferences improve participant's real demonstrated performance.

2.4.3 Unplanned impacts

Key questions

Does NDRM have unforeseen positive or negative impacts?

Are any external factors likely to jeopardise the programmes' direct impact (assessment of risks affecting impact)?

Up to now, NDRM has no unforeseen impacts. Most impacts are still a potential and NDRM future actions have to show that they generate it. The financial crisis affected all BMC and their financial commitments to regional organisations, in particular to CDEMA, are not approved. This is an external negative factor, creating financial gaps for CDEMA functioning.

Potential impact is moderately satisfactory (MS), however most impacts are still a potential and the significant implementation delays increase the risk that key activities to reach the outcomes can't be realised and impacts will be pending, in particular at a higher political level.

2.5 Potential sustainability

2.5.1 Technical and financial capacities

Key questions

How likely the beneficiaries appear to be capable (technical, financial) of and willing to continuing the operation beyond the end of the project?
--

Are there measures being taken (or planned) to ensure and facilitate the continuation of the benefits that will be brought by the programme?
--

All countries and relevant regional institutions have other programmes and /or funding to continue DRM work. Financial resources of CDB to implement similar projects (R2) are high due to multiple international funding in the DRM/DRR/CCA sector. Obligatory financial contribution from PS to CDEMA (R1) budget should ensure financing of CDEMA including future technical support (CTSM) services. The Dominican government suggests continuing of several components through the national budget. This is the case for CNE, National School of Risk Management and the Ministries of Education and Health. The national authorities have included in their budgets budget lines linked to DRR for the various agencies (e.g. the

creation of the General Directorate of Risk Management in the Ministry of Education and the dedication of personnel and means for safe school plans).

Capacity building to ensure sustainability in the DRM sector is the purpose itself of NDRM. All results and activities of NDRM address strengthening DRM capacities of BMC, in the Dominican Republic and in regional support institutions. Strengthening capacities of CDEMA (R1) includes reaching eligibility benchmarks for future direct funding by donors (EU). Technical capacities to act as a Technical Assistance and service supplier for member states exist within CDEMA and there is a clear vision for future improvement.

However, realisation of demand driven sub-projects from countries and entire functioning of CDEMA depend significantly on donor funding. PS financial obligatory commitments to CDEMA budget are only partly (~30%) confirmed. This is a critical financial gap of CTSM functioning and the availability of sufficient qualified human resources in CDEMA to ensure sustainable delivery of technical assistance support to PS after the NDRM programme.

CDB strategic plan for the last four cycles (4 years-cycle) has included a set aside resources for NDRM as well as for sustainable energy response instrument. Recent negotiated cycle has allocated USD 3.0 million for NDRM in addition to 5.0 million for Environmental Sustainability and Climate Change and Sustainable Energy, and 9.0 million for BMC capacity building. Further support is likely, but it's uncertain if actual additional CDB staff will stay (HR recruited on programme basis). The actual appreciation of CDB procedures by visited BMC (Barbados, SVG, Jamaica) is in general low. Administrative processes and sub-project approval procedures are seen as complicated and too slow by BMC. The financial resources are there, but it seems that CDB needs to speed-up administrative processes and procedures to ensure a performing service for BMC and sustainable efficient continuing of the work in the future.

2.5.2 Political support

Key questions

How far the relevant regional, sectoral and budgetary policies and priorities affected the Programme positively or adversely?

NDRM is aligned to the CDM Strategy and the implementation plan 2014-2024. CDM priority actions reviewed in November 2016 confirm the actual relevance of NDRM on regional level. Political sustainability at national level is ensured. All national medium term development plans and visions address climate change adaptation, including DRM / DRR as a development priority in the national agenda. Furthermore, NDRM is imbedded in the medium term strategy of CDB addressing political decision makers (R3.1) to improve mainstreaming of DRM/DRR and CCA in the public sectors.

However, awareness raising for political decision makers in the MFPED throughout NDRM has not yet started and planned actions of NDRM in this field are standing-alone insufficient. Significant results can only be expected in the medium to long term by implementing the medium term CDB strategy.

2.5.3 Institutional capacities

Key questions

How far is the Programme embedded in institutional structures that are likely to survive beyond the life of the project?
--

Will adequate levels of suitable qualified Human Resources be available to continue to deliver the project's stream of benefits?
--

The institutional sustainability is confirmed. All results and outcomes are implemented through existing mandated regional structures (CDEMA, CDB) and the existing governmental

structures and institutions in the Dominican Republic. The proposed sub-projects will all be carried out by government agencies or established regional institutions.

NDRM is at MTE stage in the early implementation phase for most activities and future implementation progress will have to prove its real sustainability. Nevertheless, the overall potential sustainability is moderately satisfactory (MS). Compared to other programmes and projects, NDRM shows suitable political and institutional sustainability, and financial sustainability of CDB for similar projects is ensured. However, financial gaps to ensure entire functioning of CDEMA and the future availability of sufficient human resources will remain a challenge until complete fulfilment of financial commitments by PS. This is not very likely in the medium term due to the economic situation of most concerned countries; the dependence of CDEMA activities upon donor funding reduces its potential financial sustainability.

2.6 Coherence

2.6.1 Regional, national and EU development policies

Key questions

How well does the programme and its planned actions fit within EU Development Policy and other regional and national policies and actions (sustainable development, DRM and climate change)?

NDRM is in line with all guiding global, regional, national and EU development policies. The Programme is coherent with the four priority actions of Sendai Framework for DRR 2015-2030, the successor instrument to the Hyogo Framework for Action (HFA) 2005-2015. NDRM responds to the implementation priorities B (Regional Action Plans on DRR) and C (Integration of DRR into EU's External Action) of the EU Strategy for Supporting DRR in Developing Countries – Implementation Plan and 3 of the 5 priorities of the Global Climate Change Alliance (GCCA): adaptation to climate change, promotion of disaster risk reduction (DRR) and integration of climate change into poverty reduction efforts. The Programme is coherent with regional and national policies and strategies, aligned to CDM strategy and with the five regional priorities reviewed in November 2016.

NDRM contributes to Dominican Republic's National Development Strategy 2030 (Axis No.4, specific objective 4.2.1), Government Plan (Line III), National Multiannual Public Sector Plan 2011-2015 (Items XVI - XV), National Plan for Integral Management of Disaster Risk (Decree No. 275-13), National Plan for the Reduction of Seismic Risk and Law 147-02. Similar is valid for the other countries. All expected results of NDRM contributes to the priorities of the actual medium term national development plans of the region (e.g. SVG 'Economic and Social Development Plan 2013 – 2025, Jamaica 'National Development Plan Vision 2030').

2.6.2 Coordination

Key questions

How far are coordination and synergies with other regional and national initiatives supported by EU and other donors/institutions ensured? Are there duplications?

NDRM links synergistically (can be seen as the continuum) with CDM-HIP funded by CIDA, DFID and AUSAID, which ended in December 2014. A fluent coordination between CDEMA and DG ECHO is facilitating synergies at regional level: countries and regional priorities have been reviewed in November 2016⁹ and are now available for the programme review and

⁹ <http://dipecholac.net/annual-achievements-in-barbados/docs/disaster-risk-reduction-priorities-for-the-caribbean-region.pdf>

planning. Unfortunately DIPECHO programme funds have been recently significantly reduced (from about 10,000,000€ to 2,000,000€ for an 18 months period) and a lower presence is expected in the future. The 'CDM Coordination and Harmonisation Council' (CHC) and the 'Eastern Caribbean Development Partners Group on DRM and CCA' are as regional coordination mechanisms in place. However CHC regular funding is actually not ensured; CDM-HIP funding stopped with programme's end in December 2014. Organisation of this highly appreciated, annually planned meeting depends today on case to case discussion and mobilisation of donor support (e.g. USAID in the past) of each event. Documents have been elaborated and circulated, but no in-person meeting of the full CHC took place in the last two years. Just three (3) meetings of the Sector Leads of the CDM CHC have been convened and one donor meeting in 2016.

In Dominican Republic (R4) there is a donor's sub-group for DRR and CC and an informal DRR coordination forum with participation of NGO, the National 'Prevention, Mitigation and Response' fund (PMR) and donors. There are several good examples of complementarity between programmes and project funded by different agencies (e.g. R3-CIMH sub-project, R4 - outcome 1 and 3).

Communication and information sharing between the regional and the national levels is however an important challenge. A large number of national and regional initiatives have been and are being carried out (see annex 12). This is further complicated by overlapping items between DRM and CCA. Knowledge management need to be improved to allow regional learning, avoid duplication (e.g. tools, products, CCA and DRR data, etc.) and facilitate institutionalisation¹⁰. Actually, a large number of already existing country and sector profiles and tools, in majority developed by DIPECHO/UNSDIR, are underused. Their large number creates often confusion and institutionalisation to ensure the effective use is still limited in most countries. This important MTE mission observation has been confirmed by all met donor agencies. CDEMA designed the Caribbean Risk Information System (CRIS) to improve this issue and to avoid duplication by allowing products developed through other entities to be visualised through the CRIS. An old database of initiatives in the DRM related sector exists from 2013., But CRIS is currently not funded, the project database needs updating to be useful and there is a risk of duplication; similar systems are already working in CCCCC (Clearing House) and at the UWI DRR Centre (DFATD/Canada funded project). The context is further complicated because a systematic translation of tools and relevant documents in the main languages used in the region (English, Spanish, and French) is not a practice; this limits synergies and coordination within the region. Most NDO and stakeholder at national level have few to no ideas on activities in other countries in the region and even on all dimensions of NDRM in their country. A MoU has been signed between CDEMA and Dominican Republic to strengthen coordination and collaboration but implementation it is at an early stage and no significant sharing of knowledge has been carried out yet within NDRM beside the PSC meetings. Only exception occurred recently with some exchanges on the "tool for safe water systems".

The MTE mission overall appreciation of coherence is moderately unsatisfactory (MU). NDRM is in line with all guiding global, regional, national and EU development policies and strategies and political / strategic coherence is very high, but the more important coordination, information exchange and knowledge management challenges reduce

¹⁰ To guarantee synergy and avoid duplication CDB (R3) should focus on DRR country profiles not already existing: Belize, Republic of Suriname, Saint Christopher (St. Kitts) and Nevis; The Bahamas using UNISDR/CDEMA methodology. DIPECHO Programme produced/is producing the following Country profiles: Antigua & Barbuda Barbados, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, Saint Lucia, St. Vincent & the Grenadines, Republic of Trinidad de Tobago. Other SIDS where country profiles not already exist are Montserrat, Anguilla and the British Virgin Islands, Turks and Caicos Islands, Cayman Islands and Bermuda, however these countries they are not covered by NDRM.

synergies and complementarities; important information exchange and coordination improvement in particular between the regional and national levels is an urgent need.

2.7 Added value

Key questions

How does the programme and its planned actions relate to other EU and EU member states programmes or projects under way in the Region? How far completes the programme other EU and member states initiatives and enforces synergies?

To what extent the Programme approach demonstrates complementarities with ACP group of countries initiatives?

NDRM is part of the larger ACP – EU Disaster Risk Management Programme, consisting in a Caribbean, an Africa and a Pacific component. These 3 components use similar implementation mechanisms, regional institutions and address similar challenges.

NDRM completes the NIP of the 10th EDF as the NIPs of the region do not address DRM or CC issues as a priority sector for EU national cooperation. The Programme complements regional EDF envelopes, on-going Intra-ACP programmes from the 9th and 10th EDF and the DIPECHO Caribbean DRR Programme of the Directorate-General for Humanitarian Aid and Civil Protection (DG ECHO) for 2013/2014 and 2015/2016. Further funding of EU Cooperation to foster CCA and DRR are received from the Caribbean region through the Global Climate Change Alliance (GCCA), the World Bank's Global Facility for Disaster Reduction and Recovery GFDRR (EUR 4.9 million between 2008 and 2012) and the UNDP Overseas Countries and Territories (OCTs) Regional Risk Reduction Initiative.

There is a diversified portfolio of interventions at regional, national and community level. Among EU member states operating in the Caribbean it is relevant to mention the United Kingdom's Department for International Development (DFID), the Germany's Federal Ministry for the Environment and the Spanish Agency for International Development Cooperation (AECID) in Dominican Republic and Haiti. The Programme is the continuum of the CDM - HIP programme partly financed by UK. It fills national DRM intervention gaps in the region and strengthens the regional support institutions. EU Member States (MS) have actually country or multi-country programmes which do not cover all countries in the region and EU MS provide actually no support to strengthen regional institutions capacities in the DRM sector. There is a good complementarity as improvement of DRM depends on both levels, national and regional.

A good example of synergy without duplications has been observed in Dominican Republic between the majority of the actions carried out/foreseen under the NDRM programme (e.g. GDR School, Safe School index and assessment, PMR committees) and those implemented or being implemented by other donors/D.G. (e.g. AECID, DG ECHO). The "tool for safe water systems" (R4) is an innovation / added value specific of the programme that, in addition to having a positive impact on Dominican policies, strategies and plans, could improve the level of knowledge and practices throughout the region.

However, added value is often still a potential. NDRM field implementation, in particular of R2 and R3 is in an early stage at MTE date. Thematic overlaps and/or very similar actions with different regional institutions, in particular CDEMA and CCCCC, exist due to the fact that DRM and Climate Change issues are separately addressed by different regional EU programmes (GCCA, NDRM) and other donor's programmes. Few exchanges between the 3 components of the larger ACP – EU Disaster Risk Management Programme exist and there's a high potential for improvement to profit from the lessons learnt of the other regions. In particular regional implementation partners and research institutions could much more profit from these experience exchange.

The MTE mission appreciation of the Added Value is Moderately Satisfactory (MS); NDRM already shows some good steps forward in line with the Paris Declaration on Aid Effectiveness, however added value is often still a potential and synergies could be improved within the CCA and DRR framework.

2.8 Visibility

Key questions

How is the visibility ensured and measured? Is this adequate? Are the visibility and communication in line with EU guidelines?
--

Each implementation partner has its own visibility plan and actions and CDEMA used the bi-annual CDM conference in 2015 to promote visibility of the NDRM programme. A firm (ATREVIA) is contracted by EU (15/9/2016 – 14/9/2018) for the overall visibility and communication of the whole programme. A communication and outreach plan has been presented during PSC5 for approval. The inception report should be available in Jan 2017 and expected products during 2nd half of 2017.

However, the proposed plan from ATREVIA came in late, only in the 2nd half of the programme. It's extremely detailed (8 pages just on visual identity guidelines of the NDRM logo form) and extents largely NDRM real needs regarding its potential outcomes. Most products (outputs) of the execution phase will be available only starting from the last 14 months of NDRM implementation, when all sub-projects should be already under implementation and no significant sub-activity modification will be any longer possible. The potential impact and added value of the foreseen information campaigns for NDRM is very limited. A revision by the consultants with support from CDEMA and CDB has already been decided during PSC5 in December 2016.

EU visibility guidelines are not always respected. NDRM and other 10th EDF cooperation have no visibility on CDEMA and CDB webpages and several EU financed brochures and information materials are without EU logo.

The Dominican Republic component (R4) developed in the past a communication and visibility plan of poor quality. Visibility actions have been limited to those related with training events, through the preparation of banners. There have been no public acts of presentation of the programme. However implementation of part of the activities included in the R4 communication plan, recently implemented with the support of a new consultant seems well targeted but changes in the project's Operational Unit may affect it.

Consultations during the MTE with, National Planning Ministries, National Disaster Offices and sector Ministries have shown, with exception of the direct implementing Dominican Republic that NDRM as regional programme has no visibility; only mandates and activities of the implementing partners CDEMA and CDB are known in the countries. This observation concerns even the EU Delegations at national and/or sub-regional level in the Caribbean region.

For instant, the visibility of NDRM as regional programme is very limited and unsatisfactory (U), even if sufficient financial resources are available. The large number of closely related initiatives, partly implementation through contribution to existing multi-donor funds and limited products up to date furthermore significantly reduce the specific visibility of NDRM.

3 OVERALL PROGRAMME PERFORMANCE

Global appreciation of the programme performance

Criteria	Rating
Relevance	Satisfactory (S)
Effectiveness	Moderately Unsatisfactory (MU)
Efficiency	Moderately Unsatisfactory (MU)
Potential impact	Moderately Satisfactory (MS)
Potential sustainability	Moderately Satisfactory (MS)
Coherence / coordination	Moderately Unsatisfactory (MU)
Added value	Moderately Satisfactory (MS)
Visibility	Unsatisfactory (U)
Global performance of the programme: Moderately Unsatisfactory (MU)	
R1+R4: (MS) ; R2+R3: (MU)	

The programme is far away from the expected results at this stage (MTE) in particular for R2 and R3 and the global performance of the programme is evaluated as Moderately Unsatisfactory (MU). However, NDRM has a good potential and the MTE mission recommends its continuation.

This recommendation is justified by the fact that R1, implemented by CDEMA and R4 in the Dominican Republic are both evaluated as Moderately Satisfactory (MS). Significant performance differences exist for R2 and R3 implemented by CDB, primarily evaluated as Unsatisfactory (U) due to crucial implementation delays. However, accelerated activity and sub-project implementation in the coming months by CDB is likely as the long preparatory works for nearly all activities and outcomes are in the finalisation stage. To avoid additional delays, the MTE recommends no major strategic changes should be undertaken up to the end of this programme. However, identified challenges need to be taken into account in the identification and formulation of future regional programmes in the sector.

4 CONCLUSIONS

The conclusions are summarised in the following strengths – weaknesses and lessons learnt.

4.1 Major strengths and weaknesses of the programme

Major strengths of the programme are:

- S1) NDRM is highly relevant for responding to the high and increasing disaster risk related to natural hazards due to the effects of climate change
- S2) NDRM is very well imbedded in regional and national policies, strategies, institutions and long term development planning
- S3) Products (technical support and trainings) already delivered by CDEMA and in the Dominican Republic are of good quality and appreciated by the beneficiaries.

- S4) After a slow start-up and time consuming preparatory procedures, the programme is now in a stage to progress more significantly towards the expected outcomes and results
- S5) NDRM overall coordination at regional level is sufficient and PSC assumes its mandate
- S6) Potential impact, sustainability and added value of NDRM are good, if all outcomes can be realised

Major weaknesses of the programme are:

- W1) Overestimation of capacities of potential beneficiaries during project formulation and unclear formulations in the log frame avoiding its use as management tool reduce NDRM performance up to now
- W2) There are significant, for R2+3 crucial implementation delays, which can only partly be addressed by corrective measures to reach the expected outcomes during the lifetime of the programme
- W3) Administrative procedures for sub-projects approval are time consuming and requirements are exceeding the capacities of potential beneficiaries
- W4) R4 (Dominican Republic) stands alone with insufficient links to justify a regional programme approach
- W5) Underuse of existing information (tools, country /sector profiles, studies) and insufficient communication are challenges in particular at national level and between regional and national level, reducing effectiveness and efficiency
- W6) Monitoring is an important challenge at all levels, within NDRM and in the countries.
- W7) NDRM, as a regional programme, has nearly no visibility

4.2 Lessons learnt

Following lessons have been learnt from the implementation process of the NDRM programme:

- L1) Much attention should be given to real absorption and project management capacities of potential beneficiaries and implementation partners.
Sufficient technical/strategic support must be made available for potential beneficiaries from the early beginning to ensure effective project preparation and implementation during the usual project lifetime of three to five years. Procurement procedures should be adapted to the absorption capacities of potential beneficiaries.
- L2) It is very important that implementation of projects should begin within a reasonable timeframe after the project formulation – this is often crucial for relevance, effectiveness, efficiency, impact and sustainability. Preparatory work needs to start immediately after contract signature and to be limited to a few months.
- L3) Financial contribution agreements create implementation time pressure and cascade implementation through Call for Proposal (CfP) approach reduces funds available for activities and final beneficiaries because 7% indirect costs are budgeted several times. International organisations using this EU financing mechanism should be obliged to ensure efficient start-up in a reasonable time frame
- L4) More is not always better; good knowledge management is a must for effectiveness and efficiency. Too many similar tools, institutions, funds and projects create confusion, limit use of tools by final beneficiaries and reduce potential synergies /complementarities if information sharing and transparency are insufficient.

- L5) Projects need to come back to the ground; project administration, planning and reporting should be balanced with the dimension of the planned action and not an objective itself
- L6) Global strategic planning, trainings and tools at the highest programme management level change nothing if they are not directly linked to pragmatic implementation on the ground where every stakeholder can find their interest.
- L7) Log frames and monitoring frameworks are not a necessary exercise but management tools to be used for decision making
- a. In particular complex multi-stakeholder projects in crosscutting sectors (Environment, Climate Change, DRM /DRR) need strong coordination and monitoring mechanism for quality assurance from the beginning and for decision making
 - b. Each investment in actions requires investment in monitoring too, not only on the implementation status

5 RECOMMENDATIONS

Following recommendations address all levels (National Governments, regional structures, donors) to different extent. Theses which concern especially the EU cooperation are indicated (*). The most important key DRM priorities for future EU - Caribbean cooperation are highlighted (in bold) to facilitate future priority ranking and decision making concerning financial support of EU to DRM and related issues in the Caribbean. W1 – W7 for weaknesses and L1 – L7 for lessons learnt indicate the link of the each recommendation to the conclusions.

5.1 Recommendations to improve current implementation

- Provide more technical assistance and training for project proposal development for the coming CDEMA CfP for actions (10,000 – 60,000 €) and proposed sub-projects under development of R2 (CDB) to ensure that countries will really profit from available funds. (CDEMA, CDB),
W1, W3, L1
To note: TA for the countries is a real priority need, but financing of CDEMA Technical Support Mechanism (CTSM) comes to end. CDEMA efforts to mobilise the foreseen contributions of PS to the CDEMA budget allowing functioning of CTSM without donor support have not been successful. The continued existence of CTSM requires urgent funding alternatives and the mobilisation of the Contingencies of the budget seems to be indicated (*, CDEMA)
- Reallocate budget from R3 to R2 as proposed in the CDB mitigation plan and concentrate on approval, start-up and monitoring of sub-projects under R2. (CDB)
W2, L2, L3
 - Allow new proposal submissions to fill identified funding gaps related to the objective of NDRM and the expected results of CDB, in particular from (1) CDEMA to improve knowledge management and (2) from partners of the DIPECHO programme to continue work after down scaling of ECHO funding, should be encouraged to ensure timely use of all available funds for R2. New proposals have also to take into account past DRR achievements in the region to build on this as well as on previous tools. (CDB)
To note: Proposals have to be submitted before the end of February 2017 to allow approval before the deadline in July 2017
 - Apply supplementary mechanisms to CDB Board Meetings to accelerate and to ensure for R2 and R3 sub-project and TA contract approval and signature before the deadline. (CDB)

- Facilitate communication of sub-project promoters with the responsible national development planning institutions to speed up national approval of proposed sub-projects (CDB).
- Extend sub-project implementation time for R1 and R2 beyond December 2018 without budget modification (no cost extension) (*, CDEMA, CDB).
W1, W2, W3, L1, L2, L3
- Ensure monitoring of the programme and public access to the CDM Monitor. This includes an urgent need to make the CDM Monitor operational and to strengthen CDEMA human and ICT monitoring capacities (CDEMA).
W6, L7
- Foster coordination and collaboration between CDEMA and CNE (Dominican Republic) based on the five areas of cooperation defined in the signed MoU between the two parts. (CDEMA, CNE)
W4

Specifically efforts could be done in:

 - Information: sharing of the experience developed in Dominican Republic with SINI (Integral Information System)
 - Policy: Translate the CDM Strategy and Results Framework for 2014-2024 in Spanish to facilitate its dissemination and implementation.
 - Capacity Development: make cooperation between CDEMA's Regional Training Centre and the National School for DRM in Dominican Republic operational
 - Knowledge Management: sharing existing products developed in the countries (within or outside the programme) and already available, facilitate its scaling-up and promote wider dissemination (e.g. EWS, safe schools and safe hospitals)
 - Coordination: (i) Strength joint preparedness for a timely and effective response and recovery to disasters in the Caribbean, (ii) Foster synergy and coherence in the region to support the implementation of the Sendai framework based on the DRR priorities for the Caribbean updated in November 2016 (DIPECHO workshop).
- Concentrate on strengthening CDEMA CU finance management capacities to meet the benchmarks of the 5 EU pillars to allow future EU financial contribution agreements (CDEMA)
L1
- Ensure that coming Technical Assistances for R3 build on existing tools and country and sector profiles in particular from ECHO past funding in the region (CDB)
W5, L4
- Scale down the proposed communication and visibility plan to the real programme needs (CDEMA, ATREVIA, EU) and update the CDEMA and CDB webpages to increase NDRM visibility (CDEMA, CDB)
W7

5.2 Recommendations for future regional operations in the DRM sector

GENERAL RECOMMENDATIONS

- **Concentrate EU/donor support on field implementation and trickle down to local community level of existing regional strategies**, in particular the CDM action plan 2014-24, climate change adaptation and DRM plans in the countries, DRM tools, and

'Updated DRR Priorities and recommended actions for the Caribbean reviewed in November 2016' (*)

L4, L5, L6

This could include CDEMA's partnering with NGO successfully involved in similar programmes, in particular the Red Cross doing highly appreciated work on community level within the ECHO funded DIPECHO programme.

- **Address the naturally linked issues DRM, DRR, Climate Change Adaptation in a holistic way and avoid multiplication of parallel financing instruments (*)**

W5, L4

This should be done through (1) joint programme planning and formulation with participation of NDO, national MFPEP, other concerned national structures and related initiatives supported by EU and - if possible other donors - from the early stage of all new relevant DRM, DRR and Climate Change initiatives and /or (2) contribution to existing successful funding mechanisms like the Country Driven Fund (CDF) within already established regional structures. (*)

- **Make institutional arrangements and country access to funding opportunities as simple as possible to ensure timely implementation and effective use by potential beneficiaries. (*)**

W1, W2, W3, L1, L2, L3, L5

- This should include balancing between administrative work and scope of the concrete action
- It should be evaluated how far CfP procedures for recurrent requests from the countries can be replaced by more simple mechanisms like using CDF following simplified procedures for higher amounts up to 60,000€ or national funding quotas under management and supervision by regional institutions.
- Involve the regional institutions for donor funded programme implementation according to their original mandate and their confirmed key qualifications and strengths. (*)

This requires:

- (1) clear distinction of the mandates of CDEMA, CCCCC, CIMH and other regional institutions in particular for transversal tasks like knowledge management and information / awareness raising (CARICOM)
- (2) strengthen cooperation with CDEMA as Technical Assistance and service provider for the countries (*)
- (3) give in case of donor cooperation with CDB preference to DRM / CC needed infrastructure investments (*)

- Ensure effective coordination and collaboration between CDEMA and CNE (Dominican Republic) from the early stage in the formulation of the 11th EDF, is a priority to prevent stand-alone results within the programme. (*, CDEMA, CNE)

W4

This should include, after the already done common concept note for the 11th EDF:

- (1) Designing an integrated logical framework with common objectives and results, defining implementation mechanisms, roles and responsibilities, budgets and activities to be carried out by each implementing partner.
- (2) Participation, feedback and transparency from the very early stage; they are imperative to lay the foundation for productive and trustful collaboration throughout the program cycle.
- (3) In the specific case of Dominican Republic, not being a CARICOM country, it is recommended that CNE continue to be the implementation agency.

- Some countries, including the Dominican Republic, have to (1) improve interdisciplinary

coordination / harmonisation between technical ministries/institutions and (2) simplify the institutional framework and clarify mandates for national DRM in order to increase governance efficiency and effectiveness of the provided donor assistance.

(National governments)

W5, L4

INSTITUTIONAL STRENGTHENING / CAPACITY BUILDING

- **Regional institutions using CfP should systematically support countries by providing sufficient technical assistance and training for project proposal and Work Implementation Plan development** to make more effective use of funds available for DRM/CC from the different financing mechanisms (CDEMA/CDF, CDB, GCCA, GFDRR, PPCR, Green Climate Fund...) (CDEMA, CDB)

W1, W2, W3, L1, L5, L6

- **Strengthen the Monitoring –Evaluation - Reporting (MER) capacity of regional and national institutions for DRM / DRR/ CC and project monitoring** and ensure regional networking among these. (CDEMA, CDB, CCCCC,*)

W1, W6, L7

- **Simplify and institutionalise as much as possible existing DRM tools to make them applicable and to avoid confusion in the countries** (all)

W4, W5, L4, L6

- Continue and intensify support to DRM /CCA education and training at community level.

L5, L6

In particular support for (1) integration of DRM/CCA into national school curricula and for (2) Community Emergency Response Teams (CERT), are requested by the NDO as the national budget allocations are largely insufficient in most countries. Good donor coordination, and especially with ECHO, in the school and education sector is required as a new WB programme in this field has just started. (CDEMA, National governments)

- Take limited human resources, in particular the small number of available experts in the SIDS, into account and facilitate exchange of human and technical expertise among countries of the region (CDEMA)

(Added value: South-South cooperation, strengthened regional expertise by valuation of existing human resources in some countries...)

W1, L1, L4

INFORMATION / COMMUNICATION / KNOWLEDGE MANAGEMENT

- **Improve knowledge management and exchange / valuation of existing experiences at local, national and regional level and ensure regional dissemination** (CDEMA)

W5, L4

- Strengthening the Caribbean Risk Information System (CRIS) within CDEMA is an option. However, coordination with the 'Clearing House' within CCCCC and the UWI DRR Centre has to be ensured to avoid duplications.
- Translate important regional reports and tools to Spanish, English and French and ensure easy access for the public. This should be coordinated with ECHO as some compilations exist. (CDEMA, other regional institutions)

The CARICOM CRITI (Caribbean Regional Information and Translation Institute) can do this work

- Develop, based on ECHO's and UWI's experiences, mechanisms to network with Cuba to make use of their best practices in DRM in the wider Caribbean region (CDEMA, other regional institutions)

A scientific network of universities and research centres including Cuba in the larger climate change thematic operates already since several years successfully. These experiences should be used to build networking on DRM best practices.

- Improve / strengthen mechanisms for the exchange of information between donors, regional agencies and countries on current priorities, existing tools, specific projects planned and under implementation, etc.(CDEMA, *)

AWARENESS RAISING

- Continue assessments on climate change/natural hazard related disaster impact on the economies and complete them with further measures to sensitise political decision makers. (CDB)

W5

The close inter-linkages between DRM / CCA and development requires that DRM / CC adaptation should be part and parcel of all development programmes and national budget planning, in particular in the Ministries of Finance, Planning and Development.

All proposed recommendations for future interventions in the DRM sector are in line with actual planning documents:

(1) 'Building environmental resilience through attention to disaster risks, climate change and natural resources' is one of the priorities of CARICOM's Five year Strategic Plan for the Caribbean Community (SPCC) 2015-2019,

(2) The Caribbean Regional Indicative Programme (CRIP) 2014-2020 of the 11th EDF addresses in the thematic focal area 2 'Climate Change, Disaster Management, Environment and Sustainable Energy'. The recommendations correspond to the expected results of two specific objectives of the thematic focal area 2. Most recommendations are in line with Specific objective 1: Improve regional resilience to impacts of climate change and natural disasters affecting sustained economic and social development, Result 1.2 'Regional capacity for disaster risk reduction enhanced. Recommendations in the field of information, public awareness raising, education and research are furthermore in line with the expected results of Specific objective 2: To support regional capacity for the suitable use of natural resources.

(3) The short term to medium term CARIFORUM strategy includes more linking with other states, including in particular Cuba.

Administrative annex

Annex 1. Terms of reference

SPECIFIC TERMS OF REFERENCE

Mid-Term Evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme

FWC BENEFICIARIES 2013 - Lot 6: Environment EuropeAid/132633/C/SER/multi

1 BACKGROUND

1.1 Beneficiary country

The CARIFORUM States: Antigua and Barbuda, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Republic of Suriname, Republic of Trinidad and Tobago, Saint Christopher (St. Kitts) and Nevis, Saint Lucia, St. Vincent & the Grenadines, The Bahamas, The Dominican Republic.

1.2 Contracting Authority

The Contracting Authority for the present contract is the Delegation of the European Union to Barbados, the Eastern Caribbean States, the OECS and CARICOM/CARIFORUM.

1.3 Definitions

The following definitions apply to these terms of reference:

The "programme": In those terms of reference the programme will refer to the *ACP-EU Natural Disaster Risk Management in the CARIFORUM* programme financed under the 10th EDF Intra – ACP Envelope. Also referred as NDRM programme

The "contract": The present "*Mid-Term Evaluation of the ACP-EU Natural Disaster Risk Management in the CARIFORUM programme*" contract.

1.4 Background Information

Regional Background

The Forum of the Caribbean Group of African, Caribbean and Pacific (ACP) States (CARIFORUM) comprises small states with developing economies prone to natural hazards. Both hydro meteorological and climate related hazards, such as hurricanes, windstorms or floods, as well as geological hazards, such as earthquakes or volcanic eruptions are recurrent in the region. In these small states, single catastrophic events can have a disproportionate negative effect on both the national and regional economies, also due to the interaction of a number of driving forces (in intensity and frequency) such as climate change, environmental degradation, demographic pressure, unplanned urban growth, trans-boundary nature of natural hazards, etc. Such factors intensify the effects disasters have on people, in particular the poorest and most vulnerable, their assets and livelihoods and their ability to recover. Furthermore, they also strain the ability of the public sector in reconstruction efforts and lead to higher debt levels.

Disaster mitigation and resilience, is therefore a particularly relevant and important component of economic policy in the region, in the attempt to reduce exposure of governments to divert substantial resources for relief operations, recovery and reconstruction.

Current situation in the sector

Several initiatives, dating back to the 1980s, at both national and regional levels, have been designed to reduce this vulnerability. These include the establishment of regional and national institutional and legislative frameworks as well as the development of programmes to address preparedness, response, mitigation, prevention and recovery. In 2001, the Caribbean Community (CARICOM), through broad based stakeholder consultations, adopted a strategy and results framework for Comprehensive Disaster Management (CDM) with the goal of integrating it into sustainable development decision-making and planning. This Strategy was revised in 2006, as a result of the need for greater emphasis on the reduction of disaster loss through better risk management.

The outcome of this revision process was the Enhanced CDM Strategy and Programming Framework 2007-2012, focused on the enhancement of regional sustainable development. This has been closely aligned to the global and regional agendas such as the Hyogo Framework for Action (HFA), CARICOM's Regional Programming, the Caribbean Single Market and Economy and the St. George's Declaration of Principles for Environmental sustainability.

The Enhanced CDM Strategy was reviewed in 2010 and again 2013, the findings of which were used as the basis for the process of development of the 2014-2024 CDM Strategy. The goal of the CDM Strategy 2014-2024 is to realize "Safer, more resilient and sustainable CDEMA Participating States through Comprehensive Disaster Management".

The Caribbean Disaster Emergency Management Agency (CDEMA) has been particularly engaged in these efforts, namely with the development of the Enhanced CDM Strategy and Programming Framework (CDM) and in strengthening regional and national capacities. Also the Caribbean Development Bank (CDB) has developed a strategic and proactive approach to Disaster Risk Management (DRM) in order to avoid further cycles of vulnerability and better secure its investments in the region. However addressing prevention, mitigation and preparedness to natural hazards has proven complex as it is still a slowly emerging issue in the policy agenda in the region, in particular among Ministries of Finance and Planning, and in linking national action with community level needs and priorities.

The Programme, of which this particular contract is part, falls under the Caribbean component of the 10th EDF Intra-ACP Cooperation Strategy (2008-2013), in which the ACP Group and the EU recognise the need to increase efforts with regard to ex ante Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA). It is also anchored in the EU's general and specific guidelines on disaster resilience.

In this regard, it responds directly to the implementation priorities B (Regional Action Plans on DRR) and C (Integration of DRR into EU's External Action) of the EU Strategy for Supporting DRR in Developing Countries – Implementation Plan and 3 of the 5 priorities of the Global Climate Change Alliance (GCCA): adaptation to climate change, promotion of disaster risk reduction (DRR) and integration of climate change into poverty reduction efforts.

It also echoes the recommendations of the European Communication EU Approach to Resilience: learning from food security crises, in particular, on the following aspects: i) anticipation of crises by assessing risks, ii) focus on prevention and preparedness and iii) enhancement of crisis response.

Related programmes and other donor activities

The Programme, complements current national and regional EDF envelopes, on-going Intra-ACP programmes from the 9th and 10th EDF, the Directorate-General for Humanitarian Aid and Civil

Protection (DG ECHO) DRR Programme (DIPECHO) for 2013 & 2015, as well as activities supported by other donors including CDB, Canada, Australian Agency for International Development (AusAID), the United Kingdom's Department for International Development (DFID), the United Nations Development Programme (UNDP) and the United States Agency for International Development (USAID).

CDEMA had number of initiatives that complement and/or complemented the Programme, among which are the aforementioned ACP-EU Natural Disaster Facility (NDF with EUR 1.8 million) and the "CDM Harmonized Implementation Programme" (HIP Phase I, with USD 14.8 million, supported by CIDA, AusAID, DFID and CDEMA's participant states). Activities envisioned under the Programme, and as requested by CARIFORUM's members, have been developed with a view to carrying on HIP's activities after its end date, December 2014. CDEMA also supports CARICOM's Regional Climate Change Strategy and Implementation Action Plan (also supported by the EU and the CDB), which includes a significant component on DRR, that this Programme will be aligned with.

CDB, on the other hand, has identified support to DDR and CCA among its strategic objectives. As such, the Programme has also been designed to complement its operations in the region, through: i) the Community Disaster Risk Reduction Fund (CDRRF), supported by CIDA and DFID, a multi-donor Trust Fund, focused on reducing vulnerability at the community/local level; ii) the Climate Action Line of Credit, which the CDB has received from the European Investment Bank (EIB), to address the severe vulnerability of CDB's borrowing member countries to the effects of climate change.

The Programme also complements DIPECHO for the Caribbean region (EUR 8.5 million for 2013 7 9.3 million for 2015). For 2015-2016, projects funded include promoting early warning systems, strengthening health infrastructure, retro-fitting shelters and school facilities to withstand disasters and improving awareness of the risks linked to earthquakes, tsunamis and hurricanes. 400 000 people should now be more resilient to natural hazards in Haiti, the Dominican Republic, Cuba, Jamaica, Dominica, Saint Vincent & the Grenadines, Guyana, Grenada, Saint Lucia, Suriname and Trinidad & Tobago.

The UNDP implemented the Overseas Countries and Territories (OCTs) Regional Risk Reduction Initiative that ended in December 2012 (funded by the EU with EUR 4.9 million between 2008 and 2012). The project sought to address the risk and exposure of the English and Dutch Overseas Countries and Territories (OCTs) in the Caribbean by providing a network of regional infrastructure, programmes, policies and protocols to strengthen their capacity to predict and prepare for natural hazards.

The EU-financed Global Climate Change Alliance (GCCA) also supports the Caribbean Community Climate Change Centre (CCCCC), which is funding improved climate monitoring, data retrieval and space-based tools for DRR, which includes the installation of an additional 106 hydro-meteorological stations and 6 CREWS (Coral Reef Early Warning Stations) in the region. These outputs may be instrumental in relation to this Programme's Result 2 and CDB will seek coordination with the CCCCC in this regard. Also the global GCCA's lessons and experiences on mainstreaming CCA and DRR will inform this Programme, in particular through the training package it has developed for CCA. This can be revisited to fully take into account of DRR and propose an integrated mainstreaming approach to the two issues.

The EU also finances EUR 60 million to the World Bank's Global Facility for Disaster Reduction and Recovery (GFDRR) Multi-donor trust fund and Single donor trust fund (54.5 M€) from 2011 to 2017. Under this trust fund, #EUR 12,5 million (estimate) are available for the Caribbean. Some of projects financed in the Caribbean include: Mainstreaming DRM into sectoral planning (Haiti, Dominican Republic); Data generation, risk information and assessment (at the national and regional levels); Preparation of DRM investments (Belize, Dominica, Saint Lucia); DRM communication and advocacy (Guyana); Technical capacity building (regional projects, including two with UNDP); Technical assistance in disaster risk financing (Belize, Jamaica, Grenada and Saint Lucia); Post-disaster assessments (Saint Lucia, Saint Vincent and the Grenadines). Coordination between the GFDRR activities and the programme activities has to take place during implementation of the programme.

1.5 Project description

The *ACP-EU Natural Disaster Risk Management in the CARIFORUM Programme* entails the delivery of a range of activities across three (3) Result Areas:

Result 1 - Capacity of National Disaster Offices (NDOs) and CDEMA's Coordinating Unit strengthened for implementation of Comprehensive Disaster Management (CDM). Under this result the Programme will strengthen the capacities of National Disaster Offices (NDOs) and other relevant national agencies in the implementation of regional and national CDM Strategies and in prioritized technical areas and strengthen CDEMA Coordinating Unit's capacities, as the main coordinating body for CDM in the region.

To ensure implementation of this particular result, a direct grant has been awarded to the Caribbean Disaster Emergency Management Agency (CDEMA). The main fields of intervention will be regional coordination and capacity building. The main following activities have been foreseen:

- Provision of training to NDOs and other relevant national and regional agencies that help to strengthen DRM capacity at the national level in a variety of areas already identified as priorities and gaps related to mitigation, preparedness, and response to natural hazards and the effects of climate change;
- Strengthening NDOs and supporting their implementation of the regional and national CDM Strategies through CDEMA's own mechanisms to address national level capacity and resource deficits to accelerate CDM implementation;
- Strengthening the CDEMA Coordinating Unit by providing it with direct support for enhancing its capacities for its regional CDM coordination and technical backstopping role in CDM, through Technical Assistance.

Result 2 - National, local and regional resilience through strengthened early warning, national risk profiling and community-based DRR and CCA. Under this result, the Programme will strengthen community/local-level capacity for resilience in CARIFORUM countries to the challenges posed by natural hazards and climate events in a number of identified and prioritized areas. It will also improve institutional capacities at regional and national levels for early warning, data analysis, modelling and practical application².

This part of the action is implemented by the Caribbean Development Bank (CDB) through Contribution Agreement. The main following activities have been foreseen to reach this particular result:

- Community-based DRR and CCA activities building upon on-going regional and national initiatives (including lessons learned from community-based DRR and CCA activities);
- Replication/scaling up national and community level experiences for disaster mitigation and CCA;
- Strengthening early warning systems and related capacities at regional and national levels, building on recent progress made through on-going EU-funded projects and others;
- Data collection, sharing and utilization in the form of modelling and other aspects for decision making and planning;
- Undertaking of national risk profiles in countries in the region to provide an evidence-based understanding of the type, magnitude and special distribution of disaster risks to which states are most prone and assist in providing valuable input to development planning decision-making and strategic planning for response.

Result 3 - Sector resilience strengthened in key public policy sectors, through DRR and CCA mainstreaming.

Under this result, the Programme will support the removal of barriers and create opportunities for mainstreaming DRR and CCA in the public sector, particularly, at the level of Ministries of Finance, Planning and Economic affairs. It will also improve the integration of DRR and CCA considerations into planning and decision-making frameworks at national and sub national levels in selected CARIFORUM countries and make critical infrastructure in the transportation and water sectors in CARIFORUM countries more resilient to natural hazards and better prepared for climate change and climate variability.

This part of the action is also be implemented by the Caribbean Development Bank (CDB) through Contribution Agreement. The main following activities have been foreseen to reach this particular result:

- Conducting a Knowledge, Attitude and Perception (KAP) study of the relevant Ministries in all the participating countries;
- Based on results of KAP, identifying and developing a mainstreaming work plan including institutional and capacity strengthening (on the job learning, training, etc.), strategic approaches (communication, advocacy, etc.), evidence-based policy making and budgeting for DRR and CCA (assessments, economic analysis, etc.), and tools necessary for mainstreaming DRR and CCA in relevant ministries;
- Review and adaptation of risk and resilience decision making standards and approaches for roads and transport infrastructure and water and waste water utility systems;
- Development of a regional road resilience and regional water utility resilience index;
- Training of assessors in regional road resilience and regional water utility resilience index;
- Pilot application of adapted decision making tools in CARIFORUM countries;
- Identification, preliminary design and costing of feasible technologies and techniques for CCA and resilience building for participating pilot countries;
- Pilot mainstreaming in 3 countries.

Dominican Republic Component - The Dominican Republic is a member-state of the CARIFORUM and thus among the expected beneficiary countries of this Intra-ACP financed Programme. However, this partner country is not a member of CDEMA or of the CDB. To address this issue, it has been agreed by all the parties that the Dominican Republic would benefit from the Programme through actions to be contracted by its National Authorising Officer (NAO), in line with the programme's main objective and purpose. An amount of money earmarked for this specific component, which will be implemented at in-country level and within the national remit of the Dominican Republic's authorities.

Programme implementation to date:

The ACP - EU Natural Disaster Risk Management in the CARIFORUM programme Financing Agreement was signed by the beneficiary on 4th February 2014. Implementation period is five years.

To date, the following contracts have been signed under the programme:

- Grant Contract: "*Strengthening of the Capacity of the CDEMA Coordinating Unit and Participating States for Implementation of Comprehensive Disaster Management*" – CDEMA – **Euro 4,470,000** - 01/09/2014 to 31/12/2018 - Implementation of Result 1.
- Contribution agreement: "*ACP-EU-CDB Natural Disaster Risk Management in CARIFORUM Countries (CDB)*" – CDB – **Euro 12,294,300** - 24/07/2014 to 31/12/2018 - Implementation of Result 2&3.

- Service Contract: "*Communication and Outreach for the ACP-EU Natural Disaster Risk Management Programme in the CARIFORUM*" – Atevia – **Euro 179,450** – 15/09/2016 to 14/09/2018.
- Programme Estimate n°1, "*Fortalecimiento de las estructuras organizativo-funcionales de la gestión de riesgo ante desastres en la Republica Dominicana*" – **Euro 1,126,040** - 04/02/2014 to 17/12/2016.

The programme work implementation plan and progress reports will be made available to the contractor at the beginning of the assignment.

1.6 Target groups

The ACP-EU Natural Disaster Risk Management in the CARIFORUM programme Stakeholders are as follow:

- Member States of CARIFORUM through: the National Disaster Management
- Agencies/Offices (national and sub-regional focal points advising on and implementing strategies and activities at national level) and the line ministries of member states, in particular those of Finance and Planning (instrumental for improved cross-sector national advocacy, integration and effective and sustainable resource allocation for DRM and CCA) and those responsible for Climate Change issues;
- Citizens and communities impacted by meteorological, geological, climate related and other natural hazards in Caribbean Member States;
- Non-State actors including NGOs, civil society and the private sector which operate at the community and sector levels in those Member States;
- Regional policymakers, such as CARICOM Institutions, such as the Council for Trade and Economic Development (COTED);
- Regional specialist institutions like the Caribbean Meteorological Organization (CMO) and the Caribbean Institute for Meteorology and Hydrology (CIMH), the University of the West Indies Disaster Risk Reduction Centre (DRRC) and Seismic Research Centre, the Caribbean Community Climate Change Centre (CCCCC) as well as other technical regional institutions; Other ACP sub-regional organizations with a mandate on DRR that could benefit from lessons learned from this Programme, namely the members of the ACP-EU Natural Disaster Facility.
- Development partners present in the region.

2 DESCRIPTION OF THE ASSIGNMENT

2.1 Global Objective

The overall objective of the *ACP-EU Natural Disaster Risk Management in the CARIFORUM* programme of which this contract will be a part is to reduce vulnerability to long term impacts of natural hazards, including the potential impacts of climate change, thereby achieving regional and national sustainable development and poverty reduction goals in the CARIFORUM States.

And the purpose of the programme is to strengthen regional, national and community level capacities for disaster risk reduction, preparedness, management and coordinated response to natural hazards and the effects of climate change.

2.2 Specific Objective

The main objectives of the mid-term evaluation are to provide the relevant external co-operation services of the European Union, the CARIFORUM and the programme implementing partners with:

- an overall independent assessment of the past performance of the *intervention (ACP-EU Natural Disaster Risk Management in the CARIFORUM programme)*, paying particularly attention to the results of the project against its objectives;
- key lessons and recommendations in order to improve current and future action.
- recommendations for a possible follow-up programme to be financed under the 11th EDF Regional programme and/or other source of funding.

Mid-term evaluation main users

A Programme Steering Committee (PSC) chaired by CARIFORUM, has been established to advise and provide overall strategic direction of the programme. CDEMA functions as the secretariat of the Project Steering Committee (PSC) in support of CARIFORUM.

The PSC has the overall responsibility for administrative decision-making at the programme level. At the level of the Result Areas, the implementing agencies have established their own governance arrangements to oversee the technical aspects of implementation. These governance arrangements also seek to facilitate technical cooperation between the four Result areas so as to maximize opportunities for synergies and exchange of technical expertise and experiences.

The Five (5) quorum members of the PSC are the primary users of the mid-term evaluation:

- CARIFORUM Secretariat;
- Caribbean Disaster Emergency Management Agency (CDEMA) Coordinating Unit (CU) ;
- Dominican Republic Department of Cooperation and Regional Integration;
- Caribbean Development Bank (CDB);
- EU Delegation to Barbados and the OECS.

2.3 Required Outputs

The mid-term evaluation will assess the programme using the standard evaluation criteria, namely: relevance, effectiveness, efficiency, sustainability and impact.

The consultant is required to use his professional judgement and experience to review all relevant factors and to bring these to the attention of the Programme Steering Committee members.

In particular, without being limited to, the mid-term evaluation will provide the Partners with sufficient information to:

- Make an overall independent assessment about the performance of the programme;
- Assess implementation status the overall performance of the programme against work-plan and logical framework.
- Identify and discuss the problems encountered, the solutions adopted and formulate concrete proposals on how existing rationale/design of the programme should be adapted or improved to prevent procedural bottlenecks (if any) and to deliver the results.
- Assess the overall visibility of the Action (visibility plan and its concrete implementation), if it could be enhanced (and how);
- Asses the overall coordination and coherence of the programme with other projects financed by the EU and/or other donor partners in the sector,
- Support CDEMA in planning of future EU financed programme in the sector, including proposing follow-up concrete actions to be financed under the on-going 11th EDF regional programme.

2.4 Requested services

Systematic and timely evaluation of its programmes and activities is an established priority of the EU. The focus of evaluations is on the assessment of achievements, the quality and the results of interventions in the context of an evolving cooperation policy with an increasing emphasis on result-oriented approaches.

Evaluations should provide an understanding of the cause and effects links between activities and results.

Evaluations should serve decision making, learning and management purposes.

Financing Agreement REG/FED/024-192 Art.4.2 foresees an evaluation of the *ACP-EU Natural Disaster Risk Management in the CARIFORUM* programme to be conducted by independent consultancy at the mid-term and again at the end of the programme.

This technical assistance is being requested to undertake the mid-term evaluation of the *ACP-EU Natural Disaster Risk Management in the CARIFORUM* programme financed under the 10th EDF Intra-ACP envelope.

The evaluation process will be carried out in 3 phases: (1) an Inception Phase/ Desk Phase, (2) a Field Phase (mission in the region) and a (3) Synthesis Phase. Deliverables in the form of reports and/or slide presentations should be submitted at the end of the corresponding stages.

<i>Phases of the evaluation:</i>	<i>Methodological Stages:</i>	<i>Deliverables</i>
1. <u>Inception/Desk Phase</u>	<ul style="list-style-type: none"> • Structuring the evaluation • Data Collection • Analysis 	➤ <i>Inception report/Note</i>
2. <u>Field Phase</u> (Mission in the region)	<ul style="list-style-type: none"> • Data collection • Analysis • Verification of hypothesis/preliminary findings 	➤ <i>Intermediary report / Note</i> ➤ <i>Slide Presentation</i>
3. <u>Synthesis phase</u>	<ul style="list-style-type: none"> • Analysis and Judgements • Drafting and Finalisation of the report • Dissemination of the findings 	➤ <i>Final report</i>

2.4.1 Inception/Desk phase

In the inception/Desk phase, the relevant documents will be reviewed (see Annex I) and the evaluation team will analyse the intervention logic.

On the basis of the information collected the evaluation team should:

- Analyse systematically the relevant available documents.
- Review the development co-operation context.
- Comment on /analyse the intervention logic/logical framework.
- Propose a set of evaluation questions for the mid-term evaluation, justifying their relevance and identify provisional indicators and their means of verification.

- Present an indicative methodology for the overall assessment of the project/programme.
- Propose the work plan.
- Confirm the final schedule for the evaluation exercise.

During the inception/Desk stage a report/note shall be prepared (see section 5).

2.4.2 Field phase

Before going to the field, the evaluation team must submit its detailed work plan, including the list of people to be interviewed, and other data collection tools to be used, dates of visit, itinerary, and name of team members in charge. If any significant deviation from the agreed work plan or schedule is perceived as creating a risk for the quality of the evaluation, these should be immediately discussed with the evaluation manager.

In the first days of the field phase, the evaluation team shall hold a briefing meeting with the EU programme manager at the Delegation in Barbados.

The evaluation team shall also plan a 2/3 days field visit to the Dominican Republic in order to meet with the EU programme manager at the Delegation and other relevant stakeholders.

During the field phase, the evaluation team shall ensure adequate contact and consultation with, and involvement of the different stakeholders; working closely with the relevant government authorities and agencies; using the most reliable and appropriate sources of information.

At the end of the field phase, the evaluation team shall summarise its work, discuss the reliability and coverage of data collection, and present preliminary findings in a meeting with the programme PSC quorum members. The meeting could be organised at the EU delegation in Barbados and make use of video conferencing equipment available.

Note: the field phase shall include two 2/3 days field visits to two Caribbean countries, other than Barbados and the Dominican Republic (e.g. Jamaica and Saint Vincent & the Grenadines). The purpose of the field visit will be to meet with relevant stakeholders and possibly visit some on-going programme related activities.

2.4.3 Synthesis phase

This phase is mainly devoted to the preparation of the draft final report. The evaluation team will present in a single document their findings, conclusions and recommendations in accordance with the agreed structure (Annex II).

The evaluation team will make sure that:

- Their assessments are objective and balanced, statements accurate and verifiable, and recommendations realistic.
- When drafting the report, they will acknowledge clearly where changes in the desired direction are known to be already taking place.

The evaluation team will present (one day presence maximum is required) in Barbados (if the team members are not based in the region, the meeting will be organised by video-conference) the draft final report to the reference Group to discuss the draft findings, conclusions and recommendations. On the basis of comments expressed by the reference group members, the evaluation team has to amend and revise the draft report. While potential quality issues, factual errors or methodological problems should be corrected, comments linked to diverging judgements may be either accepted or rejected. In the latter instance, the evaluation team should explain the reasons in writing.

2.5 Language of the Specific Contract

The language of the contract shall be English.

2.6 Subcontracting

Sub-contracting is authorised under this specific contract.

3 EXPERTISE REQUIRED

3.1 Number of requested experts per category and number of man-days per expert or per category

	Category	Inception	Field*	Synthesis	TOTAL
Evaluation Team Leader	I	3	18	3	24
DRM Specialist	I	3	18	3	24
TOTAL		6	36	6	48

* including missions to Dominican Republic and other selected Caribbean countries.

3.2 Profile per expert or expertise required

3.2.1 Evaluation Team Leader - Cat I

He/she has a Masters' degree in public policy, international development studies, social science, disaster management, or related fields.

He/she must have at least a twelve (12) years general experience in international development.

He/she must have expertise in managing complex evaluation processes. Experience in carrying out EU financed project/programme evaluations is compulsory.

He/she must possess a high level of fluency in English (spoken and written).

Experience with EDF procedures is recommended.

3.2.2 DRM Specialist - Cat I

He/she has a Masters' degree in disaster management, or related fields.

He/she must have at least a twelve (12) years general experience in areas related to disaster management.

He/she must have expertise in designing and implementing complex disaster management related projects/programmes.

Experience in the region is compulsory.

He/she must possess a high level of fluency in English (spoken and written). Experience with EDF procedures is recommended.

Spanish is compulsory for at least one of the experts. Knowledge of French would also be an advantage.

4 LOCATION AND DURATION

4.1 Starting Period & Duration

Expected starting date is 12/12/2016 with a maximum seven (7) days mobilisation period.

An implementation schedule shall be proposed with the offer.

4.2 Location(s) of assignment

The main location for the assignment is Barbados. Nevertheless, the evaluation team will be required to visit the Dominican Republic and two additional beneficiary countries. The consultant shall propose the two countries, including one OECS country to be visited in its methodology (e.g. Jamaica and Saint Vincent & the Grenadines). Approval and/or final decision will be taken during inception with evaluation manager.

The programme beneficiary countries include: Antigua and Barbuda, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Republic of Suriname, Republic of Trinidad and Tobago, Saint Christopher (St. Kitts) and Nevis, Saint Lucia, St. Vincent & the Grenadines, The Bahamas and, The Dominican Republic.

5 REPORTING

5.1 Reporting requirements

The reports must match high quality standards. The text of the report should be illustrated, as appropriate, with maps, graphs and tables; a map of the project's area(s) of intervention is required (to be attached as Annex).

The evaluation team will submit the following reports:

	Number of Pages (excluding annexes)	Main Content	Timing for submission
Inception/Desk report	15 pages	<ul style="list-style-type: none"> • Intervention logic (if necessary) • Evaluation questions, Judgement criteria and Indicators • Encountered and anticipated difficulties • Detailed evaluation approach and workplan • Field phase detailed plan 	End of Inception phase
Draft Final report	60 pages	<ul style="list-style-type: none"> • <u>Cf. detailed structure in Annex II</u> • Answer to the evaluation questions • Synthesis of all findings, conclusions and recommendations into an overall assessment 	End of Synthesis phase
Final report		<ul style="list-style-type: none"> • Same specifications as above, incorporating any comments received from the concerned parties on the draft report 	

		that have been accepted <ul style="list-style-type: none"> • Briefing note (max 5 pages) including recommendations for a possible follow-up programme to be financed under the 11th EDF Regional programme and/or other source of funding. 	
--	--	--	--

5.2 Submission and approval of reports

All reports will be in English using Font Arial or Times New Roman minimum 11 and 12 respectively, single spacing. Each report will be submitted first in electronic version as a draft.

For each report/output, the Evaluation manager will submit comments within 15 calendar days. The revised reports/outputs incorporating comments received from the concerned parties shall be submitted within 15 calendar days from the date of receipt of the comments. The evaluation team should provide a separate document explaining how and where comments have been integrated or the reason for non-integration of certain comments.

The Final Report (final version) will be provided in 5 paper copies and in electronic version.

6 INCIDENTAL EXPENDITURE

The incidental expenditure foreseen under this contract includes the followings:

- Travel costs for the experts' mobilisation to and demobilisation from the location of the assignment i.e. Barbados (i.e. max 5 return international travel plane tickets).
- Travel cost for mission in Dominican Republic,
- Travel cost for missions in two additional countries (e.g. Jamaica and Saint Vincent & the Grenadines).

Local transportation cost in the countries, including Barbados is deemed to be included in the consultant's per-diem.

7 MONITORING AND EVALUATION

At the level of the contract of which these Terms of Reference forms an integral part, the briefings and reports shall be the basis on which the performance is monitored and evaluated. Their timely delivery and quality will be monitored closely by the Delegation in Barbados and other stakeholders.

The following indicators shall be used to assess the performance of the Consultant:

- **Quality of output documents:** The quality of output documents shall be judged by their clarity, the depth to which they comprehensively cover the subject.
- **Format:** These reports shall be completed in the standard formats used by the EU.
- **Meeting of deadlines** for outputs.

8 ADMINISTRATIVE INFORMATION & SPECIAL REQUIREMENTS

8.1 Methodology

For the purpose of the evaluation, the tenderers are required to submit with their offer a succinct methodology (max 10 pages) detailing how they intend to carry out the assignment. The methodology shall also include a proposed time schedule to carry out the evaluation within a 60 days period.

8.2 Interviews

Interviews may be conducted by phone with the proposed team leader of all the admissible offers. Date and time will be communicated at a later stage to the Framework Contractor.

8.3 Type of Specific Contract

The present contract is a fee-based contract.

8.4 Human resources

The consultant shall provide the staff indicated in his technical proposal. The European Union Delegation reserves the right, for the duration of the works, to refuse or have replaced any staff whose technical capacities or behaviour are deemed inadequate.

8.5 Conflict of interest

The Framework contractor and the evaluation team members must not have had a direct role in the planning or implementation of the *ACP-EU Natural Disaster Risk Management in the CARIFORUM* programme. In case of doubt in the course of the assignment, the Framework contractor must inform the Contracting Authority as soon as possible of any risk of conflict of interest.

ANNEX I: INFORMATION THAT WILL BE PROVIDED TO THE EVALUATION TEAM

- Programme Financing Agreement
- Programme work implementation plan
- Programme progress reports
- Regional Comprehensive Disaster Management (CDM) Strategy & Programme framework 2014 – 2024
- Contracts between EU and implementing partners and progress reports
- Steering Committees' minutes

Note: The evaluation team has to identify and obtain any other document worth analysing, through its interviews with people who are or have been involved in the design, management and supervision of the project / programme. Resource persons to collect information and data are to be sought in the EC services, implementing body and / or public service in the partner country.

ANNEX II: STRUCTURE OF THE EXECUTIVE SUMMARY & FINAL REPORT

The final report should not be longer than the number of pages indicated. Additional information on overall context, programme or aspects of methodology and analysis should be confined to annexes.

The cover page of the report shall carry the following text:

‘‘ This evaluation is supported and guided by the European Commission and presented by [name of consulting firm]. The report does not necessarily reflect the views and opinions of the European Commission’’.

The main sections of the evaluation report are as follows:

Executive Summary

A tightly-drafted, to-the-point and free-standing Executive Summary is an essential component. It should be short, no more than five pages. It should focus on the key purpose or issues of the evaluation, outline the main analytical points, and clearly indicate the main conclusions, lessons to be learned and specific recommendations.

1. Introduction

A description of the project/programme and the evaluation, providing the reader with sufficient methodological explanations to gauge the credibility of the conclusions and to acknowledge limitations or weaknesses, where relevant.

2. Answered questions/ Findings

A chapter presenting the evaluation questions and conclusive answers, together with evidence and reasoning.

3. Overall assessment

A chapter synthesising all answers to evaluation questions into an overall assessment of the project/programme. The detailed structure of the overall assessment should be refined during the evaluation process. The relevant chapter has to articulate all the findings, conclusions and lessons in a way that reflects their importance and facilitates the reading. The structure should not follow the evaluation questions, the logical framework or the seven evaluation criteria.

4. Conclusions and Recommendations

4.1 Conclusions

This chapter introduces the conclusions of the evaluation. The conclusions should be organised in clusters in the chapter in order to provide an overview of the assessed subject.

A paragraph or sub-chapter should pick up the 3 or 4 major conclusions organised by order of importance, while avoiding being repetitive. This practice allows better communicating the evaluation messages that are addressed to the Commission.

If possible, the evaluation report identifies one or more transferable lessons, which are highlighted in the executive summary and can be presented in appropriate seminars or.

4.2 Recommendations

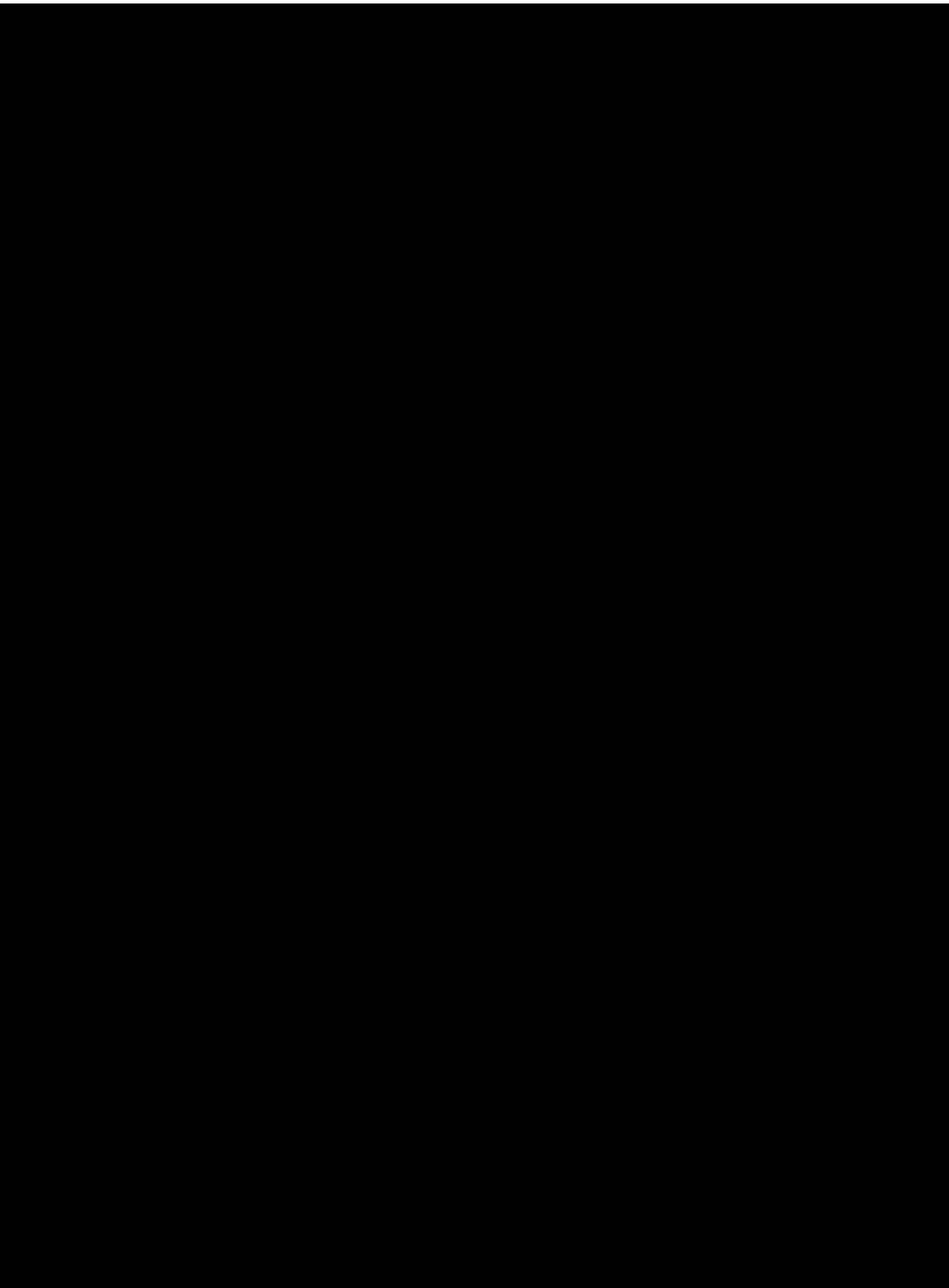
They are intended to improve or reform the project/ programme in the framework of the cycle under way, or to prepare the design of a new intervention for the next cycle.

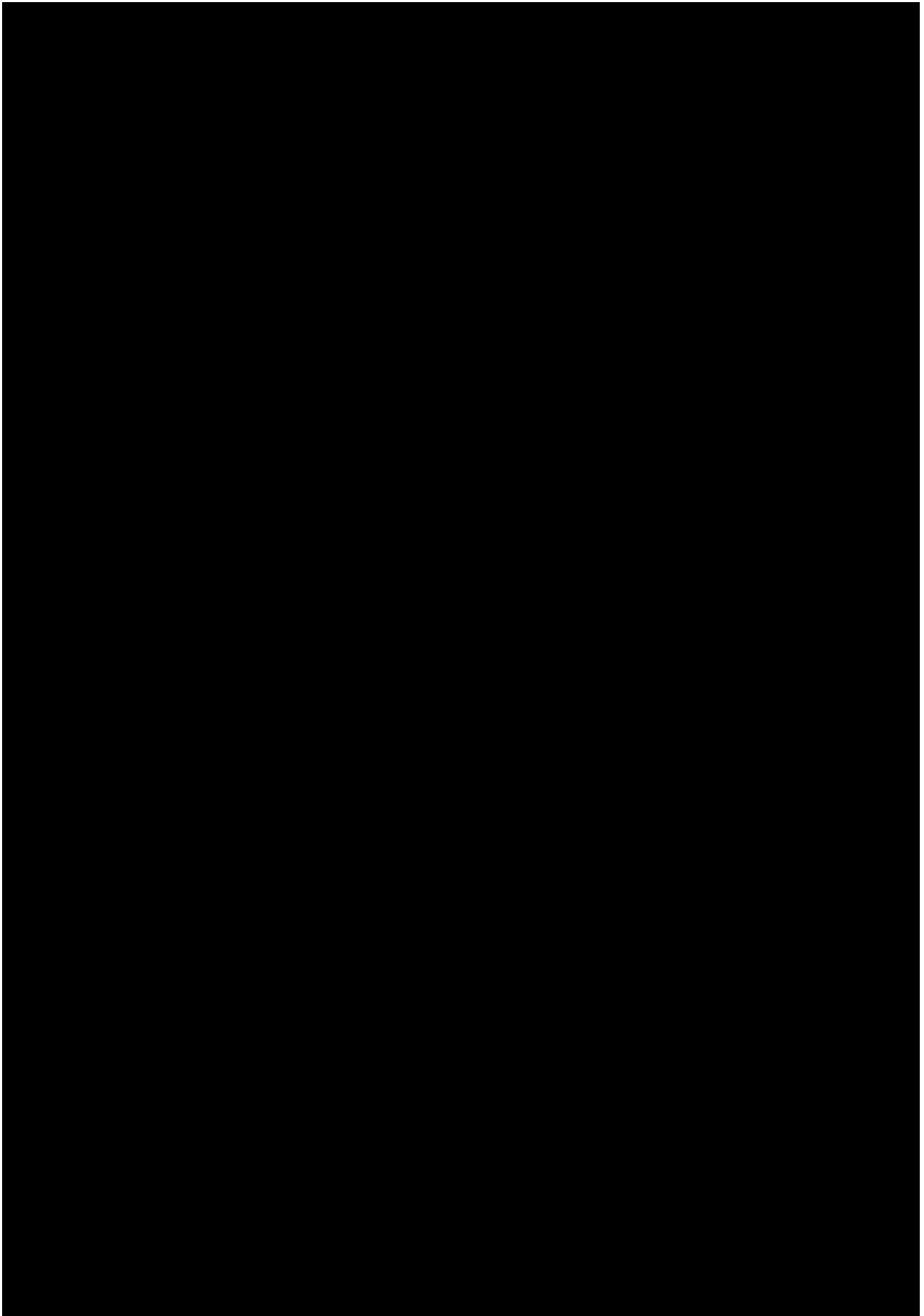
Recommendations must be clustered and prioritised, carefully targeted to the appropriate audiences at all levels, especially within the Commission structure.

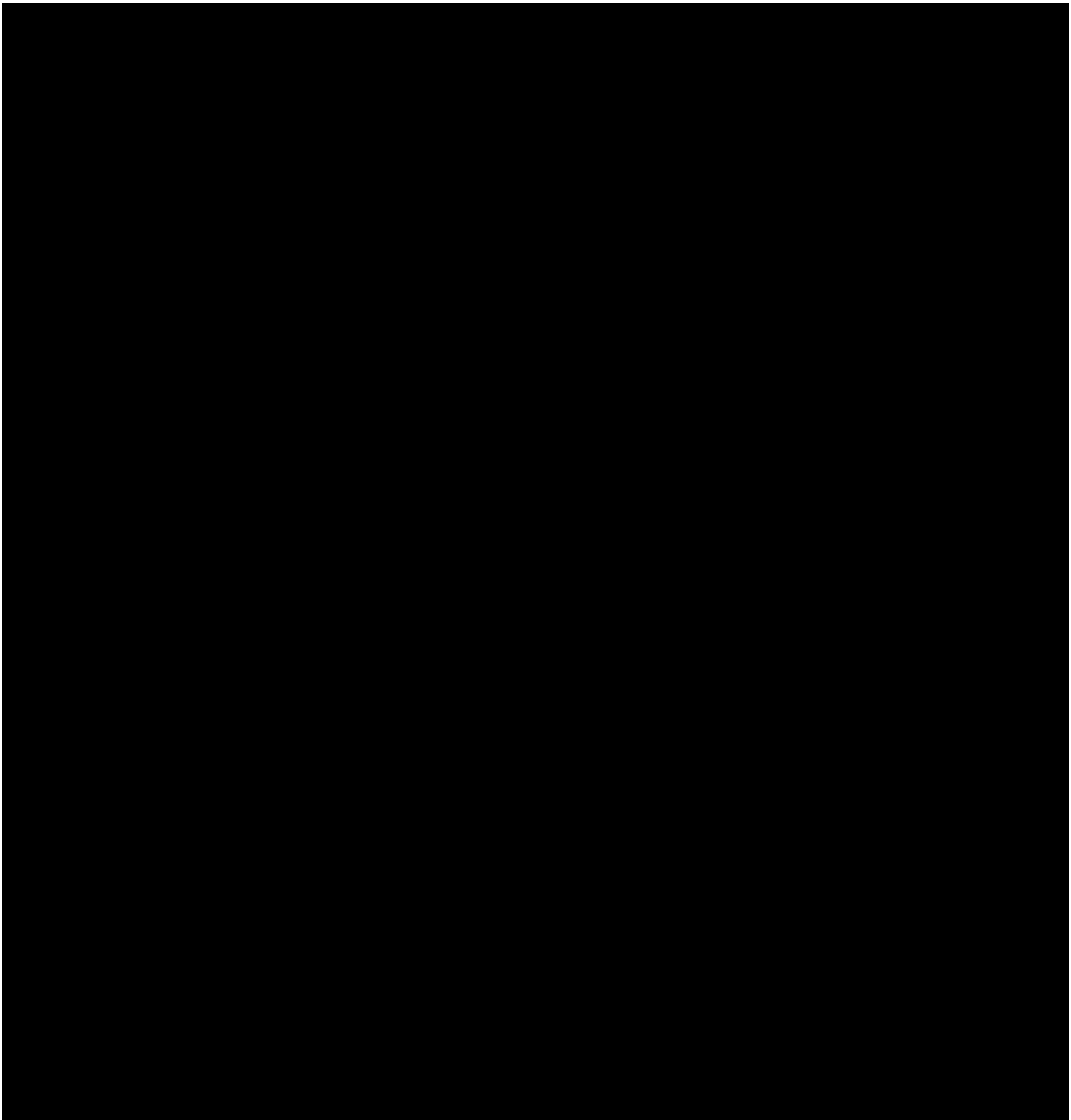
5. Annexes of the report

The report should include the following annexes:

- The Terms of Reference of the evaluation
- The names of the evaluators and their companies (CVs should be shown, but summarised and limited to one page per person)
- Detailed evaluation method including: options taken, difficulties encountered and limitations. Detail of tools and analyses.
- Intervention logic / Logical Framework matrices (original and improved/updated)
- Map of project area
- List of persons/organisations consulted
- Literature and documentation consulted
- Other technical annexes (e.g. statistical analyses, tables of contents and figures)
- Detailed answer to the Evaluation questions, judgement criteria and indicators (evaluation matrix)







Evaluation matrix: An evaluation matrix will be developed by the evaluation team. This matrix will include the main elements of project formulation, project implementation and project results and presents the structure of the evaluation findings presentation. Evaluation aspects and elements will be developed for the key evaluation questions linked to the OECD standard evaluation criteria (Relevance, Effectiveness, Efficiency, Impact and Sustainability) and the EU specific criteria (Coherence and Added Value). For each aspect/element, an analysis of the strengths and weaknesses based on the document and field findings will be undertaken by the evaluation team. The mission will propose a **qualitative performance indicator** by rating the project achievements at the different levels for each evaluation criteria. These rating categories will include:

Highly satisfactory (HS)	The project had no shortcomings in the achievement of its objectives
Satisfactory (S)	The project had minor shortcomings in the achievement of its objectives

Moderately satisfactory (MS)	The project had moderate shortcomings in the achievement of its objectives.
Moderately unsatisfactory (MU)	The project had significant shortcomings in the achievement of its objectives
Unsatisfactory (U)	The project had major shortcomings in the achievement of its objectives
Highly unsatisfactory (HU)	The project had severe shortcomings in the achievement of its objectives

Each evaluation question will be presented in the following table form in the annexed evaluation matrix to ensure easy reading, clear structuring and limitation to the most significant findings:

Question: XXX

Strengths	Weaknesses	Comment
Performance indicator :		

Restitution and discussion of the major findings: The mission proposes to conduct a one- day workshop with the most relevant key stakeholders (incl. the participation via video conference of stakeholders outside Barbados) at the end of the field phase in Barbados to present, discuss and validate the key findings and recommendation of the evaluation mission. The workshop will ensure on one side that key stakeholders agree with the evaluation results and take the ownership and responsibility to implement the recommendations after the evaluation mission. On the other side the workshop will permit the evaluation team to integrate, as part of the participatory approach, the stakeholder opinions in the draft report.

Chronologically, the evaluation will follow the following steps:

- An analysis of the project history, the context and the definition of objectives and expected outcomes.
- An analysis of the design of the project and its relevance in the region and the national contexts, the adequacy with identified problems and needs in the intervention zone.
- An analysis of the implementation, and the results of the project.
- Formulation of conclusions, lessons learnt and recommendations.

The MTE mission will be organised in three phases (see final work plan):

Inception/ Desk phase

During the inception phase (Phase I), the experts will review and analyse the available programme documents, CARIFORUM programming strategic documents, recent relevant EU policies, regional/national planning documents in the climate change and DRM related sectors, documents on ongoing or planned regional initiatives and all kind of useful available documents (programme evaluations, UN initiatives,...). Their analysis will tackle the regional and national level state-of-play on climate change adaptation and mitigation and early warning and disaster preparedness, as well as the impact of previous interventions, ongoing and planned donor funded initiatives, strategies and ongoing initiatives of overlapping regional organisations (CARIFORUM, CDB, CCCCC, ...) and existing regional structures in the Caribbean region in order to assess their performance and identify their stakes and obstacles regarding the EU support to the regional DRM initiative. Through this exercise, the experts will acquire a comprehensive knowledge of the actual programme implementation status, the programming context and the actual state-of-play, permitting to formulate the

evaluation questions of the seven evaluation criteria, to prepare the evaluation matrix and the interview guide for semi-structured interviews during the field mission to the four selected countries.

This phase will furthermore allow elaborating the list of structures to contact, identification of provisional indicators and their means of verification and to affine the indicative methodology for the overall assessment of the programme, the work plan and the final schedule for the evaluation exercise.

During the three days Inception/Desk phase, an inception report, incorporating first findings and the final mission planning, will be prepared and submitted to the EU Delegation in Barbados and the PSC.

Field phase

Upon the approval of the inception report and the final work plan, the experts will start the field phase. This field phase will allow the experts to continue information and data collection focusing on programme implementation by the main regional DRM implementation partners (CDEMA, CDB, NAO of the Dominican Republic, Atevia). Major objective of this phase is to complete document review findings by stakeholder and beneficiary interviews and direct field activity observations to obtain in particular qualitative information on the programme implementation.

The evaluation team will start the field mission with a briefing meeting with the EU programme manager in Barbados and meetings with the key implementation structures (CDEMA, CDB), relevant national authorities and donors in Barbados. Depending on flight schedules, the experts will visit 2/3 days per country in week two separately (1) the Dominican Republic (expert 2) to evaluate the Dominican nationally implemented component and (2) Jamaica, hosting important regional structures and actors, and St. Vincent & the Grenadines, representing one of the highly vulnerable SIDS (expert 1). Travels will be organised preferably the weekends to profit of a maximum of working days for stakeholder meetings and concrete action visits to complete the evaluation matrix and to respond on the requested tasks of the ToR. The phase will allow the identification of the point of view of MS actors and to integrate their observations and recommendations in the evaluation exercise by using the prosed evaluation tools. Returning to Barbados during week 3 of the field phase, the experts will consolidate, analyse and resume their initial findings and proposed recommendations and present them first informally to the PSC and the EU programme manager. After their first comments and amendments, the evaluation team will elaborate the intermediary report with his slide presentation, which should be presented officially and discussed at the end of the field mission to the PSC and key stakeholders. The evaluation mission will request a video conference equipment support of the EU programme manager to allow the participation of stakeholders outside Barbados and to facilitate this important restitution, milestone of the evaluation process.

Recommendation: The consultants propose to modify slightly the initial work plan of the ToR by holding just one one-day workshop at the end of the field mission before the redaction of the draft evaluation report and incorporating written comments from relevant stakeholders in the final report.

Synthesis phase

The Synthesis phase will include:

- The experts submit the draft final report, taking into account the workshop's comments at the end of the field mission phase. The expert will submit the draft final report in line with requirements set out in the ToR of this assignment and the requested structure.
- The team finalises the final report after reception of comments from the relevant stakeholders

MTE – Guiding Questions

Target respondents: National and local institutions/beneficiaries

1. What was your role in the design and formulation of the Programme?
2. To what extent is the Programme addressing priority needs in the region and in your country?
4. What is your role in the implementation of the Programme?
5. What are the most important achievements that the Programme has made so far?
6. How far is this initiative complementary to ongoing actions in the DRM sector in your country?
7. How important is this programme in the context of on-going other DRM initiatives?
8. What are the challenges that have been experienced during the implementation of the Programme?
9. To what extent are the programme outputs adopted, used or replicated by the local governments, NGOs, private sector?
10. How effective have been the partnership arrangement been in implementing the Programme?
11. What is your general impression about the level of success of the Programme so far?
12. What can be done in the future to make regional DRM support more effective in your country?
13. How will the activities continue after the programme end?

Target respondents: Regional implementation institutions and cooperation partners

1. To what extent is the Programme addressing priority needs in the region and the countries?
2. What are the most important achievements that the Programme has made so far?
3. How far is this initiative complementary to ongoing actions in the DRM sector in the region?
4. How important is this programme in the context of on-going other DRM initiatives?
5. What are the challenges that have been experienced during the implementation of the Programme?
6. To what extent are the programme outputs adopted, used or replicated by the local governments, NGOs, private sector?
7. How effective have been the partnership arrangement been in implementing the Programme?
8. What is your general impression about the level of success of the Programme so far?
9. How will the activities continue after the programme end?
10. What are priority future needs to improve DRM in the region?

Annex 4. Log frames

A) Actual log frame

INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE	SOURCES & MEANS OF	ASSUMPTIONS & PRE-CONDITIONS
<p>Overall Objective</p> <p>To reduce vulnerability to long term impacts of natural hazards including the potential impacts of climate change, thereby achieving sustainable development and poverty reduction goals in the CARIFORUM States.</p>	<p>Percentage variation of the average value of "damages and losses" after a small event</p>	<p>Country reports of impacts by hazards</p>	<ul style="list-style-type: none"> ❖ The political buy-in demonstrated thus far by governments and sub-regional organisations. ❖ Advocacy at regional and national level is continued namely, through CARICOM's <i>Regional Framework for Achieving Development Resilient to Climate Change</i> and at the level of Ministries of Finance, Planning and Economic affairs respectively.
<p>Specific Objective</p> <p>To strengthen regional, national and community level capacities for mitigation, preparedness, management and coordinated response to natural hazards and the effects of climate change</p>			<ul style="list-style-type: none"> ❖ The impact of a disaster event on one or several CARIFORUM member states has the potential to delay or temporarily stop the implementation of Programme activities within the affected countries. The focus of the human resources would be diverted from the implementation of the intervention for a period of time. ❖ Institutional and/or absorption capacity of community, national and regional authorities may be limited.

INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE INDICATORS OF ACHIEVEMENT	SOURCES & MEANS OF VERIFICATION	ASSUMPTIONS & PRE-CONDITIONS
<p>Expected Results (Outcomes)</p> <p>1 - Capacity of CDEMA Participating States and Coordinating Unit (CU) strengthened for Implementation of Comprehensive Disaster Management</p>	<p>Outcome 1.1: Capacities of NDMOs and other relevant national agencies strengthened for CDM implementation. <i>Indicator and Target RI.1: Ten (10) regional stakeholders involved in disaster risk reduction utilizing the PMF of the CDM Strategy 2014- 2024 to inform reporting on CDM implementation. [RO 1.1/I3]</i></p> <p>Outcome 1.2: The CDEMA Coordinating Unit capacities strengthened as the main coordinating body for CDM implementation in the region. <i>Indicator and Target RI.2: Extent to which CDEMA CU utilizes the PMF of the CDM Strategy 2014-2024 to inform reporting on CDM implementation [RO 1.1/I3]</i></p> <p>Outcome 1.3: Capacity of the CDEMA System for Emergency Response Strengthened <i>Indicator and Target RI.3: Seven (7) stakeholders conducting simulation exercises testing multi-hazards. [RO 1.4/I7]</i></p>	<p><i>Indicator 1.1: Source 1 - NDO in CDEMA states Annual Reports</i> <i>Indicator 1.1: Source 2 – CDM Monitor</i></p> <p><i>Indicator 1.2: Source1 - Reports of meetings of the Organs of CDEMA</i> <i>Indicator 1.2: Source 2 – CDM Monitor</i></p> <p><i>Indicator1. 3: Source 1 – CDM Monitor</i> <i>Indicator 1.3: Source 2 – Exercise Evaluation Reports CDEMA</i> <i>Indicator1 3: Source 2 – Exercise Evaluation Reports DR</i></p>	<p><i>The buy-in demonstrated thus far by governments and national disaster offices on implementation of CDM will be translated in the continued allocation of the required human and technical resources to country-level implementation under this intervention.</i></p> <p><i>Key stakeholders are able to absorb the available resources in terms of their demand for technical assistance services, supplies, etc., offered by the project.</i></p> <p><i>The CDEMA CU and the Participating States, particularly the National Disaster Offices, will have sufficient financial resources to retain the human resource capacity that has been built through this intervention.</i></p>

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE INDICATORS OF ACHIEVEMENT	SOURCES & MEANS OF VERIFICATION	ASSUMPTIONS & PRE-CONDITIONS
<p>R2 – Regional, National and Local level Resilience through Strengthened Community-based Disaster Risk Reduction and Climate Change Adaptation, Early Warning Systems and National Risk Profiling</p>	<p>Outcome 2.1: Community-based DRR and CCA activities conducted building upon and replicating/scaling up on-going regional and national initiatives (including lessons learned and experiences from community-based DRR and CCA activities) <i>Indicator and Target R2.1: Number of vulnerable communities in two (2) beneficiary countries have a functioning community resilience mechanism in place. [RO 4.1/I19]</i></p> <p>Outcome 2.2: Early warning systems and related capacities strengthened at regional and national levels, building on recent progress made through on-going EU-funded projects and others . <i>Indicator and Target R2.2: Three (3) beneficiary states having appropriate multi-hazard EWS at national and local levels. [RO 4.3/23]</i></p> <p>Outcome 2.3: National risk profiles undertaken in countries in the region to provide an evidence- based understanding of the type, magnitude and special distribution of disaster risks to which states are most prone and assist in providing valuable input to development planning decision making and strategic planning for response</p>	<p><i>Indicator 2.1: Source 1 – CDB CDRRF summative evaluation report</i> <i>Indicator 2.1: Source 2 - CDM Monitor</i></p> <p><i>Indicator 2.2: Source 1 - Site visits in CDB BMCs</i> <i>Indicator 2.2: Source 2 - Interviews with community residents in CDB BMCs</i></p> <p><i>Indicator 2.3.1: Source 1 Consultants Reports DiMSOG</i> <i>Indicator 2.3.1: Source 2 Consultants Reports (multi-hazard risk profiles)</i></p> <p><i>Indicator and Target R2.3: Two (2) countries with multi-hazard risk profiles developed for implementation.</i></p>	<p>Implementation entities have the technical and administrative capabilities, needed to carry out the management in areas of their respective results</p> <p><i>Identified BMC MTW and Water Utility providers interested and willing to participate.</i></p> <p><i>Political will and readiness of governments and subregional organizations.</i></p>

INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE INDICATORS OF ACHIEVEMENT	SOURCES & MEANS OF VERIFICATION	ASSUMPTIONS & PRE-CONDITIONS
<p>R3 - Sector Resilience Strengthened in Key Public Sectors</p>	<p>Outcome 3.1: Barriers removed and opportunities created for mainstreaming DRR and CCA in the public sector, particularly, at the level of Ministries of Finance, Planning and Economic Affairs. <i>Indicator and Target R3.1: Three (3) beneficiary states applying incentive programmes for Disaster Risk Reduction and Climate Change Adaptation in the Finance Sector. [RO3.3/18]</i></p> <p>Outcome 3.2: Critical infrastructure in the transportation, water sectors in CARIFORUM countries made more resilient to natural hazards and better prepared for climate change and climate variability. <i>Indicator 1 and Target 1 R3.2 Three (3) state agencies with sector specific DRM plans that have been implemented [RO3.1/16]</i> <i>Indicator 2 and Target 1 R3.2 Four (4) beneficiary states with risk reduction strategies in the water and transport sectors.</i></p>	<p><i>Indicator 3.1: Source 1 - Document Review Sector Action Plans in CDB BMCs</i> <i>Indicator 3.2: Source 2 – Reports of the Finance Sector CDB BMCs</i></p> <p><i>Indicator 3.2: Source 1 - Document Review Sector Action Plans in CDB BMCs</i> <i>Indicator 3.2: Source 2 - Site visits in Dominican Republic and CDB BMCs</i></p>	

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE INDICATORS OF ACHIEVEMENT	SOURCES & MEANS OF VERIFICATION	ASSUMPTIONS & PRE-CONDITIONS
<p>R4 - Strengthened organizational and functional structures and capabilities of the National System for Integrated Disaster Risk Management (SN-GIRD)</p>	<p>Outcome 4.1: Organizational and Functional Structure Capabilities of National System for Disaster Risk Management (SN-DRM) strengthened <i>Indicator and Target R4.1: National System for Disaster Risk Management simulation exercises testing multi-hazards shows improvement by 70% in communication and coordination. [RO 1.4/17]</i></p> <p><u>Outcome 4.2:</u> Organization and involvement of relevant stakeholders in the sub-national risk management at the institutional, territorial and private sector levels strengthened <i>Indicator and Target R4.2: At least three (3) municipalities with appropriate early warning systems for vulnerable communities. [RO 4.3/23]</i></p> <p><u>Outcome 4.3:</u> Resilience of critical infrastructure (hospitals, schools and water supplies) in most municipalities vulnerable to risk reduction as a result of natural and human phenomena is enhanced <i>Indicator and Target R4.3: Evidence of certified evaluation of 30% of Critical Infrastructure in vulnerable areas</i></p>	<p><i>Indicator 4.1: Source 1 – Review of Training Reports</i> <i>Indicator 4.1: Source 2: Reports of communication exercises</i></p> <p><i>Indicator 4.2: Source 1 – Reports of exercise, drills or meteorological events</i></p> <p><i>Indicator 4.3: Source 1 – Reports of CI Evaluations</i></p>	<p><i>Institutional capacity and / or absorption of community, national and regional authorities may be limited.</i></p> <p><i>The impact of a major disaster collapsing DRR capacities delays or temporarily stops the implementation of the program</i></p> <p><i>New legal framework for DRR is not approved throughout project's implementation period.</i></p> <p><i>Long-term political support gets weaker reducing long-term expected impact of the project.</i></p> <p><i>Project does not achieve enough local support and local leadership gets weaker after the implementation of the project.</i></p>

Initial log frame (FINANCING AGREEMENT N° REG/FED/024-192)

INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE INDICATORS OF ACHIEVEMENT	SOURCES & MEANS OF VERIFICATION	ASSUMPTIONS & PRECONDITIONS
<p>Overall objective</p> <p>To reduce vulnerability to long term impacts of natural hazards, including the potential impacts of climate change, thereby achieving regional and national sustainable development and poverty reduction goals in the CARIFORUM States.</p>			<ul style="list-style-type: none"> ❖ Overlap with actions financed by other donors and/or EU-funded projects and programmes. ❖ The political buy-in demonstrated thus far by governments and sub-regional organisations. ❖ Advocacy at regional and national level is continued namely, through CARICOM's <i>Regional Framework for Achieving Development Resilient to Climate Change</i> and at the level of Ministries of Finance, Planning and Economic affairs respectively.
<p>Specific objective</p> <p>To strengthen regional, national and community level capacities for mitigation, preparedness, management and coordinated response to natural hazards and the effects of climate change.</p>			<ul style="list-style-type: none"> ❖ The impact of a disaster event on one or several CARIFORUM member states has the potential to delay or temporarily stop the implementation of Programme activities within the affected countries. ❖ Institutional and/or absorption capacity of community, national and regional authorities may be limited.

¹ OVIS, sources of verification, assumptions and the Dominican Republic's specific component will be further streamlined during the Inception Phase of the entire intervention logic to allow for an effective monitoring of the complete programme's implementation.

Expected Results (Outcomes)			
<p>R1 - Capacity of the CDEMA Coordinating Unit (CU) and National Disaster Offices Strengthened for Implementation of CDM</p> <p>R2 - National, Local and Regional Resilience through Strengthened Early Warning, National Risk Profiling and Community-based Disaster Risk Reduction</p> <p>R3 - Sector Resilience Strengthened in Key Sectors</p>	<ul style="list-style-type: none"> ❖ Level of satisfaction of NDOs on whether the CDEMA CU is able to provide more timely technical backstopping ❖ Evidence that CDEMA CU's capacities are of an international standard ❖ #/% of NDOs' demonstrating improved capacity to manage and implement CDM (mitigation, preparedness, response, recovery) in their country². ❖ # of national/regional all-hazard early warning systems in place allowing national disaster management offices (and other relevant agencies) to disseminate standardized alerting messages using multiple media simultaneously to the public, on various natural and man-made hazards, such as floods, tsunamis, hazardous materials spills, and hurricanes through the use of a standard protocol. ❖ # of countries/agencies accessing/utilizing a functional regional data-sharing platform ❖ #/% of national hydro-met agencies utilizing enhanced data analysis software/hardware and capacity for planning and decision-making ❖ # of CARIFORUM countries demonstrating improved resilience/reduced vulnerability, at the community level, to the challenges and the delivery of tangible DRR benefits to men, women, youth, indigenous persons, and/or vulnerable communities. ❖ #/% of CARIFORUM countries utilizing risk profiling information ❖ # of countries with evidence of improved 	<ul style="list-style-type: none"> ❖ Interviews with CDEMA CU, NDOs, communities, development partners ❖ EWS inspection and testing, interviews with key national agencies ❖ Platform inspection and testing, interviews with key national agencies ❖ Document review interviews with key national agencies and ministries ❖ Coordination with the GCCA initiative by the Caribbean Community Climate Change Centre (CCCCC) ❖ Site Visits ❖ Document review ❖ Interviews with key national ministries and agencies ❖ Interviews with Ministries of Finance and Economic Planning 	<ul style="list-style-type: none"> ❖ Regional Objectives require a commitment to cooperation, coordination and exchange and sharing among national agencies. This also requires a basis of collaboration and some commonalities for inter-operability. ❖ Specific Objectives also require a commitment among national and regional (and sectorial) agencies to utilize new capacities/skills and material goods acquired to improve their method and manner of operation. Improvement requires change. ❖ In terms of further integration and mainstreaming, it is assumed that there is at least a window for opportunity and an audience in the key ministries at the national level. The right persons and agencies are to be selected for furthering this critical agenda. ❖ At the national level, the key assumption is that the political buy-in demonstrated thus far by governments and sub-regional organisations in the recognition of the importance of DRM/DRR/CDM/CCA will be translated in the continued allocation of the required human and technical resources to participate in regional and in-country activities. ❖ The Result Areas identified and the actions proposed for each will build on the results and experiences of the CDM Strategy and related interventions and

² Indicators are kept general as specific activities will depend on countries' selection of prioritized actions through the existing responsive mechanisms. Benchmark scales and/or more specific indicators will need to be developed.

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
 Specific Contract N° 2016/379923/1

	<p>integration of DRR/DRM/CCA in national planning</p> <ul style="list-style-type: none"> ❖ % of critical infrastructure in the transport and water sectors in CARIFORUM countries is designed, built and managed according to regional risk resilience standards ❖ # of countries in which critical infrastructure in the transport and water sectors have been designed, built and managed according to regional standards ❖ # of critical infrastructural resilience strengthening works undertaken in the transportation and water sectors in the CARIFORUM region as a result of the Programme ❖ of countries' Ministries of Finance and or Economic Development or Planning demonstrating mainstreaming of DRR/DRM/CCA (such as in National Budget's allocations) 		<p>will provide the opportunity to further mainstreaming CDM and CCA into national development; and for scaling up national and community level experiences for disaster mitigation and CCA.</p> <ul style="list-style-type: none"> ❖ CDB's BMC's/CDEMA's PSs are willing and ready to participate in the Programme and to actively implement national and community level components. This would be linked to the degree to which they understand the Programme's objectives to be reflecting their national needs and priorities, as well as how they are able to access the available resources and participate in the responsive modalities.
Activities	Means:		
<ul style="list-style-type: none"> ❖ Strengthening of the internal administrative, financial and monitoring systems of the CDEMA CU through training of relevant staff, enhancement of procedures, and improvement of associated IT platform ❖ Recruitment of personnel to support enhancement of administrative and financial management, programme management and monitoring at the CDEMA CU. ❖ Provision of training/capacity building to the CU staff, in particular on technical areas related to disaster mitigation, preparedness, response, recovery ❖ Provision of train-the-trainer capacity building for selected staff in the CU to be 	<ul style="list-style-type: none"> ❖ #/% of procedures improved ❖ Evidence of enhancement of IT platform to support administrative and financial management and programme monitoring ❖ Evidence of improvement of administrative, financial management and monitoring at the CDEMA CU ❖ Evidence that CDEMA technical capacity for CDM implementation and monitoring is strengthened ❖ #/ trainings provided to CDEMA CU staff ❖ #/%/type of persons trained ❖ #/type of technical trainings provided to CDEMA CU staff ❖ #/%/type of persons trained 	<ul style="list-style-type: none"> ❖ Document review ❖ Interviews with CDEMA CU staff and trainers ❖ Site visit 	<p>The timely, effective and efficient implementation of this intervention requires that the key stakeholders identified to be able to absorb the available resources in terms of their demand for technical assistance services, supplies, etc., offered by the Programme. The implementing agencies would thus need to commit to engage in a process of continuous dialogue and advocacy with national, sub-regional and regional stakeholders to ensure that the policy commitments are adhered to and financial commitments are realized.</p> <p>The implementing agencies have the</p>

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
 Specific Contract N° 2016/379923/1

<p>able to continue technical training at the regional and national level</p>	<p>❖ # of train-the-trainer training provided ❖ #/type of trainers and technical specialists in the CU</p>		<p>necessary technical and administrative capacities to undertake the administration and management of their specific result areas.</p>
<p>❖ A number of activities will be implemented to address strengthening national CDM capacity and NDO capacity for implementing the CDM strategies. These could include:</p> <ul style="list-style-type: none"> - National CDM programme development and implementation (e.g. national policies and plans); - Responsive support for implementation of priority areas identified in country work programmes; - Website development or enhancement; - Development of public education and awareness materials on multi-hazards - Developing relevant material for disaster management in the school curriculum; - Shelter Management Training and Shelter enhancement; - Search and Rescue Training; - Strengthening Recovery and Reconstruction Planning; - Strengthening Logistics/Operations Planning; - Strengthening EOCs; - Enhancing and stockpiling warehouses; - Fire and Hazardous Materials Management Training; - Disaster Risk Management Training. 	<p>❖ The following list of indicators are presented as examples³:</p> <ul style="list-style-type: none"> - #/% of websites improved; - #/type/quality of public education and awareness materials on multi-hazards developed; - #/type/quality of material for disaster management in the school curriculum developed; - #/type of shelter management training provided and # of persons trained - #/type of shelter enhancements made; - #/type of search and rescue trainings provided and # of persons trained; - #/type of trainings provided for recovery and reconstruction planning and # of persons trained; - #/type of trainings provided for logistics and operational planning and # of persons trained; - # of EOCs improved; - Evidence of EOCs improvements; - # of warehouses improved; - Evidence of warehouse improvements; - #/type of trainings provided for fire and hazardous material management and # of persons trained. <p>❖ #/type of trainings provided to NDOs addressing CDM implementation ❖ #/% of NDOs that received assistance in the implementation of their CDM Strategy</p>	<p>❖ Document review ❖ Interviews with NDOs, and key national ministries and agencies ❖ Site visits</p>	<p>The capacities of the Implementing Entities are adequate for managing the EU rules and procurement procedures so there is no impact on the timeliness of delivery of outputs.</p> <p>National implementing entities have the capacities to prepare proposals so as to drawdown funds from the Programme.</p> <p>The CDRRF established in the CDB quickly initiates implementation thereby also impacting on activities at the community level to be undertaken through this Programme.</p> <p>The Terms of Reference (TOR) for the Programme Steering Committee (PSC) are fully understood by the various stakeholders who are members of this Committee.</p> <p>The proposed modalities for Programme implementation are not cumbersome and will allow for collaboration between the main implementing entities and between these implementing entities and their various stakeholders, especially at the national level.</p>

³These indicators cannot be fully defined at this stage, as countries need to select their respective training areas based on gaps and challenges and other programming.

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

	<ul style="list-style-type: none"> ❖ #/type/quality of CDM products produced for CDM ❖ #/% of NDOs that received adequate financial support to undertake national activities chosen from a pre-identified suite and based on national needs. ❖ Degree to which the procedures and Guidelines supporting the CDF are improved, based on the perspectives of donors/development partners and NDOs 		
<ul style="list-style-type: none"> ❖ Community based DRR and CCA activities will be targeted furthering regional progress made in strengthening local-level resilience which needs continued support and integrating into a recently established relevant and complementary regional Fund and process (the CDRRF). The programme will be implemented through 3 categories of activities: <ul style="list-style-type: none"> - Development and implementation of demonstration projects; - Development of knowledge products, and; - Provision of training to enhance skills and capacities in a number of areas related to DRR/CCA at the community level. 	<ul style="list-style-type: none"> ❖ #/type of projects developed and implemented ❖ #/type of knowledge products produced ❖ Quality of knowledge products produced⁴ ❖ # of persons/communities trained at the community level 	<ul style="list-style-type: none"> ❖ Document review ❖ Interviews with communities 	
<ul style="list-style-type: none"> ❖ A number of activities will be implemented to address strengthening EWS and related capacities at regional and national levels, building on recent progress made through EU funded projects and others. These could include: ❖ Provision of training and hardware/software for data collection, analysis in the form of modelling and other aspects. 	<ul style="list-style-type: none"> ❖ #/type of hardware/software provided to national hydro-met agencies ❖ #/% of hydro-met agencies that received upgraded hardware/software ❖ #/% of hydro-met agencies that received training in data collection and/or analysis ❖ #/type of hardware/software provided to national disaster agencies (and other relevant national agencies) for early warning 	<ul style="list-style-type: none"> ❖ Document review ❖ Interviews with NDOs, and key agencies ❖ Site visits to view/test software/hardware and systems 	

⁴ Benchmark scales will need to be developed during the inception phase.

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

<ul style="list-style-type: none"> ❖ Establishing an improved data sharing platform for the national/regional level ❖ Provision of training and hardware/software for all-hazard early warning ❖ Establishment and dissemination of standardized all-hazard early warning protocol ❖ Enhancing Emergency Broadcast Systems; ❖ Activities would be defined with greater clarity through a responsive process. National and mandated regional agencies will be able to submit proposals for undertaking initiatives in target areas. This will allow the Programme to be flexible and responsive to national and regional needs and priorities and to allow the most appropriate agencies to undertake the work. 	<ul style="list-style-type: none"> ❖#/% of national disaster agencies (and other national agencies) that received upgraded hardware/software for early warning ❖#/quality of data sharing platform established ❖# of countries integrated into data sharing platform. 		
<ul style="list-style-type: none"> ❖ Review and adaptation of risk and resilience decision making standards and approaches for roads and transport infrastructure and water and waste water utility systems; ❖ Development of a regional road resilience and regional utility resilience index; ❖ Training of assessors in regional road resilience and regional utility resilience index; ❖ Pilot application of adapted decision making tools in CARIFORUM countries; ❖ Identification, preliminary design and costing of feasible technologies for CCA and resilience building for participating pilot countries. 	<ul style="list-style-type: none"> ❖#/type of risk and resilience decision making standards and approaches for roads and transport infrastructure and water and waste water utility systems reviewed and adapted ❖Existence of guidelines for incorporating disaster and climate change risk in the design and implementation of roads and transport and water and wastewater infrastructure ❖Existence of CARIFORUM Regional Utility Resilience Index ❖# of assessors are trained in regional road and regional utility resilience index ❖# of pilot applications of adapted decision making tools ❖#/type/quality of costed preliminary design and identification of technologies for building resilience in transport and water sectors in pilot countries 	<ul style="list-style-type: none"> ❖Document review ❖Interviews with key national ministries and agencies 	

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
 Specific Contract N° 2016/379923/1

<ul style="list-style-type: none"> ❖ Undertake national risk profiles in countries in the region to provide an evidence-based understanding of the type, magnitude and special distribution of disaster risks to which states are most prone. ❖ Assist in strategic planning for response and provide valuable input to national development planning decision making. 	<ul style="list-style-type: none"> ❖ # of risk profiles completed ❖ Quality of risk profiles completed, according to beneficiaries⁵ ❖ # of assistance initiatives provided for strategic planning ❖ #/% of countries to which assistance provided 	<ul style="list-style-type: none"> ❖ Document review ❖ Interviews with NDOs and key national ministries and agencies, including Ministries of Finance and Economic Planning 	
<ul style="list-style-type: none"> ❖ Conduct of a Knowledge, Attitude and Perception (KAP) study of the relevant Ministries in all the participating countries; ❖ Identify and develop training, strategies, and tools necessary for mainstreaming DRR and CCA in relevant ministries; ❖ Undertake pilot mainstreaming activities in 3 countries. 	<ul style="list-style-type: none"> ❖ # of KAP studies completed ❖ # of countries with completed Ministry of Finance and Economic Planning baseline KAP surveys of DRM ❖ #/type of training, strategies and tools identified for mainstreaming ❖ #/type of training, strategies and tools developed for mainstreaming ❖ Quality of training modules, strategies and tools developed for officials in the Ministries of Finance and Economic Development ❖ # of tools and training modules applied in 3 pilot countries 	<ul style="list-style-type: none"> ❖ Document review ❖ Interviews with NDOs, Ministries of Finance and Economic Planning and other key national ministries and agencies 	

Annex 5. Map of programme area



Annex 6. Itinerary

Period	Activities
Inception phase	
Tue 20 th Dec 16	Review and summary of the existing documents, networking and organisation of the field mission
Wed 21 th Dec	Review and summary of the existing documents, networking and organisation of the field mission
Thu 22 th Dec 16	Elaboration methodology and work plan, submission inception report
Field mission	
Sun 15 th Jan 17	Travel to Barbados
Mon 16 th Jan 17	Briefing (kick-off meeting) EU Barbados and PSC Meeting arrangements Meeting DIPECHO
Tue 17 th Jan 17	Meetings CDEMA, CDB
Wed 18 th Jan 17	Preparation (document research and analysis) for donor, sub-project beneficiaries meetings and visits outside Barbados
Thu 19 th Jan 17	Meetings DEM, CIMH, DFATD
Fri 20 th Jan 17	Meetings DFID, UNDP
Sat 21 th Jan 17	Work session evaluation team, analysis and synthesis findings in Barbados
Sun 22 th Jan 17	Travel to SVG (1) and Dominican Republic (2)
Mon 23 th Jan 17	Expert 1 (SVG): Meetings NAO, NEMO Expert 2 (Dom. Rep.): Stakeholder meetings: EU delegation, DIGECOM, MINPRE, CNE, Programme Operational Unit (OU).
Tue 24 th Jan 17	Expert 1 (SVG): Meetings Ministry of Education, Ministry of Transport, travel to Barbados Expert 2 (Dom. Rep.): Stakeholder meetings: Ministry of Education, AECID, INAPA,
Wed 25 th Jan 17	Expert 1 (Jamaica): Travel to Kingston, meeting EU Delegation Expert 2 (Dom. Rep.): Stakeholder meetings: MINPRE (communications), Consultant (visibility and communication), SINI and PNUD.
Thu 26 th Jan 17	Expert 1 (Jamaica) :Meetings ODPEM, Met – Service Expert 2 (Dom. Rep.): Stakeholder meetings in EU delegation: UE, DIGECOM, MINPRE, CNE and Programme Operational Unit (OU); travel to Barbados
Fri 27 th Jan 17	Expert 1 (Jamaica): Meeting UWI – CSGM, contact National Planning Institute, analysis and synthesis of documents received in Jamaica Expert 2: Analysis and summary of the Dom. Rep. component findings
Sat 28 th Jan 17	Expert 1: Travel To Barbados Expert 2: Analysis and summary of the Dom. Rep. component findings
Sun 29 th Jan 17	Work session evaluation team
Mon 30 th Jan 17	Work session evaluation team: Analysis and synthesis of findings outside Barbados. Stakeholder meeting: MAG (consultant firm)
Tue 31 th Jan 17	Redaction draft debriefing note and slide presentation, contact UNISDR
Wed 1 st Feb 17	Discussion of initial findings with CDEMA. CDB, EU Delegation Final redaction and submitting debriefing note and slide presentation
Thu 2 nd Feb 17	Debriefing preparation, draft report redaction
Fri 3 rd Feb 17	Debriefing: Presentation /discussion of mission findings with EU Delegation and PSC
Sat 4 th Feb 17	Detailed elaboration of recommendations
Sun 5 th Feb 17	Draft report redaction
Mon 6 th Feb 17 Tue 7 th Feb 17	Draft report redaction, travel to home countries
Reporting and finalising	
Wed 8 th Feb 17	Redaction and submission draft report
Until 20 th Feb 17	Redaction and submission final report

Annex 7. List of persons/organisations consulted

Name	ORGANISATION	FONCTION	CONTACT (email, tel.)
Barbados			
	EU Delegation BB & OECS	Programme Manager Infrastructure, Disaster Risk Reduction (until 12/2016)	
	EU Delegation BB & OECS	Programme Manager Infrastructure, Disaster Risk Reduction (from 1/2017)	
	EU Delegation BB & OECS	Head of Section/Team Leader Cooperation – Energy /Climate Change/ Infrastructure	
	CDEMA	Director	
	CDEMA	Senior Programme Officer in charge of monitoring	
	CDEMA	Senior Programme Officer (Office of the Executive Director/ Planning and Business Dev. Department)	
	CDEMA	Administrative Assistant	
	CDB	Director, Projects Department	
	CDB	Operation Officer, ESU	
	CDB	Project Manager, ESU	
	Department of Emergency Management (DEM)	Director	
	DEM	Programme Officer	
	DEM	Consultant	
	UNDP BB & OECS		
	DFATD, Government of Canada	Development Section	
	DFID	DRM Adviser	
	DFID	Climate Change and Environment Adviser	
	CIMH	Principal of CIMH Applicant to CDB fund: Enhancing Weather and Climate Early Warning Systems and Impact-Based Forecasting Platforms in the Caribbean	
	HR Wallingford	TA CDB for 'Planning for the Integration of Climate Resilience in the Water Sector in the Caribbean'	
Dominican Republic			
	EU Delegation	Programme Officer / Operational Section	

Directorate-General for Multilateral Cooperation (DIGECOOM)	Director of Regional Cooperation and Integration
DIGECOOM	Project Technician
National Emergency Commission (CNE) Civil Defense	President Executive Director (Major General E.R.D.)
CNE Executive Secretary	
CNE Executive Secretary	In charge of Secretariat
CNE Civil Defense	Project planning
CNE	SINI Responsible
MINPRE	Technical Coordinator Commission for Natural Disaster Management (Brigadier General)
MINPRE	Head of Training Center of Excellence
MINPRE	Director of Communications
NAO/Ministry of the President	Programme Administrator OU
NDRM Programme	Programme Accountant (R4)
Ministry of Education	Managing Director - Directorate General for Risk Management
Ministry of Education	Asesora GRD
Ministry of Education	Project Director
Ministry of Education	Technical Department Projects and Inter-institutional Coordination
Ministry of Education	Director of Inclusive Infrastructure
INAPA	Executive Director
INAPA	Director Planning and Development
INAPA	Engineering Manager
AECID	General Coordinator
AECID	Projects Responsible (Environment, Climate Change, Risk Management)
UNDP	Encargada de Proyectos Área Desastres
	Consultant
MAG	Consultant
Jamaica	
EU Delegation	Project Manager Social Development Section
EU Delegation	Programme Manager/ Attaché

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
 Specific Contract N° 2016/379923/1

	Office of Disaster Preparedness and Emergency Management (ODPEM)	Senior Director Project Development Implementation, Monitoring and Evaluation
	ODPEM	Director General
	ODPEM	Senior Director of Preparedness and Emergency Operations
	ODPEM	Senior Director Corporate Service
	ODPEM	Director of Finance
	ODPEM	Director Information & Training
	ODPEM	Director Human Resource Management
	University of the West Indies, Dep. of Physics, CSGM (Climate Studies Group Mona)	Head of Department Applicant to CDB fund: Preparation of the Caribbean Climate Report 2016: Information for Resilience Building
	UWI, CSGM	Grant Development Coordinator, Mona Office for Research and Innovation
	Metrological Service	Director (Acting) Applicant to CDB fund: Establishment of a Comprehensive Bush Fire Warning Index for Effective Bush Fire Management")
	Metrological Service	Quality Manager / Meteorologist
	Metrological Service	Climate Branch Head
St Vincent & the Grenadines		
	NEMO	Deputy Director
	NAO - PMU	Deputy Director of Planning
	NAO	Director
	Ministry of Education	Project Coordinator 'Tsunami SMART Schools'
	Ministry of Transport	Project Coordinator 'EWS policies and guidelines' (CDB)
	Ministry of Transport	Project Coordinator NDM – December events
Others		
	CARIFORUM	Director, Development Cooperation, Directorate CARICOM Secretariat
	EU ECHO Managua	Technical Assistant in the field for the Caribbean
	UNISDR	Programme Officer

Annex 8. Literature and documentation consulted

Documents of NDRM

- EU programme financing agreements:
 - CDB contribution agreement,
 - grant contract CDEMA,
 - financing agreement EC – ACP
- PSC2 (March 31st, 2015): Work Implementation Plan
- PSC5 (December 13th, 2016):
 - Report of the 4th PSC and follow-up actions (ref: INTRA-ACP/PSC5/1216/02)
 - Financial report CDEMA (ref: INTRA-ACP/PSC5/1216/04)
 - Work Implementation Plan and Budget August 1, 2016 to July 31, 2017 (ref: INTRA-ACP/PSC5/1216/05)
 - Communication & Outreach plan for the ACP-EU Natural Disaster Risk Management in the CARIFORUM Programme (ref: INTRA-ACP/PSC5/1216/06)
 - NDRM Visual Identity Guidelines (ref: INTRA-ACP/PSC5/1216/07)
 - Progress Report Result 1 – CDEMA, ACP Programme Status – July 24, 2014 to October 31, 2016
 - Financial Expenditure summary December 2016
- CDB: Results 2 & 3 Mitigation Plan, December 2016
- CDB: Result 2 & 3 Progress Report, December 2016
- CDB: ACP-EU-CDB NDRM Annual Financial Report Jan – Aug 2016
- CDB: ACP-EU-CDB NDRM Annual Report July 2014 to December 2015
- CDB: Annual Narrative Report Jan – July 2016
- CDB: Draft Terms of Reference, Development of a Natural Hazard Risk Profile for the education sector, n/a
- CDB: List Projects R2 & R3, version 3
- CDB: PAPER BD 23/16, ACP – EU – CDB Natural Disaster Risk Management Project: Planning for the integration of Climate Resilience in the Water Sector in the Borrowing Member Countries of the CDB – Regional, March 9th 2016 (ToR TA result 3.2)
- CDB: PAPER BD 97/16, ACP – EU – CDB Natural Disaster Risk Management Project: Planning for the integration of Climate Resilience in the Road Transport Sector in the Borrowing Member Countries of the CDB – Regional, July 21th 2016 (ToR TA result 3.2)
- CDEMA: Summary interim narrative report September 1, 2014 to August 31, 2015
- CDEMA: Interim financial report (01/09/2014-31/08/2015)
- Dominican Republic: Result 4: ROM monitoring and monitoring question report October 2016
- Dominican Republic: Result 4: Programme Estimate (PE) 0,
- Dominican Republic: Result 4: Programme Estimate 1, June 19th 2015 – December 18th 2016

- Dominican Republic: Result 4: Operational Report 06/2015-12/2016
- Dominican Republic: Result 4: Financial Interim Report, May 2016
- Dominican Republic: Result 4: Audit report PE1, September 8th, 2016
- Dominican Republic: Result 4: Status Acquisitions and Contracts 06/2015-09/2016
- Dominican Republic: Result 4: Final Report of the Consultancy on the Implementation of the Communication Strategy, December 14th, 2016
- Dominican Republic: Result 4: Final Report of the Diploma Program in Safe School Appraisers, March 2016
- Dominican Republic: Result 4: National Training Plan for Disaster Risk Management for the Dominican Republic, draft report (approved in April 4th, 2016)
- Dominican Republic: Result 4: CMPMRs Diagnostic Consultancy (products 3, 5, 6)
- Dominican Republic: Result 4: Evaluation, Selection and Prioritization of High-Risk Human Settlements in the Municipality of San Juan de la Maguana
- MoU CDEMA – CNE
- Met-Service Jamaica: Developing a Comprehensive Bush Fire Warning Index for Effective Bush Fire Management, a Project Proposal to the Caribbean Development Bank
- ODPEM Jamaica: Developing Multi-Hazard EWS Framework and Guidelines, a Project Proposal to the Caribbean Development Bank
- CIMH: Enhancing Weather and Climate Early Warning Systems and Impacts-Based Forecasting Platforms in the Caribbean, a Project Proposal to the Caribbean Development Bank
- UWI/CSGM: Preparation of the State of The Caribbean Climate Report 2016: Information for Resilience Building, a Project Proposal to the Caribbean Development Bank
- ODPEM Jamaica: CDF application form The National Disaster Risk Management Volunteers Programme (NDRMVP)
- NEMO SVG: CDF application form Damage Assessment Policy, Plan and Procedures
- NEMO SVG: CDF application form Tsunami SMART Schools and Communities
- NEMO SVG: CDF application form (<10,000 €) Volcano Awareness Activities 2016

Others

- CARICOM: Strategic Plan for the Caribbean Community 2015 - 2019

CDEMA:

- Regional Comprehensive Disaster Management (CDM) Strategy & Programme framework 2014 – 2024
- The Performance Management Framework for the Comprehensive Disaster Management (CDM) Strategy & Framework 2014 – 2024, 2014
- Ongoing draft work CDEMA – Dominican Republic: Proposal CDEMA and CNE for the 11th EDF Natural Disaster Facility, February 2017

- Updates on Disaster Risk Reduction Priorities for the Caribbean, November 2016 (CDEMA, D.G.ECHO, DEM, IFRC, UNISDR, UNDP)
- Country Document for Disaster Risk Reduction – 2014 (Barbados, Dominica, Dominican Republic, Grenada, Guyana, Jamaica, Saint Lucia, St. Vincent & the Grenadines, Republic of Trinidad de Tobago), National systems with the support of DG ECHO and UNISDR

CDB:

- PAPER BD 19/12 Corr.1, Community Disaster Risk Reduction Fund (CDRRF): Demonstrating Reduction of Natural Hazard Risk and Adaptation to Climate Change at Community Level, Corrigendum, March 7th, 2012
- PAPER BD 19/12 Add. 1, Community Disaster Risk Reduction Fund: Demonstrating Reduction of Natural Hazard Risk and Adaptation to Climate Change at Community Level, July 18th, 2012
- Performance criteria for TA interventions, n/a
- Revised Gender Marker for Capital Projects and TAs over USD50,000, July 2015
- Development Effectiveness Review 2015

SVG and Jamaica:

- NEMO: Community Emergency Response Team (CERT), 5th – 9th August, 2013, Final Report
- NEMO: Country Work Programme 2015 – 2019
- Ministry of Planning SVG: Economic and Social Development Plan 2013 – 2025
- Jamaica, National Planning Institute: National Development Plan Vision 2030

Dominican Republic:

- Estrategia Nacional de Desarrollo (END) 2030 de la República Dominicana,
- Plan Nacional Plurianual del Sector Público 2011-2015
- Ley 147-02 de Gestión de Riesgos de la República Dominicana.
- Plan Nacional de Gestión Integral del Riesgo de Desastres (Decreto No. 275-13)
- Plan Nacional para la Reducción del Riesgo Sísmico en la República Dominicana
- Índice de Seguridad Centro Educativo RD ISCERD, Guía del Evaluador, Octubre, 2014

EU:

- ACP-EU NDRR Program, Regional Report for the Caribbean, July 2015
- ECHO/ Red Cross: ECHO and the DIPECHO Programme in Latin America and the Caribbean: Evolution and Challenges, March 2014
- National Indicative Programme (NIP) EDF 11th Jamaica 2014-2020
- National Indicative Programme (NIP) EDF 11th Saint-Vincent-and-the-Grenadines 2014-2020

- National Indicative Programme (NIP) EDF 11th Barbados 2014-2020
- National Indicative Programme (NIP) EDF 11th Dominican Republic 2014-2020
- Caribbean Regional Indicative Programme (CRIP) EDF 11th 2014-2020
- ToR: Final evaluation of the "Support to the Global Climate Change Alliance (GCCA) under the 10th EDF Intra-ACP Financial Framework in the Caribbean", January 2017
- Regional Environmental Profile Caribbean, vol 1 and 2, September 2009
- Communication from the Commission to the Council and the European Parliament on Strategy for Supporting Disaster Risk Reduction in Developing Countries, February 2009

Climate Investment Funds, PPCR (Pilot Programme for Climate Resilience):

- SVG 2015: Annual Monitoring and Evaluation Report on the Strategic Program For Climate Resilience, Full report and Scorecard
- Grenada 2015: Annual Monitoring and Evaluation Report on the Strategic Program For Climate Resilience, Full report and Scorecard
- Jamaica 2015: Annual Monitoring and Evaluation Report on the Strategic Program For Climate Resilience, Scorecard
- Saint Lucia 2015: Annual Monitoring and Evaluation Report on the Strategic Program For Climate Resilience, Scorecard

United Nations:

- Sendai Framework for Disaster Risk Reduction 2015 – 2030
- Regional consultation workshop on Harmonisation of the 2014-2024 Comprehensive Disaster Management (CDM) Strategy and Monitoring and Reporting System with the 2015-2030 Sendai Framework for Disaster Risk Reduction, Tuesday 22 November, 2016
- FAO: Status of Disaster Risk Management Plans for Floods, Hurricanes and Drought In the Agriculture Sector, a Caribbean Perspective, February 2013
- Portfolio list GFDRR in the Latin American and Caribbean Region

Other donor agencies:

- DFID: Multilateral Aid Review: Assessment of Caribbean Development Bank, 2012
- DFIF: Multilateral Aid Review: Assessment of Caribbean Development Bank, update 2, 2014
- DFID/Universalis: Programme Completion Evaluation of the Comprehensive Disaster Management – Harmonised Implementation Programme (CDM – HIP), March 2015
- DFATP (Canada) Project profile: Caribbean Disaster Risk Management Program
- USAID: Project Brief Climate Change Adaptation Program (CCAP), 2016
- Brookings-LSE Project on Internal Displacement: Caribbean Regional Disaster Response and Management Mechanisms: Prospects and Challenges, July 2013

Web pages (not exhaustive list):

www.caribbeanclimate.bz

www.gcca.eu

www.dipecholac.net

www.gfdrr.org

www.cif.climateinvestmentfunds.org/funf/pilot-program-climate-resilience

www.caribank.org

www.cdema.org

www.caricom.org

www.gov.uk/government/organisations/department-for-international-development

www.unisdr.org

Technical annex

Annex 9. Implementation status

a) Result and outcome level

Intervention logic	Indicator, Target and Baseline	Baseline	Situation January 2017	MTE comments
OVERALL OBJECTIVE				
To reduce vulnerability to long term impacts of natural hazards including the potential impacts of climate change, thereby achieving sustainable development and poverty reduction goals in the CARIFORUM States.	Percentage variation of the average value of "damages and losses" after a small event			
SPECIFIC OBJECTIVE				
To strengthen regional, national and community level capacities for mitigation, preparedness, management and coordinated response to natural hazards and the effects of climate change				
RESULT 1 - CAPACITY OF CDEMA PARTICIPATING STATES AND COORDINATING UNIT (CU) STRENGTHENED FOR IMPLEMENTATION OF COMPREHENSIVE DISASTER MANAGEMENT				
Outcome 1.1: Capacities of NDMOs and other relevant national agencies strengthened for CDM implementation.	Indicator and Target R1.1: Ten (10) regional stakeholders involved in disaster risk reduction utilizing the PMF of the CDM Strategy 2014- 2024 to inform reporting on CDM implementation. [RO 1.1/I3]		<i>Training course on' report on CDM implementation using the PMF of the CDM Strategy' is under development</i>	
Outcome 1.2: The CDEMA Coordinating Unit capacities strengthened as the main coordinating body for CDM implementation in the region.	Indicator and Target R1.2: Extent to which CDEMA CU utilizes the PMF of the CDM Strategy 2014-2024 to inform reporting on CDM implementation [RO 1.1/I3]		<i>Quarterly reports on results, indicators and targets in the PMF of the CDM Strategy should be produced manually, use of CDM Monitor not yet possible (ICT problems)</i>	<i>PMF reports and CDM Monitor are not accessible</i>
Outcome 1.3: Capacity of the CDEMA System for Emergency Response Strengthened	Indicator and Target R1.3: Seven (7) stakeholders conducting simulation exercises testing multi- hazards.[RO 1.4/I7]		<i>7 stakeholders have been conducting simulation exercises for the hurricane hazard through the TradeWinds exercise</i>	

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

Intervention logic	Indicator, Target and Baseline	Baseline	Situation January 2017	MTE comments
RESULT 2 – REGIONAL, NATIONAL AND LOCAL LEVEL RESILIENCE THROUGH STRENGTHENED COMMUNITY-BASED DISASTER RISK REDUCTION AND CLIMATE CHANGE ADAPTATION, EARLY WARNING SYSTEMS AND NATIONAL RISK PROFILING				
Outcome 2.1: Community- based DRR and CCA activities conducted building upon and replicating/scaling up on-going regional and national initiatives (including lessons learned and experiences from community- based DRR and CCA activities)	Indicator and Target R2.1: Number of vulnerable communities in two (2) beneficiary countries that have a functioning community resilience mechanism in place. [RO 4.1/I19]		0	early stage of sub-project implementation
Outcome 2.2: Early warning systems and related capacities strengthened at regional and national levels, building on recent progress made through on-going EU-funded projects and others.	Indicator and Target R2.2: Three (3) beneficiary states having appropriate multi-hazard EWS at national and local levels. [RO 4.3/23]		0	early stage of sub-project implementation
Outcome 2.3: National risk profiles undertaken in countries in the region to provide an evidence-based understanding of the type, magnitude and special distribution of disaster risks to which states are most prone and assist in providing valuable input to development planning decision making and strategic planning for response	Indicator and Target R2.3: Two (2) countries with multi-hazard risk profiles developed for implementation.		0	early implementation stage, TA contract not yet signed
RESULT 3 - SECTOR RESILIENCE STRENGTHENED IN KEY PUBLIC SECTORS				
Outcome 3.1: Barriers removed and opportunities created for mainstreaming DRR and CCA in the public sector, particularly, at the level of Ministries of Finance, Planning and Economic Affairs.	Indicator and Target R3.1: Three (3) beneficiary states applying incentive programmes for Disaster Risk Reduction and Climate Change Adaptation in the Finance Sector. [RO3.3/18]		0	early stage of activity implementation
Outcome 3.2: Critical infrastructure in the transportation, water sectors in CARIFORUM countries made more resilient to natural hazards and better prepared for climate change and climate variability.	Indicator 1 and Target 1 R3.2 Three (3) state agencies with sector specific DRM plans that have been implemented [RO3.1/16] Indicator 2 and Target 1 R3.2 Four (4) beneficiary states with risk reduction strategies in the water and transport sectors.		0 0	early stage of activity implementation
RESULT 4 - STRENGTHENED ORGANIZATIONAL AND FUNCTIONAL STRUCTURES AND CAPABILITIES OF THE NATIONAL SYSTEM FOR INTEGRATED DISASTER RISK MANAGEMENT (SN-GIRD)				
Outcome 4.1: Organizational and Functional Structure Capabilities of National System for Disaster Risk Management (SN-DRM) strengthened	Indicator and Target R4.1: National System for Disaster Risk Management simulation exercises testing multi- hazards shows improvement by 70% in communication and coordination. [RO 1.4/17]		0	Programme just start working on this through a consultant
Outcome 4.2: Organization and involvement of relevant stakeholders in the sub- national risk management at the institutional, territorial and private sector levels strengthened	Indicator and Target R4.2: At least three (3) municipalities with appropriate early warning systems for vulnerable communities. [RO 4.3/23]		0	early stage of activity implementation
Outcome 4.3: Resilience of critical infrastructure (hospitals, schools and water supplies) in most municipalities vulnerable to risk reduction as a result of natural and human phenomena is enhanced	Indicator and Target R4.3: Evidence of certified evaluation of 30% of Critical Infrastructure in vulnerable areas		? (difficulty in evaluating this indicator – base line is needed)	48 educational centers evaluated up to now by certified technician, trained by NDRM.

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

B) Activity level

Activities R1	Indicators and targets	baseline	Situation January 2017	MTE comments
R1 a. Support to NDO strengthening for CDM programme implementation through the Country Directed Fund, CDEMA Technical Support Mechanism (CTSM) and the Technical Assistance Secondment Protocol (TASP)	Indicator 1, Target 1: At least 10 States have implemented training		Training course on 'report on CDM implementation using the PMF of the CDM Strategy' under development	
	Indicator 1, Target 21: At least 70% of states see evidence that CDEMA CU is providing more timely technical backstopping		CDEMA's work is in general appreciated, but time to react on BMC inquiries (CDF) is sometimes too long in BMC perception	Evaluation against target is impossible, no baseline or monitoring reports available
	Indicator 1, Target 3: 100% of beneficiary CDEMA Participating States receive support through the CDF, CTSM and TASP.		86% (12/14) of NDOs supported: Relief Supplies Tracking System Training (RSTS, participation and presentation at the CDM Conference 2015 and Technical Advisory Committee., 10 WS/trainings in 5 countries through CDF responsive simplified process, 10 proposals approved for CDF (10,000 – 60,000€) 14 countries supported through CTSM and TASP for CDAC/COST/DANA and CDRU Training	20 CDF (10,000 – 60,000 Euros) sub-projects initially planned for the 4 CjP (5 projects per CjP), low proposal quality hinders disbursement.
R1 b. Support CDEMA Coordinating Unit capacity strengthening - Human Resources, Finance, Administrative and MER Systems strengthened	Indicator 2, Target 1: Responsibility for MER within the Office of Executive Director established and operational by March 2015		MER within the OED is established and operational	
	Indicator 2, Target 2: CDEMA is eligible for international indirect budget management support from development partners by August 2017		Internal baseline assessment has been undertaken (internal control, accounting, independent external audit, procedures and rules for grants, procurement, financial instruments and sub-delegation. Revised Operational Manual is underway with consulting firm	
R1 c. Readiness & responsiveness of CDEMA regional response system enhanced.	Indicator 3, Target 1: RRM reviewed and enhanced by December 2016		RRM reviewed, Regional Response Doctrine developed, 2 new teams (COST, CDAC) and 19 persons trained Regional Coordination Plan review 50% completed	
	Indicator 3, Target 2: RCC established at ICT Level II.		Baseline for the RCC has been undertaken through ICT assessment tool: actual level is (1).	

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

Activities R2	Indicators and targets	baseline	Situation January 2017	MTE comments
R2 a. Community-based DRR and CCA activities conducted through the CDRRF building upon and replicating/scaling up on-going regional and national initiatives	Indicator and Target 1: At least 75% of beneficiaries (m/w) in each of the participating vulnerable communities whose resilience has been improved as a result of community DRR/CCA projects		<ul style="list-style-type: none"> • 2 sub-projects in Jamaica under early implementation including completed baseline studies • 3 sub-projects approved by the LC on Jan 28th , 2017 • 9 sub-projects under preparation 	4 new projects to develop until July 2017 due to CDB mitigation plan Extension of sub-project implementation beyond 12/2018 is required
R2 b. Early warning systems strengthened at regional and national levels, building on recent progress through support of DiMSOG	Indicator and Target 2: Number of beneficiaries (m/w) using improved flood early warning systems to reduce risks to their lives and/or property		<ul style="list-style-type: none"> • 1 proposal from SVG approved, on-going Consultant Engagement Process • 9 projects under preparation, 1 approved 12/16 	
R2 c. National risk profiles undertaken in countries in the region through the support of DiMSOG to provide an evidence-based understanding of disaster risks and assist in providing valuable input to development planning decision making and strategic planning for response	Indicator and Target 3: At least 4 of the participating BMCs are prioritizing and incorporating appropriate risk reduction strategies from the national risk profiles into the national development planning sectorally-based disaster management planning.		<ul style="list-style-type: none"> • 1 TVET development of a natural hazard risk profile for the education sector in Guyana approved in Dec 2016 	
Activities R3	Indicators and targets	baseline	Situation January 2017	MTE comments
R3 a. Through work of the CDB EID, barriers assessed and opportunities created for mainstreaming DRR and CCA in the public sector, particularly, at the level of Ministries of Finance, Planning and Economic Affairs	Indicator 1, Target 1: One (1) Online regionally accessible baseline MOFEP KAP assessment		<ul style="list-style-type: none"> • 0, • ToR for KAP study (1st step) still in preparation 	Important delay
R3 b. Critical infrastructure in the transportation and water sectors in CARIFORUM countries made more resilient to natural hazards and better prepared for climate change and climate variability through work of EID	Indicator 1, Target 1: At least 4 final designed sector resilience projects specifying the number of expected beneficiaries.		<ul style="list-style-type: none"> • 0, • TA contract for tool development in the transport sectors (1st step) have not yet started. TA contract for the tool in the water sector started January 2nd , 2017 	Important delay, achievement of planned 4 projects is impossible, mitigation plan with reduction to 2 pilot applications and partly budget reallocation to R2 proposed by CDB during PSC5

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

Activities R4	Indicators and targets	baseline	Situation January 2017	MTE comments
R4 a. Provide support to National System for Disaster Risk Management (SN-DRM) to strengthen DRM coordination through training and communications enhancements	Indicator 1, Target 1: One (1) national training plan delivered for SN-DRM		61% accomplished.	National Training Plan on Comprehensive Disaster Risk Management available; delivery of 11 of the 18 training courses foreseen.
R4 b .Strengthen capacities of vulnerable areas in municipalities through disaster response planning and early warning	Indicator 1, Target 1: Six (6) Community Early Warning Protocols		0	early stage of activity implementation
	Indicator 1 Target 2: Six (6) community Action Plans developed at the municipal level		0	early stage of activity implementation
R4 c. Assess critical infrastructure through application of safety indices	Indicator 1, Target 1: At least 20 technicians trained to conduct assessment of vital infrastructure		100% accomplished.	Twenty-three (23) evaluators trained in application of ISCERD index to conduct assessment of educational infrastructure. Training for health centers still need to be carried out

(Source: log frame PSC5, completed during MTE)

Annex 10. Budget sold

A) Global situation (based on CRIS Jan 17th, 2017)

Results/Components of the Programme	Management Mode	Total Estimated Costs EDF Costs (EUR)	Paid	Paid part of the budget (%)	Under preparation
Result 1	Centralised direct (CDEMA)	4,470,000.00	2,421,043.50	54.16	
Result 2	Joint Management (CDB)*	12,294,300.00	2,300,000.00	18.71	
Result 3					
Result 4 (Dominican Republic Component)	Partially Decentralised (DR NAO)	2,200,000.00	54,870.35(PE0) 899,778.71(PE1) <u>12,880.00 (Audit PE1)</u> 967,529.06	43.98	554,165.54 (PE2)
Communication & Visibility	Centralised Direct (EU Delegation Barbados)	285,700.00	53,555.00 <u>35,890.00</u> 89,445.00	31.31	
Monitoring, Evaluation & Audit		300,000.00	0	0	
Contingencies**		450,000.00	0	0	
Total		20,000,000.00	5,778,017.56	28.89	
<p>*The maximum fixed percentage of direct eligible costs is applied (7%) given the specificities of the region such as the number of countries covered by the action and the geographical dispersion and/or access to the most disaster prone areas</p> <p>**The EU contribution to "Contingencies" can only be mobilised by the European Commission</p>					

B) Detailed situation (Source: PSC5 documents, completed by MTE)

Implementation Modalities	Project Result/Component	Specific Costs	Total Budget EU Contribution (EUR)	Expenditure October 2016	% of Budget
Centralised Management (Grant CDEMA)	<u>Result 1</u> Capacity of the CDEMA Coordinating Unit and the National Disaster Offices Strengthened for Implementation of CDM	Country Directed Fund (CDF), CDEMA Technical Support Mechanism (CTSM), and Technical Assistance Secondment Protocol (TASP)	2,088,818.08	540,174.06	25.86
		Strengthening of financial management systems and the capacity for monitoring, evaluation and reporting of the CDEMA CU	1,403,521.00	708,973.49	50.51
		Strengthening of the emergency response capacity of the CDEMA CU for emergency response	233,121.00	176,658.07	75.78
		Programme management	245,603.92	100,571.72	40.95
		Contingency (5%)	198,553.20	00.00	0
		Administrative costs (7%)	291,873.20	106,846.41	36.61
		Subtotal I			4,461,490.40
Implementation Modalities	Project Result/Component	Specific Costs	Total Budget EU Contribution	Expenditure December 2016	% of Budget
Joint Management (Contribution Agreement with CDB)	<u>Result 2</u> Improved National and Regional Resilience through Strengthened Early Warning, National Risk Profiling and Community-based DRR	Disaster Management Strategy and Operational Guidelines (DiMSOG)	3,000,000.00	00.00	0
		Community Disaster Risk Reduction Fund (CDRRF)	1,590,000.00	00.00	0
	<u>Result 3</u> Sector Resilience Strengthened in Key Sectors	Sectoral Resilience	4,800,000.00	00.00	0
		Knowledge, Attitude and Perception Study (KAP)	600,000.00	00.00	0
		Operating Costs (including staff)	1,500,000.00	67,742.23	4.52
		7% indirect costs*	804,300.00	0	0
Subtotal II			12,294,300.00	67,742.238	0.55

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

Implementation Modalities	Project Result/Component	Specific Costs	Total Budget EU Contribution (EUR)	Expenditure up to August 2016	% of budget
Programme Estimate (Ministry of the Presidency in collaboration with NAO)	<u>Result 4</u> Capacity building and the establishment of common policies, strategies, programs and subprograms undertaken as a contribution to reducing the risk of natural disasters in communities in the Dominican Republic.	Strengthened organizational and functional structures and capabilities of the SN-GIRD	770,000.00	36,883.82	4.79
		Strengthened organizations and involvement of relevant stakeholders in sub-national risk management	560,000.00	27,786.68	4.96
		Enhanced resilience of critical infrastructure	620,000.00	41,710.73	6.73
		Programme management incl. visibility	250,000.00	161,200.60	64.48
Subtotal III			2,200,000.00	267,581.83	12.16
Centralised Management (Service Contracts EU Del Barbados)		Communication & Visibility	285,700.00	0	0
		Monitoring (ROM), Evaluation and Audit	300,000.00	0	0
		Contingencies **	450,000.00	0	0
TOTAL			20,000,000.00	1,920,802,86	9.60

Source: PSC5 documents, completed by MTE

Annex 11. Status of sub-projects and contracts of result 1 and 2

A) CDEMA sub-projects (CfP) status for CDF (10,000 – 60,000 €)

<i>CDF 1st Call for Proposals</i>		
<i>Participating State</i>	<i>Project Name</i>	<i>Status</i>
Grenada	Grenada National Volunteer Service	- Reserved, enhanced and now Approved
Guyana	Regional Disaster Risk Management Systems	- Proposal was not approved as CWP was not submitted in time for consideration
Jamaica	National Disaster Risk Management Volunteers Programme	- Proposal was not approved as CWP was not submitted in time for consideration
Jamaica	Strengthening coordination and planning capacity	- Proposal was not approved as CWP was not submitted in time for consideration
Antigua and Barbuda	Reduction of Boulder's and Ghaut Sand Impact	- Reserved, enhanced and now Approved
Haiti	Strengthening community level capacity for management and coordinated response to natural hazards.	- Proposal was not approved as CWP was not submitted in time for consideration
Bahamas	Longitudinal Analysis of Hurricane Resilience in The Bahamas	- Proposal was not approved as CWP was not submitted in time for consideration. In addition, Proposal was also submitted after the deadline date for the Call.
Dominica	Building resilience, Capacity and CDM awareness at National and Community Levels, Integrating CCA into Community Disaster Management Planning	- Proposal on the Reserve List until August 2016.
Saint Lucia	Enhancement of ICT Capability for Supporting CDM	- Proposal was not approved as CWP was not submitted in time for consideration

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

CDF 2nd Call for Proposals		
Participating State	Project Name	Status
Guyana	Regional Disaster Risk Management Systems	- Reserved, enhanced and now Approved
Antigua and Barbuda	National Disaster Display and Information Centre	- Reserved, enhanced and now Approved
Bahamas	Longitudinal Analysis of Hurricane Resilience in The Bahamas	- Proposal was not approved as CWP was not submitted in time for consideration.
Grenada	Upgrade of Emergency Operations Centres	- Reserved, enhanced and now Approved
Grenada	NAWASA'S School Community Water Storage Project	- Approved
Jamaica	The National Disaster Risk Management Volunteers Programme (NDRMVP)	- Approved
St. Vincent and the Grenadines	Tsunami SMART Schools and Communities in St. Vincent and the Grenadines	- Approved
Suriname	Enhance mangrove protection through the provision of climate information and engagement of communities	- Proposal was not approved as CWP was not submitted in time for consideration.
CDF 3rd Call for Proposals		
Participating State	Project Name	Status
Grenada	Development of multi-hazard plans for Grenada	Not approved. Proposal did not receive the minimum score
Grenada	Public Education on all hazards for Comprehensive Disaster Management	Not approved. Proposal did not receive the minimum score
Guyana	Expansion of NEOC	Reserved and being updated
Guyana	Strengthening Community Based Preparedness and Response in Moraikabai – Region 5	Approved
Haiti	Web platform for the structures of the DRR National System in Haiti	Proposal was not approved as CWP was not submitted in time for consideration
St. Vincent and the Grenadines	Development of National Damage Assessment Policy, Plan and Procedures	Approved

Source: Progress Report Result 1 – CDEMA, December 13th, 2016

B) CDB sub-projects and contracts result 2 and 3

Country	Applicant	Project Title	Scope/Objectives and Status	Budget (EUR) ¹¹
Result Area 2 : National, local and regional resilience enhanced through strengthened early warning, national risk profiling and community-based DRR				
Regional	University of the West Indies/CSGM	Preparation of the State of The Caribbean Climate Report 2016: Information for Resilience Building	Produce a comprehensive report on the state of the Caribbean climate that accounts for the whole Caribbean region by grouping the countries into sub-regions based on established climate criteria. Increase basic knowledge of climate change and its impacts on the Caribbean for government officials, sector leaders, private sector entities, NGOs and educators through a series of Climate SMART workshops on climate change. (Full document completed and under review by CDB Loan Committee- LC), approved January 28 th , 2017	425,706
Regional	Caribbean Institute for Meteorology and Hydrology (CIMH)	Enhancing Weather and Climate Early Warning Systems and Impacts-Based Forecasting Platforms in the Caribbean	Expand and update weather and climate observation networks across the Caribbean to support real-time reporting into regional and national EWS Enhance pre and post-event monitoring and assessment Enhance development and delivery of climate services to climate sensitive sectors (Full document completed and under review by CDB LC), approved January 28 th , 2017	471,942
Jamaica	Meteorological Services of Jamaica (MSJ)	Establishment of a Comprehensive Bush Fire Warning Index for Effective Bush Fire Management	Develop a multi-criteria model for bush fire predictions Conduct two pilot sites monitoring and capacity development Develop a Common Alerting Protocol Increase public education, awareness and outreach about bush fires in a gender-sensitive and socially inclusive way (Full document completed and under review by CDB LC), approved January 28 th , 2017	313,667
Regional	Caribbean Tourism Organization (CTO)	Supporting Climate Smart and Sustainable Caribbean Tourism Industry	Support to policy formulation and promotion of best practices in DRR CCA Enhance tourism sector knowledge and awareness about DRR and CCA Strengthen CTO Secretariat capacity to provide TA and support delivery of climate services (Full document currently completed., awaiting CDB approval in Q1 2017)	432,692
Guyana	Ministry of Education (MOE)	TVET- Development of a Natural Hazard Risk Profile for the Education Sector	Provide a comprehensive assessment of school facilities vulnerability to natural hazards Provide guidance for the future designs and planning of new facilities. (Paper approved by CDB Board of Directors-BOD) in December 2016	255,542
Guyana	Office of Climate Change (OCC)	Building the Capacity of OCC through Preparation of National	Increase capacity of the OCC to effectively and efficiently lead national actions for climate change mitigation, adaptation and resilience building	144,231

¹¹ Applicants submitted projects to CDB in USD. The rate of 1 EUR= 1.04 USD on December 16, 2016 is used.

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

		Climate Change Policy and Strategic Plan	Established policy direction for climate change mainstreaming into sector plans at national and regional level Elaboration process ongoing	
Jamaica	Office of Disaster Preparedness and Emergency management (ODPEM)	Developing Multi-Hazard EWS Framework and Guidelines	Develop legal framework for Multi-Hazard EWS Upgrade flood early warning system for Rio Cobre Watershed Elaboration process ongoing	376,958
St. Vincent and the Grenadines	Ministry of Transport, Works, Urban Development and Local Government	National EWS Policy Framework and Protocols	Enhance the EWS through the preparation of a NEWS Policy Framework and Protocols incorporating the elements of people-centred EWS (Paper approved by CDB BOD- On-going Consultant Engagement Process)	168,269
Jamaica	Portmore Municipality	Portmore Multi-hazard Risk Profile and Climate Smart Disaster Risk Reduction Plan	Create a Multi-Hazard Risk Profile to aid in the development and implementation of disaster management strategies that will guide the Development Approval process and the development of the Local Sustainable Development of the Municipality. Develop a comprehensive Climate Smart Disaster Risk Reduction Plan Elaboration process ongoing	96,154
Regional	TBD (Potentially CDEMA)	Review policies and procedures for national emergency responses to severe weather events	Regional key stakeholder workshops to review policies and procedures for national emergency responses to severe weather events Elaboration process ongoing	144,231
St. Vincent and The Grenadines	VINLEC	Natural Hazard Risk Profile of the Electricity Sector	Conduct a hazard risk assessment of VINLEC including hydro dam which provides nearly 30% of their electricity Elaboration process ongoing	625,000
Haiti	Ministry of Environment	Multi-Hazard Risk Profile of the Island "Ile-A-Vache", South Peninsula of Haiti	Conduct a hazard risk assessment of Ile-A-Vache CVA of Water Sector at Ile-A-Vache New project, elaboration not yet started	769,231
Grenada		Risk Assessment of Governmental Buildings	Conduct a hazard risk assessment of Governmental Buildings New project, elaboration not yet started	386,415
Regional	CDEMA	School Safety Policy Assessment (MSSP)	New project, elaboration not yet started	336,538
Regional	CIMH	TBD	New project, elaboration not yet started	288,462

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

Result Area 3 : Sector resilience strengthened in key public sectors, through DRR and CCA mainstreaming				
Regional	Consultant Selected- HR Wallingford	Planning for the Integration of Climate Resilience in the Water Sector in the Caribbean	As part of the process for developing the tools, the following activities will be carrying out: Climate Vulnerability Assessments; Assessment of Relevant Policies, Plans, Strategies Legal and Regulatory Framework Governing Water; Development of a Water Sector Resilience Index; Manual or a Package of Materials that would provide Guidance for Increasing the Resilience of the Water Sector; Prioritisation of Investments for Water Infrastructures; Awareness and Training of Trainers' Workshops on Water Sector Resilience Assessment. (Paper Approved by CDB; Contract signed with Consultant in Dec. 2016)	583,726
Regional		Planning for the Integration of Climate Resilience in the Road Transport Sector in the Caribbean	As part of the process for developing the tools, the following activities will be carrying out: Climate Vulnerability Assessments; Assessment of Relevant Policies, Plans, Strategies Legal and Regulatory Framework Governing Road Transport; Development of a Road Transport Sector Resilience Index; Manual or a Package of Materials that would provide Guidance for Increasing the Resilience of the Road Transport Sector; Prioritisation of Investments for Road Transport Infrastructures; Awareness and Training of Trainers' Workshops on Road Transport Sector Resilience Assessment. (Paper Approved by CDB; Evaluation of 4 proposals completed, contract signature planned end of February)	738,462
Regional		Knowledge, Attitude and Practices (KAP)	Conduct baseline study of 16 CDB Borrowing Member Countries (BMCs)-Ministries with responsibility for Finance, Planning and Economic Affairs (MOFEP) KAP Practices in DRM and CCA. Conduct regional workshop for sharing, reviewing and validating findings and developing elements of country-specific action plans to address capacity deficits identified from baseline study findings (TOR being developed for Consultant Recruitment)	576,923
Regional		Increase water resilience to climate variability and change (CVC)	Training Workshop for Water Sector (to be further developed) (Concept note-CN in preparation)	192,308
Regional		Increase road transport resilience to CVC	Training Workshop for Road Transport Sector (to be further developed) (Concept note-CN in preparation)	192,308
St. Kitts and Nevis		Mainstreaming Climate Resilience in the Road Transport Sector	Climate vulnerability assessment of road transport (to be further developed) (Concept note-CN in preparation)	240,385

Source: CDB, document received during the MTE mission

Annex 12. DRR-CCA Regional Programmes and Projects for the Caribbean Region

Source of funds	Funds (€)	Implementing Agency	Programme/Project	Period	Data Source
UNDP	4,900,000	UNDP	Overseas Countries and Territories (OCTs) Regional Risk Reduction Initiative	2008-2012	Communication CDEMA
ACP-EU	1,800,000	CDEMA	ACP-EU Natural Disaster Facility (NDF) Sub-regional Programme for the Caribbean states)	5 years	CRIP-EDF 11 2014-2020
IDB	551.138	CDEMA	Regional Monitoring and Evaluation System for Dominican Republic and Cayman Island in the Caribbean Tourism Sector	5 years	CRIP-EDF 11 2014-2020
Established by the CDB with grant financing from the DFATD and DFID		CDB	Community Disaster Risk Reduction Fund (CDRRF) for borrowing states of the CDB		Communication CDEMA
		CDEMA	CCDM-II: Mainstreaming Climate Change in Disaster Management in the Caribbean		CRIP-EDF 11 2014-2020
Austrian Development Agency	546.423	CDEMA	Community Disaster Risk Reduction Fund (CDRRF) for borrowing states of Caribbean - Phase 2		CRIP-EDF 11 2014-2020
IDB / WB	7,873,396	UWI	Pilot Program for Climate Resilience (PPCR) in Dominica, Grenada, Haiti, Jamaica, Saint Lucia, St. Vincent and the Grenadines: Regional Track for the Caribbean		Communication CDEMA
US -SOUTHCOM	3,936,698	CDEMA	CDEMA US SOUTHCOM 5-year Collaboration	5 years	CRIP-EDF 11 2014-2020
USAID/WMO/CIMH	3,936,699	CIMH	Programme for Building Regional Climate Capacity in the Caribbean		Communication CDEMA
CIDA, AusAID, DFID and CDEMA's participant states	US\$ 14,800,000	CDEMA	CDM (Comprehensive Disaster Management) Harmonized Implementation Programme - HIP Phase I	ended Dec. 2014	EU (ToR)
CIDA and DFID (multi-donor Trust Fund)		CIDA	Community Disaster Risk Reduction Fund (CDRRF)		Communication CDEMA

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

European Investment Bank (EIB)			Climate Action Line of Credit		EU (ToR)
DIPECHO for the Caribbean	8,500,000 (2013-2014) + 7, 930,000 (2015-2016)	NGOs, UN system, Red Cross Federation, ?	HIP 2013-2014 + HIP 2015-2016	2013-2016	EU (ToR)
WB		Multi-donor trust fund, EUR 12,5 million (estimate) for the Caribbean	World Bank's Global Facility for Disaster Reduction and Recovery - GFDRR	2015-2016	EU (ToR)
Germany's Federal Ministry for the Environment	€ 2,000,000		Climate Risk Adaptation and Insurance in the Caribbean	2011-2015	
EU	8,000,000	CCCCC	10th EDF Intra-ACP -The Global Climate Change Alliance (GCCA) Programme	Ended Dec. 2016	CRIP-EDF 11 2014-2020
Commonwealth Fund for Technical Cooperation		CCCCC	Regional Framework for Achieving Development Resilient to Climate Change		CRIP-EDF 11 2014-2020
	787.340	CCCCC	Implementation Plan (IP) to actualize the Regional Framework document.		CRIP-EDF 11 2014-2020
Climate Investment Fund	8,345,800	CCCCC, with UWI, CIMH, CRFM, CARDI, and CEHI	Pilot Program for Climate Resilience - Region Track (implemented in Jamaica, Haiti, Dominica, Grenada, Saint Lucia, and St. Vincent and the Grenadines and the CCCCC)		CRIP-EDF 11 2014-2020
Climate Investment Fund	118.101	CCCCC	Technical Assistance Grant	1 year	CRIP-EDF 11 2014-2020
UK	6,324,262	CCCCC	Caribbean Regional Resilience Development Implementation Plan (2011 - 2016) Aries Project	2011 - 2016	CRIP-EDF 11 2014-2020
CDB	370.050	CCCCC	Enabling Climate Change Adaptation in Borrowing Member Countries (BMCs)		CRIP-EDF 11 2014-2020
	472.404	CCCCC with ICIMH, NOAA, and CATALAC	Database Management System for a Regional Integrated Observing Network for Environmental Change in the Wider Caribbean		CRIP-EDF 11 2014-2020
	466.334	CCCCC	Caribbean Risk Management Project - Phase 1		CRIP-EDF 11 2014-2020

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

	191.644	CCCCC	Caribbean Risk Management Project - Phase 2		CRIP-EDF 11 2014-2020
	819.081	CCCCC	Caribbean Risk Management Project - Phase 3		CRIP-EDF 11 2014-2020
	819.081	CCCCC	The CARIWIG Project		CRIP-EDF 11 2014-2020
USAID	1,968,349	OECS Secretariat	Reducing the Risks to Human and Natural Assets Resulting from Climate Change	5 years	CRIP-EDF 11 2014-2020
EU and Cyprus	10,600,000	OECS Secretariat	Global Climate Change Alliance Project (GCCA)	4 years	CRIP-EDF 11 2014-2020
UN-Habitat	312.679	OECS Secretariat	Improving Land Policies and Management	2 years	CRIP-EDF 11 2014-2020
Government of Japan	21.179	CARICOM Secretariat	Coastal Zone & Environmental Monitoring		CRIP-EDF 11 2014-2020
Government of Japan	78.813	CARICOM Secretariat	Real-Time Flood Forecasting for the Caribbean		CRIP-EDF 11 2014-2020
EU	499.299	The University of the West Indies	Global Local Caribbean Climate Change Adaptation and mitigation Scenarios (GoLoCarSce)	3 years	CRIP-EDF 11 2014-2020
EU	472.979	The University of the West Indies	Climate Change Adaptation Strategies for Water Resources and Human Livelihoods in the Coastal Zones of Small Island Developing States (CASCADE)	3 years	CRIP-EDF 11 2014-2020
EU	498.970	The University of the West Indies	Developing Sustainable Disease Management Strategies to improve Vegetable Production towards Self-sufficiency and Food Security in the Caribbean Region	3 years	CRIP-EDF 11 2014-2020
EU	892.511	The University of the West Indies	Strengthening the Caribbean Scientific Community in Natural Resources Management and Developing Integrated Watershed Management Plans (CARIWATNET)	3 years	CRIP-EDF 11 2014-2020
EU	3,499,993	The University of the West Indies	Volcanic Unrest in Europe and Latin America: Phenomenology, Eruption Precursors,, Hazard Forecast, and Risk Mitigation (VUELCO)	4 years	CRIP-EDF 11 2014-2020
EU	6,972,193	The University of the West Indies	Strategies and Tools for Real Time Earthquake Risk Reduction (REAKT)	3 years	CRIP-EDF 11 2014-2020

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

The Government of Montserrat and DFID	9,731,670	The University of the West Indies	Monitoring the Soufriere Hills Volcano and Managing the Montserrat Volcano Observatory (MVO)	5 years	CRIP-EDF 11 2014-2020
IDRC	699.266	The University of the West Indies	Managing Adaptation to Environmental Change in Coastal Communities: Canada and the Caribbean	6 years	CRIP-EDF 11 2014-2020
	1,122,904	The University of the West Indies	Enhancing Knowledge and Application of Comprehensive Disaster Management (CDM)	5 years	CRIP-EDF 11 2014-2020
DFATD (formerly CIDA)/IDRC	3,521,512	The University of the West Indies	Improving the Nutrition and Health of CARICOM Populations through Sustainable Agricultural Technologies that increase Food Availability and Diversity of Food Choices	3 years	CRIP-EDF 11 2014-2020
GIZ	11,250,000	CARICOM	Caribbean Aqua-Terrestrial Solutions Modules: Management of Coastal Resources and Conservation of Marine Biodiversity in the Caribbean Region - Adaption to climate change in the Caribbean: Protection of natural resources and diversification of agriculture and silviculture	TBD	CRIP-EDF 11 2014-2020
KfW	10,800,000	CARICOM	Coastal protection for climate change adaptation in the small island states in the Caribbean	TBD	CRIP-EDF 11 2014-2020

For projects and programmes in Dominican Republic, please see annex 1 and 3 in the following document:

<http://dipecholac.net/docs/files/787-base-para-documentos-pais-rep-dom.pdf> :

Avances y desafíos de la República Dominicana, Apéndice: Avances y desafíos de la gestión del riesgo de desastres en la República Dominicana, 2014 II Apéndice: Avances y desafíos de la gestión del riesgo

Annex 13. Evaluation matrix

Relevance

Indicators: Documentation desk study, beneficiary feedback, field visits observations, Programme monitoring results, countries statistical DRM data, implementing partner's web site.

Means of verification: Logical framework of the Programme, Logical frameworks of the Projects approved within the Programme, Programme documentation, desk study, beneficiary visits, field visits interviews, countries and regional statistical DRM data.

Key question: Do the three results expected from the programme (including the Dominican Republic component) correspond to the prior DRM needs of the region and the concerned countries?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - The Caribbean is one of the regions with the highest risk of natural hazards (hydro-meteorological and geological). Increase of disasters related to natural hazards is very likely due to climate change and most effective DRM is a priority in all countries and on regional level. - NDRM is in line with regional / national policies and strategies and aligned to the overall guiding Comprehensive Disaster Management (CDM) strategy. - The expected results are still totally in line with the regional priorities reviewed in November 2016, the four Caribbean Disaster Management Regional Priorities) and the four Sendai Priority Actions formulated in 2015 <ul style="list-style-type: none"> ▪ R1 (Capacity of National Disaster Offices (NDOs) and CDEMA's Coordinating Unit strengthened for implementation of Comprehensive Disaster Management (CDM)) contributes mainly to the priority # 4 (Institutional Strengthening) of regional priorities reviewed in November 2016 ▪ R2 (National, local and regional resilience through strengthened early warning, national risk profiling and community-based DRR and CCA) contributes mainly to the regional priorities # 1 (Early Warning Systems) and # 2 (Community Resilience) reviewed in November 2016 	<ul style="list-style-type: none"> - R1, 2: Sub-projects/activities in BMC depend on proactivity of beneficiaries and not necessarily on the most urgent needs in the countries. - Recommended actions to address priorities reviewed in "CDM Signature Event "just in part fit with NDRM programme activities. 	

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

<ul style="list-style-type: none"> • R3 (Sector resilience strengthened in key public policy sectors, through DRR and CCA mainstreaming) contributes mainly to the regional priority # 2 (Community Resilience) reviewed in November 2016 • R4 (Strengthened organisational and functional structures and capabilities of the National System for Integrated Disaster Risk Management (SN-GIRD) contributes to the regional priority # 1, 2, 3, 4 and 5 reviewed in November 2016. - Demand driven flexible approach (R1, 2) and national component for the Dominican Republic (R4) allow responding to real country needs (responsive to specific and priority DRM work programme needs of the participant states, based on the iteration of their own gaps, challenges and priorities and with a view to complementarities of other ongoing initiatives) - R4 (Dominican Republic) reinforces some of the most relevant issues in terms of risks that were not being addressed by other actions. The project's emphasis on institutional aspects, with the National Emergency Commission itself at the top, and the rest of entities are contributing to the development of new DRR components. 		
Performance indicator: Highly Satisfactory (HS)		

Key question: To what extent is the current design of NDRM adequate to support its objectives? Are objectives and results adequate, realistic and clear? Is the management set-up appropriate?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - Vertical and horizontal links of the log frame are coherent and relevant - Indicators and sources of verification are formulated at overall objective, outcome and activity level and a monitoring plan is available. - Most indicators have been reformulated between the log frames presented in the signed financial agreements and the log frame used since PSC 2 in March 2015. The indicator reformulation has been done to simplify them and for alignment with the indicators of the CDM strategy. 	<ul style="list-style-type: none"> - R4 addresses only the national level and links / interactions with the rest of the programme is not much visible - Actual indicators are not always SMART and baselines are often missing. Some of the outcome indicators are actually activities - Results can only be measured by the sum of the outcome indicators. The indicator reformulations have not always improved the indicator quality. Several are today less SMART than in the initial log frames of the financial agreements and baselines are missing 	<ul style="list-style-type: none"> - R4 stands alone, need to improve linkages to the rest of the programme to justify regional approach - LF use as management tool is difficult. - R4 has been managed as a Direct Decentralized Operation via the Budget Program through the National Authority in charge, in this case the Office of the National Authorizing Officer of the European Funds (DIGECOOM) that is constituted in the Contracting Authority, which assumes the

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme

Specific Contract N° 2016/379923/1

<ul style="list-style-type: none"> - Individual log frames exist for result area 1, 2, 3 and 4 implementation (source: IntraACP_PSC5_1216_05_Work Implementation Plan and Budget). These individual log frames have affined indicators. - Management set-up is comprehensive as: CDEMA has a unique mandate for R1 (legal monopoly situation), CDB has an instrumental role in mainstreaming DRR in the MFPED (R3) and existing financing mechanisms for DRR actions (R2), and the Dominican Republic (R4) is not a member of CDEMA and CDB, justifying a national management set-up. - <i>"The Dominican Republic component has a baseline supported by the implementation of similar initiatives in different vulnerable regions, on strengthening capacities for proper risk management at all levels in the Dominican Republic"</i> - R4: The modality chosen for the R4 management (Budget Program) has been an advantage to date due to the fact that, through Addenda, unspent funds have been able to be transferred from PE0 to PE1 and from PE1 to PE2. DIGECOOM as a Dominican entity responsible for the multilateral funds is familiar with this management modality and knows in depth the contractual mechanisms of the European Union. 	<ul style="list-style-type: none"> - 'Strengthened capacities' on result level are unclear, without definition - R1.It's impossible to separate specific NDRM contribution from other support to CDEMA and CDM implementation. Similar remarks are valid for the indicators of R2, R3 and R4. - It's difficult to link community resilience mechanisms, multi-hazard EWS, multi-hazard risk profiles (R2) and incentive programmes for DRR and CCA, sector specific DRM plans and risk reduction strategies in the water and transport sectors (R3) particularly to the NDRM programme. - The outcome indicators of the Dominican Republic component (R4) are more specific as this component is implemented through a single country project approach. Nevertheless, baselines are missing and indicator R4.1 is not measurable without the criteria for improvement of communication and coordination. Activity indicators are much clearer, but they measure just the implementation of the programme's work plans. - Multiple ongoing DRM, DRR and CCA initiatives - The R4 Project Management Unit has been inserted during PE0 and PE1 within the MINPRE that does not have the expertise of the selected management modality. 	<p>representation of the country. To implement the project, DIGECOOM signed a memorandum of understanding with the Ministry of the Presidency (MINPRE) as the entity responsible for implementation. Within this ministry has been to date the Operational Unit of the project (OU). The programme's Operational Unit (OU), based on MINPRE, has been formed by four people as planned in PE1: Administrator, Accountant, RRD Expert and Bid Manager. The position of Administrator is assumed by the MINPRE while the other three positions are assumed by the Programme</p>
<p>Performance indicator: Moderately Satisfactory (MS)</p>		

Key question: How implementation capacity of programme partners (national and local institutions) has been assessed?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: The action builds on the experiences and evaluations/lessons learnt since the 9th EDF (2007) in cooperation with CDEMA. - R1 is the continuation of the CDM HIP (DFID), closed in 12/2014 - R1+2: Existing funding mechanisms of CDEMA (CDF) and CDB (DIMSOG and CDRRF) are used - R4: DIGECOOM as a Dominican entity responsible for the multilateral funds is familiar with this management 	<ul style="list-style-type: none"> - National/local capacities to formulate qualified sub-project proposals have not been sufficiently assessed or overestimated. - Implementation planning and monitoring capacity of programme partners (national and local institutions) have not been sufficiently assessed or overestimated. 	

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

modality and knows in depth the contractual mechanisms of the European Union.		
Performance indicator: Moderately Satisfactory (MS)		

Key question: To what extent has been initial consultations with, and participation by, local key stakeholders including the EC Delegation, national authorities, and other donors before the design was confirmed and implementation started?		
Strengths	Weaknesses	Comment
- NDRM formulation is based on wide stakeholder consultation survey started in November 2012 (at the request of the CARIFORUM) and gaps and priority studies (CDM audit , EU funded study in 2010)	- The stakeholder consultation /studies during the programme formulation process have not given sufficient attention to national project proposal formulation capacities.	- Reason for significant implementation delays.
Performance indicator: Moderately Satisfactory (MS)		

Key question: Have relevant facts / circumstances taken place in the project context (political, economic, social, etc.) since the project was designed and implemented? Have these facts / circumstances affected the project? Did the project adapt to these changes? Is there a risk management strategy in order to adapt to changes in the external factors and has it been applied		
Strengths	Weaknesses	Comment
- Relevant risks and assumptions have been identified since the action fiche. They have been affined and completed during the programme and a plan for risk mitigation measures is available - Hurricane Matthew (October 2016) slows down programme activities however allowed to test with success coordination's mechanism between CDEMA and participant states and to strengthen coordination with Haiti.	- R3: no specific assumptions and risks are formulated - Addressing assumptions and/or risks of political will, readiness and financial capacities in particular of the Ministries of Finance, Planning and Economic Affairs seems to be important. - R4: one of the risks identified for R4 (new legal framework for DRR is not approved throughout project's implementation period) is affecting the project (based on the ROM and the statement 5.1.21 of the 4th meeting of the programme steering committee) but in a limited way. - NDRM adaptation to the confirmed risk of 'limited capacity of BMC for project proposal and work implementation plan development' is slowly and only partly ensured through more TA and trainings. Sub-project selection referring to the 'new recommended actions to address priorities' identified in Nov 2016 is only possible for the remaining open CfP.	- R3: Addressing assumptions and/or risks of political will, readiness and financial capacities in particular of the Ministries of Finance, Planning and Economic Affairs seems to be important. - In preparation to the Caribbean Disaster Management (CDM) Signature Event "Annual Achievements and Priorities in Disaster Risk Reduction (DRR) in the Caribbean" that took place from 22 to 23 November 2016 in Barbados, countries reviewed their national DRR priorities and come up with their top three national priorities. Building on these top three national priorities five regional priorities were identified based on communalities. - Specific attention should be given from MTE if projects funded under R2 (and R3) are going to take in account of regional priorities reviewed in November 2016. - Recommended action to address priority # 1 (Early Warning Systems - http://dipecholac.net/annual-achievements-in-barbados/docs/disaster-risk-reduction-

		<p>priorities-for-the-caribbean-region.pdf)) should be taken in consideration from implementing partners.</p> <ul style="list-style-type: none"> - R4: the MTE mission has to check how the project is adapting its strategy to resolve the issue “new legal framework for DRR not approved” and if proposed mitigation measures are being put in place.
Performance indicator: Moderately Satisfactory (MS)		

Effectiveness

Indicators: documentation desk study, beneficiary interviews, field visit, Programme monitoring, countries statistical DRM data.

Means of verification: Documentation desk study, field visits interviews, sector statistics information, progress reports, evaluation of calls for proposal grants, Programme financial reports

Key question: How much progress has NDRM done towards the achievements of its stated results and outcomes as identified in the Logical Framework Matrix? What is the quality of the results/services available? Have actions already implemented delivered the expected benefits?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: implementation progress +/- in line with planning and high demand and implementation rate of Country Directed Fund (CDF) up to <10,000 Euros (simplified process) - R1: Improvement process of CDEMA's internal finance management system to become eligible for international indirect budget management support is ongoing with first positive results. - R2+3: The complicated and slow preparatory work following CDB procedures for sub-project approval (R2), staff recruitment and TA contracting (R3) is nearly finished and sub-project contract signatures until July 2017 seem to be possible. Provided assistance and guidance for project proposal development is appreciated by most sub-project promoters - R3: TORs and project description for TA for tool development show a high quality standard - R4: changes decided recently in the R4's management 	<ul style="list-style-type: none"> - R1: Smaller delays in improving ICT equipment and TA /CDF delivery to BMC against planning - Continuity of CTSM services offered is at risk due to lack of funds: EU funding ends February 2017 and BMC do not pay the whole foreseen obligatory financial contribution to CDEMA's budget. - R 1 and 2 are mainly demand driven, not all BMC profit in the same way. Some CARIFORUM states profit up to now not at all (Haiti, Suriname Bahamas,..) even if some are the most vulnerable for natural disasters (ex: Haiti) - R2 + R3: important implementation delays: up to now one of the two project officer posts is filled (since June 2016), three sub-projects have recently (January 30th, 2017) and three others in December 2016 been approved for outcome 2.1 and 2.2. (R2). TOR for National Risk Profiles (outcome 2.3) and Knowledge-Attitude-Perception (KAP) studies (outcome 3.1) are under preparation. One Technical Assistance (TA) 	<ul style="list-style-type: none"> - R1 CDEMA has to concentrate efforts on improvement of the internal finance management system and its full implementation to ensure reaching of required benchmarks until the end of NDRM. - Very limited capacities of BMC in proposal and work implementation plan development are a challenge for R1 and R2. Speeding up through outreaching to TA and consultants would reduce significantly local ownership. - R 2 +3: High risk that follow-up actions can't be realised in the remaining time, time extension for sub-project implementation beyond 12/2018 necessary

<p>system should speed up implementation during PE2 The quality of most of the products delivered to date is high. Courses to date have also been evaluated very positively.</p>	<p>(Water sector tool) contract to develop tools for outcome 3.2 started on Jan 2nd, 2017, the other TA for the transport sector tool is still under development.</p> <ul style="list-style-type: none"> - R4: low implementation delays. Expected achievements are likely up to the end R4 has accelerated activities substantially. Regarding Outcome 1, the bottleneck (validation of the SINI architecture) has been solved Outcome 2: delays are going to be overtaken by the support of CNE staff and voluntaries in the field and mitigation measures include increasing of simultaneous actions. Outcome 3: the bottleneck will be solved through a grant agreement with the Ministry of Health 	
<p>Performance indicator: Moderately Unsatisfactory (MU): R1+4: MS, R2+3: U</p>		

Key question: In case of no or partial achievement, what are the reasons and the prospects for achievement? Have risks been taken into account?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: CDEMA increases support to help BMC in project proposal and Work Implementation Plan development due to the observed problems (risk mitigation) - R 2+3: Mitigation plan with budget reallocation between R2 and R3 and reformulation of outputs have been presented during PSC5. - CDB provides already assistance and training for project proposal development following CDB standards and intensified TA with additional external consultants to help beneficiaries in proposal formulation is now foreseen by CDB as risk mitigation. - R2: new risk of 'low beneficiary capacities to formulate project proposals' has been discovered and new TA to help beneficiaries in proposal formulation is now foreseen - R4: The schedule of activities of R4 has been revised and PE2 is incorporating many of the activities foreseen in PE1. The programme has passed the most difficult phase and bases have been set to reduce risks and allow a smoothly implementation of activities and result achievement. 	<ul style="list-style-type: none"> - R1+R2: Difficulties to implement CDF for action from 10,000 -60,000 Euros (competitive procedure), few country demands and proposals often don't reach the approval quality criteria. - R 2+3: Limited capacities of BMC in project and work implementation plan development currently don't match with administrative procedures for approvals and requested quality standards for project proposals. - Another main cause for crucial delays of R2 and R3 is due to slow recruitment processes for additional staff and TA contracting. - CDB quality standards are high, resulting in the need of several time-consuming reworking on nearly all submitted sub-project proposals. - R4: main reasons for delays have been changes, tensions and lack of in-depth knowledge of EU procedures within the Operational Unit (OU) of the Programme (R4). This has been accompanied by misunderstandings regarding validation processes and decision making (e.g. validation of SINI – R1). Other more external causes have been the electoral process (2016) and change of responsible in some public 	<ul style="list-style-type: none"> - R2+R3 Mitigation Plan foresees budget shifts and some reduced activities/outputs for R3; new sub-projects partly by CDEMA, having procedures for starting sub-projects in a shorter time frame. - Procedures and high quality standards for country project/action proposals are a challenge. BMC have not the necessary project formulation capacities and this hinders programme implementation for R1, R2. Need: Either TA for BMC to formulate good proposals or more simple selection procedures, adapted to BMC capacities - R 2+3: High risk that new sub-project proposals can't be developed and approved until 7/2017 (deadline for contract signature) - R3: pilot application (3.2.4) in 2 countries of the mitigation plan seems to be not realistic - R4: The programme has passed the most difficult phase and bases have been set to reduce risks and allow a smoothly

<p>Change of management (from MINPRE to CNE) is expected to facilitate the process.</p> <p>The probability to overcome the difficulties experimented in the past and to achieve R4 is high. This is justified by considering (among other reasons) that CNE has a deep knowledge of the Programme and will make available the necessary staff and volunteers for direct implementation of part of the activities.</p> <p>- Overall: programme external metrological events like hurricane Matthew and intensive floods (e.g. in SVG) have been confirmed in 2016, slowing down programme's implementation. However, they have been no significant challenge for achieving NDRM results.</p>	<p>institutions (e.g. Ministry of Health). Delays in approval DRM Law initially mentioned as a possible cause, has not been really relevant for the delay.</p> <p>There is a risk related to the exit of 3 of the 4 members of the Operational Unit (OU) and the reduction of the team to three persons (administrator, accountant, responsible for purchases and tenders).</p>	<p>implementation of activities and result achievement. Change of management (from MINPRE to CNE) is expected to facilitate the process.</p>
<p>Performance indicator: Moderately Unsatisfactory (MU): R1+4: MS, R2+3: MU</p>		

Key question: How can the programme management by the different implementation partners in general be evaluated (both technical and financial)?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: CDEMA's management of R1 and its overall NDRM coordination is correct without significant observations. The accordance by PSC5 of additional working days to prepare PSC documents is justified as the team has done this satisfactory work before as additional task. - R2: CDB Mitigation plan foresees new sub-project implementation partly by CDEMA, having more appropriate procedures for starting sub-projects in a short time frame. - R3: CDB ensures a professional project /TA contract preparation including LF which can be used as management tool (SMART indicators), screening of crosscutting issues and OECD evaluation criteria 	<ul style="list-style-type: none"> - R1: smaller challenges exist in the monitoring system, in particular impact monitoring of trainings, workshops etc is missing. - R2+R3: CDB's result orientated management capacities seem to be limited. Main issues in implementation of NDRM are BMC's capacities not matching with administrative procedures for approvals and required quality standards for project proposals. Additionally, slow project staff and TA recruitment processes slow down NDRM implementation significantly, technical and financial. The planned 2nd project officer for R3 is not yet recruited; the officer for R2 recruited late, in June 2016, ensures actually both functions with the support of the permanent CDB staff. This appreciation of CDB management performance by the MTE mission is shared by the donor's community. A performance improvement plan, outside the scope of NDRM, has been developed in consequence and is under implementation within CDB since 2014, progresses are there but slowly. - R4: Dominican Republic component (R4) develops up 	<ul style="list-style-type: none"> - R 2+3: Management arrangements creating additional tasks outside the usual portfolio should be avoided in future programmes (11th EDF) to improve sustainability and to reduce expensive external TA costs. - R1+2+3: Call for proposal procedures for sub-projects of CDEMA seems to be more appropriated than these of CDB. In the future (EDF 11th), financial EU contribution should be delegated in preference to CDEMA. This implicates a need to strengthen CDEMA capacities to be eligible for direct contribution agreements with EU.

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

	to now as a stand-alone national programme. Exchange and coordination with the other results are very limited and largely insufficient to justify a regional programme approach	
Performance indicator: Moderately Unsatisfactory (MU): R1+4: MS, R2+3: MU		

Key question: How is the quality of programme reporting, monitoring and documentation? How the Programme is practically measuring the programme objectively verifiable indicators (OVIs). What are the main limitations for monitoring Programme achievements?		
Strengths	Weaknesses	Comment
<p>Overall: A performance monitoring plan for NDRM is developed (PSC5) and the results should be integrated in the CDM Monitor. A Performance Monitoring Framework (PMF) for CDM 2014-24 is developed</p> <ul style="list-style-type: none"> - R1 (CDEMA) reporting is in time and comprehensive. - R2, 3: CDB has a sophistic overall monitoring system and use performance core evaluation criteria and crosscutting issue scoring for planned TA interventions. - R4: The project has an adequate technical monitoring system that allows the access and management of relevant data. The sources of verification are clear and unambiguous. Indicators, especially those of result, incorporate goal values that are in general realistic and also incorporate calendar of attainment of the goal. The program started from a good diagnosis of the reality in which it works; however in many cases (by the type of program) the starting point was 0. In other cases, specific diagnostic documents were elaborated that have been used as line of base. Baselines have not been updated for each indicator. Reporting is complete, in time and in line with EU guidelines. 	<ul style="list-style-type: none"> - Overall: The monitoring plan is not yet implemented and the CDM Monitor is not yet operational (no access on CDEMA webpage), no overall monitoring of NDRM has been done since programme's start. Several OVIs are difficult to measure and without clear baselines. A lot of baselines of the PMF for CDM 2014-24 are still pending. The CDM Monitor has still some ICT problems, reports should be generated manually and there is no access to it on CDEMA webpage. Monitoring challenges have been realised by CARICOM even at their highest strategic level. A Technical Assistance is already engaged to improve the general monitoring system for CARICOM's strategic outcomes and results (social and environmental resilience). This work will start in March 2017. - R1: No monitoring of the use/ impact of trainings for BMC - R2, 3: it is not clear for the MTE mission how the CDB overall monitoring system will allow monitoring specific NDRM financed sub-projects and activities. No information is given how quality and impact will be monitored against the NDRM (CDM aligned) indicators. Each sub-project has its specific monitoring framework for the foreseen action; direct links of the sub-project indicators, most just on implementation status level, to the NDRM indicators have not been observed by the MTE mission. - R4: The monitoring that has been carried out to date 	<ul style="list-style-type: none"> - R1: Monitoring of CDEMA's Corporate Plan allows tracking of R1 activity implementation status, but no quality monitoring of use or impact of trainings for BMC or other activities is done and no overall monitoring of the NDRM indicators has been done since the programme has started. CDEMA should present in December 2017 the first 2 year report on implementation of the CDM implementation plan 2014-24. A consultant is already hired to from February 6th, 2017 on the improvement of the CDM Monitor to render it operational. - Overall programme monitoring is an important challenge. Poor OVI quality (not SMART) is the main limitation, but improvements are needed for all implementation partners needed to measure quality and impact of actions and specific NDRM action impact (R2+3)

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

	<p>has been basically of an administrative and financial implementation aspects and has not entered into substantive aspects of the programme. The OU analyzes the performance of the activities and the achievement of the products but does not reach the level of the results. There has been no clear monitoring of all aspects of the programme, including political aspects, and this has led to duplications, double-track and efficiency losses. The R4 Steering Committee has not played, in this sense, a true monitoring role of the programme.</p>	
Performance indicator: Moderately Unsatisfactory (MU)		

Key question: To what extent the Steering Committee's composition is relevant in guiding the Programme?		
<p>Strengths</p> <ul style="list-style-type: none"> - PSC meetings take place as planned and PSC is effectively guiding the programme, taking decision and following the implementation of recommendations. - Presence of other main donors in the sector as observers can help to ensure coordination 	<p>Weaknesses</p> <ul style="list-style-type: none"> - Potential BMC beneficiaries except the Dom. Rep. are not presented in the PSC - The large number of PSC members makes reaching of required Corum in the meetings difficult, causing delays. - Delay in sending/receiving documents /reports needed in PSC meetings 	<p>Comment</p> <p>Steering Committee's meetings should be taken advantage to discuss strategic issues without limiting to reporting and operational and administrative issues</p>
Performance indicator: Satisfactory (S)		

Key question: Have all planned target groups access to / using programme results available so far?		
<p>Strengths</p> <ul style="list-style-type: none"> - R1: CDEMA has set up a Programme Board, regrouping all BMC. Smaller funding (< 10,000€) through CDF and support through CTSM and TASP are appreciated and used by the target groups - R1: 86% (12/14) of NDOs have been supported: Relief Supplies Tracking System Training (RSTS), participation and presentation at the CDM Conference 2015 and Technical Advisory Committee, 10 WS/trainings in 5 countries through CDF responsive simplified process, 8 proposals approved for CDF (10,000 – 60,000Euros). Furthermore, 14 countries have been supported through CTSM and TASP for CDAC/COST/ DANA and CDRU Training. 	<p>Weaknesses</p> <ul style="list-style-type: none"> - R1+2: BMC have only access to funds in case of approved project proposals. - R2+3: N/A, no products up to now - R3: Quality and benefits of services and actions can't be appreciated at MTE stage - R4: A systematic monitor of training has not been carried out, however this is in part happening (formalising is foreseen during PE2). 	<p>Comment</p> <p>EWS: the programme should pay specific attention to ensure that the 4 recognised elements of EWS are considered during implementation. Moreover the conclusions on the Early Warning Systems state of play in the region, gathering main orientations on how to work on EWS, should be consulted as well as the desk review on Early Warning Systems in the Caribbean recently developed by UNDP.</p>

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

<ul style="list-style-type: none"> - R4: interesting examples on how capacity built through training is already used and put in practice (e.g. DRM diploma carried out in PE1: training is already having a positive impact on the measurement of the ISCERD index → 48 educational centres evaluated by technicians certified within the programme 		
Performance indicator: Moderately Satisfactory (MS)		

Key question: What is the likeliness of programme results being achieved in the programme timeframe?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: Most outcomes and activities are likely to be achieved in the timeframe - R2+3: A mitigation plan presented by CDB to PSC5 in December 2016 foresees budget shifts and some reduced activities/outputs for R3 to adapt to the implementation delays. However, applying the proposed mitigation plan can solve the problem only partly. - R4: Despite the low degree of progress of some of the products, there is a good chance that they will lead to the expected results - R4: The schedule of activities has been revised several times and PE2 is incorporating many of the activities foreseen in PE1. The programme has passed the most difficult time and many bases have been set for some of the products to be achieved during PE2. 	<ul style="list-style-type: none"> - R1: More support and efforts are necessary to implement foreseen CDF for action from 10,000 - 60,000 Euros (competitive procedure) - R2+3: important implementation delays: contract signature for Technical Assistance and sub-projects until the deadline in July 2017 seems to be still possible, but there's a high risk that not all 15 (19 following CDB mitigation plan) sub-project proposals (R2.1 and R2.2, see annex xx) can be approved until July 2017 (deadline). Several follow-up actions after the first Technical Assistance input step for national risk profiles (R 2.3), Knowledge, Attitude and Perception (KAP) studies (R 3.1) and for tool development in the water and transportation sector (R 3.2) can't be completely realised in the remaining time. Time pressure for the development of four new project proposals (R2) following the mitigation plan proposition is very high. Furthermore, outcome 3.1., addressing sensitisation and behaviour changes towards DRM in the MFPED, is not at all realistic with the proposed measures and activities and in the remaining time of NDRM. Dissemination activities of the expected products at the end of the sub-project implementation phase will be for most of the proposed sub-projects a major time challenge due to the late start-up . 	<ul style="list-style-type: none"> - Result achievement is likely because result formulation is not very precise and without OVI, there is no definition of 'strengthened capacities' - The financial contribution agreement EU – CDB for the NDRM programme has been signed in July 2014 and all subcontracting must be signed at least three years after signature of a contribution agreement following EU regulations. - Due to the implementation delays, time extension for sub-project implementation beyond December 2018 will be necessary - The expected outcome 3.1 is seen by CDB in a long term perspective within the CDB mid-term strategy. The MTE mission is convinced that delivering expected products and reaching the targets of the indicators for this outcome in the by NDRM fixed time frame will not be possible.
Performance indicator: Moderately Unsatisfactory (MU): R1+4: MS, R2+3: U		

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

Key question: Did the Programme have enough capacities and human resources to manage the implementation of their projects?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: CDEMA has a qualified team (CTSM, TASP) able to build capacity and give technical assistance themselves to the participant states (e.g. support to Haiti during four weeks in occasion of Hurricane Matthew, several trainings delivered to BMC). - R2+3: CDB has some high qualified staff. CDB ensures a professional project /TA contract preparation including LF which can be used as management tool (SMART indicators), screening of crosscutting issues and OECD evaluation criteria - R4: The composition of the Dominican Republic's steering committee is adequate; the further inclusion of INAPA (National Institute of Drinking Water and Sewerage), Ministries of Health and Education is highly relevant and opportune. Government institutions are having an important role in programme implementation, adding value and ensuring sustainability. 	<ul style="list-style-type: none"> - R1: Technical team (CTSM) should be paid by Participant States from February 2017 (costs are now covered by the Programme), this will happen just in part and, if the Programme won't cover the existing gap, continuity of services offered by the team will be interrupted. - R2+3: CDB absorption capacities are limited. It's understaffed regarding the large donor funding for project implementation. High turn – over of staff, very high quality standard for project proposals and slow /complicated administrative procedures to recruit staff / TA and to approve project proposals limit their performance. A performance improvement plan is implemented since 2014, progresses are there but slowly. - R3: The planned project officer is not yet recruited, the officer for R2, recruited late in August 2016, ensure actually both functions. - R4:Operational Unit (OU) experimented important difficulties during PE0 and PE1 but is now been renewed and is expected that now will work properly. Initially OU was inserted within the MINPRE that did not have the expertise of the selected management modality (Programme Budget). This raised some problems and didn't allow an efficient management of resources. Programme management in PE2 shifted to the National Emergency Commission (CNE) that has enough capacities and human resources and, in the last two years, developed (among others) a very positive record in planning and implementation. 	<ul style="list-style-type: none"> - R1: Disappearing of CTSM is a risk that should be avoided as capacity building in BMC is a major need and effectiveness of the CTSM mechanism is approved. - R2+3: The donor community is partly responsible for the CDB problem. Being the only entity in the Caribbean, which can be accredited for large fund, all large financial partners pass through CDB. This will continue as CB is accredited for the Green Climate Fund since 2016. Significant performance increase and additional staff to treat the project proposals are needed.
Performance indicator: Moderately Satisfactory (MS): R1+4: MS, R2+3: MU		

Key question: How practical and strategic gender interests have been considered in the Programme. In which way the Programme is approaching gender mainstreaming in the Programme? (CROSS CUTTING)		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: CDM has a gender work group - R1+2: Several outcomes (1.1, 2.1) and actions (in 	<ul style="list-style-type: none"> - No specific gender monitoring, just two indicators (R2) of the individual LF are gender differentiated, general 	<ul style="list-style-type: none"> DRM concerns everybody but gender differentiation is much more relevant at sub-project

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

<p>particular CDF smaller actions) place a strong emphasis on community participation and awareness and links with Civil Society</p> <ul style="list-style-type: none"> - R2+3: CBD has a cross cutting screening system that include Gender Marker for Capital Projects and TAs over USD50,000 - R4 In some indicators related to the attendance of training courses exist a disaggregation by sex 	<p>LF is without gender perspective</p> <ul style="list-style-type: none"> - All: The Programme does not make any reference to gender issues and if OECD gender scoreboard would be applied, it would get a 0 as a score. Neither has the program paid particular attention to obtaining disaggregated data from the participants of the activities carried out. - R1: Existing gender differentiated activities (sensibilisation actions, trainings, etc) are not reported 	<p>practical field level than at the regional level of this programme</p>
<p>Performance indicator: Unsatisfactory (U)</p>		

<p>Key question: How environmental constraints and opportunities have been considered in the Programme design? Have they been monitored and taken into consideration during the implementation? (CROSS CUTTING)</p>		
Strengths	Weaknesses	Comment
<p>Overall: The Programme's objectives will contribute to environmental sustainability of the CARIFORUM States through the provision of information on potential risk from natural hazards and the strict compliance with internationally agreed best practices on environment-friendly resilient infrastructure, equipment and livelihoods.</p> <p>Several expected outputs, sub-projects and activities address the integration of potential risks from natural hazards into sector policies, strategies and action plans and adaptation of communities to ensure more resilience and environmental sustainability at local level.</p> <p>R2+3: CDB does crosscutting issues screening for all subprojects and TA interventions</p> <p>R4: In Dominican Republic, the National Climate Change and Clean Development Mechanism (CNCCMDL), the National Meteorological Office (ONAMET), the National Bureau of Earthquake and Vulnerability Assessment of Infrastructure and Buildings (ONESVIE) and the National Institute of Drinking Water and Sewerage (INAPA) are participating in the project's Steering Committee</p>	<ul style="list-style-type: none"> - R4: To date, there has been no consideration of the most global and relevant environmental factors for the country (watershed management, deforestation, territorial planning, agricultural risks, etc.) within the project design. 	
<p>Performance indicator: Moderately Satisfactory (MS)</p>		

Efficiency

Indicators: Progress Reports, Programme documentation, beneficiary feedback, field visits observations, Programme monitoring, documentation desk study.

Means of verification: Analysis of the Logical framework of the Programme and of the Logical frameworks of the Projects approved within the Programme, Programme documentation, desk study, beneficiary interviews, field visits, evaluation of calls for proposal grants.

Key question: How well are NDRM resources used in terms of funds, human resources, time and expertise compared to the output produced to date? Do the results achieved justify the costs? Or could the same results be achieved with use of fewer resources and/or more quickly?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: Nearly all budget lines are respected, just some insignificant higher costs for Programme Board meeting, Signature event and travels. High value for money for CTSM, TASP - CDEMA's improvement of the internal financial management system is underway with first positive changes. - R2+3: N/A, very few financial resources are used up to now - R4: Resource planning and budgeting have generally been correct and the balance between activities costs (around 75% of the budget) and operating costs, including staff (around 25%), seems reasonable in a project of these characteristics. The cost of the products delivered to date is reasonable and is within the parameters of the sector. In some cases, even the results of some of the consultancies are well above expectations in the Terms of Reference. The balance between the costs assumed by the project in the training (staff, refreshments, accommodation, etc.) and those contributed by the partner (locals, announcements, etc) are within the normal parameters of this type of actions. Project resources are executed transparently. The audit report is quite positive and does not detect serious problems. 	<ul style="list-style-type: none"> - Overall: Important disbursement delays against planning: Total following EU CRIS (1/2017): 28.89%. R1+4 are +/- in line, but R2+3 is limited to 18.7% (2,300,000€). With this 1st payment to CDB, less than 100,000€ are to date really disbursed. Real CDB disbursement in August 2016 cumulated 0.16% only of their budget. Visibility actions are budgeted several times (by each partner and by EU). CDEMA has the overall coordination / reporting mandate and should logically ensure overall visibility of the programme. Double budgeting by CDEMA and EU is not clearly justified. Furthermore, the proposed communication and visibility plan from ATREVIA is very detailed, exceeding the real and expected needs of NDRM. - R1: High staff, TA for CDEMA and management costs (> 1,700,000 €) compared to benefit through CDF for BMC (1,736,250 €), some expenses are not done as programmed because of implementation delays Disbursement of funds to sub-projects under CDF Call for Proposals (10,000 – 60,000€) is still low. Interest and requests from BMC are limited for this funding opportunity and few proposals reach the quality criteria. - R2+3: Funds and human resources are used up to now for staff and preparatory works, nearly without reaching the implementation level. - R4: The budget execution rate for activities is less than 20% in August 2016, although in the last two months 	<ul style="list-style-type: none"> - Programme implementation through several regional institutions and financing contribution agreements increase % of staff and management costs and less funding is available for beneficiaries. Future programmes should reduce % of management costs by simplified management arrangements and more significant funds for less institutions. - R1+2: Trickle-down implementation (EU – Regional institutions – Cfp) slows down project implementation and used a lot of time and human resources for administration in the regional structures - Significant disbursement speed-up and value for money improvement can only be expected with larger start-up of sub-projects and TA of R2+3, using more than 60% of the total budget. - According to EU procedures for Contribution Agreements, all sub-contracts (Technical Assistance and sub-projects) have to be signed three year after signing the Contribution Agreement, otherwise funds are reverted to EU HQ and not any more available for the programme and the region. This means that CDB has still to sign contracts for 16 sub-projects (R2) and for two important TA contracts (R3) until July 2017.

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

	<p>resources have been committed through tendering processes increasing disbursement up to 44%. The percentage of execution of the operating items (offices, staff and other expenses) has been executed close to the expected (about 60%). Several of the consultancies that were summoned by tender were deserted when no candidacies had been presented. The amount envisaged was scarce and therefore unattractive to the entities to which it was convened. This required a repeat of the tender process with the consequent delay. This affected the implementation of the action as a whole since some activities depend on the performance of others. Although the program does not provide for counterpart funds from the Dominican government, the costs of the Administrator and some infrastructure expenses are provided by the partner (MINPRE). These resources have been provided with some delays and the decision making on basic issues such as furniture, have also been delayed by the partner.</p>	-
Performance indicator: Moderately Unsatisfactory (MU), R1+4 MS, R2+3: U		

Key question: Is the communication between implementing actors and the EU satisfactory?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - Overall: EU participate regularly in all PSC and additional meetings to discuss specific implementation items with the implementation partners take always place if necessary - CDEMA: good communication with the D.G. ECHO funded DIPECHO programme and its implementation partners, in particular the Red Cross, in all visited countries. - R4: Good communication exists between implementation partners and EU in Dominican Republic; however more proactivity of implementing partners could improve to prevent difficulties. The EU Delegation has been throughout the process of the project respectful with the leadership role of the Dominican authorities. The EUD participates in the 	<p>R4: There have been minor confusions in terms of recruitment modalities that have finally been resolved (e.g. the agreement with the Ministry of Health for the evaluation component of safe hospitals had to be resolved through a grant, for which a derogation was required by the EU).</p>	

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

<p>Steering Committee and together with the MINPRE and the DIGECOOM participates in the bi-monthly monitoring of the project. The role and behaviour of the EUD is generally acknowledged as positive by the partners.</p>		
<p>Performance indicator: Satisfactory (S)</p>		

<p>Key question: How well the Technical Assistance inputs have been provided to develop local capacities and to produce concrete results?</p>		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: 14 BMC are supported through CTSM and TASP within the CDEMA staff and these trainings are highly appreciated by the beneficiaries. TA to CDEMA CU has been useful, improvement of the financial management system and a revised Operational Manual are underway. A large number of trainings (COST, CDAC, DANA) are provided by CDEMA to BMC to strengthen the Regional Response Mechanism (RRM) - R2: direct support through CDB staff for sub-project proposal development - R4: quality of most of the products delivered by is high. Outcome 4.1 have been rated as very good and especially the Training Plan is being used and has been an important advance. Courses to date have also been subject to very positive evaluations. In output 4.2, the PMR Committees consulting products have been rated as good quality. The product of the consultancy of selection and diagnosis of the 7 vulnerable communities is of a great quality, above expectations. Outcome 4.3, the results in relation to the components of safe schools and aqueducts are of very good quality and, in fact, may be replicable good practices of the project. The methodologies for the evaluation of safe are being applied with good results. 	<ul style="list-style-type: none"> - R1: Impact of trainings through CTSM and TASP is not systematically monitored by CDEMA and can only be appreciated in case of better concrete intervention as p.e after a hurricane event. - R1+2: TA to BMC to develop project proposals and work implementation plans is still insufficient. Most project proposals do not reach the minimum criteria of the CfP - R2+3: The first TA started on Jan 2nd, 2017 only. Up to now, no TA has been provided to develop local capacities and an appreciation is impossible at MTE stage. 	<ul style="list-style-type: none"> - R1: Correct use of a revised Operational Manual might allow CDEMA to reach the benchmarks of the EU Pillars Assessment. - Already provided TA under R1 and R4 seems to be of good quality but more should be done and the impact of TA and other capacity building activities needs monitoring.
<p>Performance indicator: Satisfactory (S), N/A for R2+3</p>		

Potential impact

Indicators: Progress Reports, Programme documentation, beneficiary feedback, field visits observations, Programme monitoring, documentation desk_study

Means of verification: desk study, field visit interviews, evaluation of calls for proposal grants.

Key question: Are actions already implemented likely to help achieving the programme overall objective of reducing vulnerability to long term impacts of natural hazards, including the potential impacts of climate change, thereby achieving regional and national sustainable development and poverty reduction goals in the CARIFORUM?		
Strengths	Weaknesses	Comment
NDRM contributes to strengthen national and local capacities for DRM and wants to reduce national financing gaps for DRM by sensitising Ministries of Financial Planning. NDRM has a potentially positive impact if all outcomes can be realised.	- Very few actions have advanced at MTE stage. Trainings and other technical support by CDEMA to BMC and in R4 are the main field implementations. Unfortunately, NDRM does not monitor if and how trainings, workshops and conferences improve participant's performance. Few observations during hurricane Mathew show improved coordination of interventions, which contributes to the goal, but it's not significantly and insufficient for general impact appreciation.	NDRM alone is insufficient, it needs complementary infrastructure investments and additional funds to implement national plans to have a significant impact on reducing vulnerability
Performance indicator: Moderately Satisfactory (MS)		

Key question: Does the programme have an impact on the DRM/CCA policies and strategies at regional and /or national level?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: CDEMA's work improves coordination between BMC and supports the use of CDM as guiding strategy and action plan by all countries. This contributes to more harmonised use of tools, concerted interventions and the real field implementation of the regional policy. - R2: Several sub-projects proposed by BMC government structures to CDB address the development/review of DRM/CCA policies, strategies or guidelines. - R3: KAP study that will be carried out by CDB is expected to improve understanding of Ministries of Finance and Planning and speed up policy agenda related to DRR issues in the region. - R4: The program has reinforced some of the most relevant risk issues that were not being addressed by other actions. The programme's emphasis on 	- Most impacts are still a potential. NDRM future actions have to show that they generate these impacts. The significant implementation delays risk that key activities to reach the outcomes can't be realised and impacts will be pending	

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

<p>institutional aspects, with the National Emergency Commission itself, is already contributing to the development of new DRR components. The contribution to the Strategic Plan of the Risk Management Training School, the launching of the SINI, the strengthening of the capacities of the Ministry of Education or INAPA and, above all, the local reinforcement actions to the PRM Committees are realities in the line of strengthening DRR policies in the Dominican Republic.</p> <p>The Directorate General for Risk Management has been recently created by Ministry of Education in Dominican Republic. According with the Managing Director of the Institution, NDRM has substantially contributed (together with other initiatives) to this decision.</p> <p>Another initiative that has already a positive impact on policies and strategies at national level (R4) is the "tool for safe water systems". The tool was presented to the board for APS's reform and modernisation (Drinking Water and Sanitation). All the ministries related to the sector now know the tool and INAPA has been selected for its implementation. The tool is an innovation and is a specific added value of NDRM.</p>		
Performance indicator: Moderately Satisfactory (MS)		

Key question: What is the impact of the Programme at beneficiary country level, with regard to regional coordination and capacity building?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - All results contribute to national capacity building. In particular R1 and R4 have already impacts for capacity building and regional coordination (R1). - R1: Regional coordination and national technical capacity building is the core task of CDEMA, addressed by R1. - R2 should deliver upgrading of national policies/guidelines, technical equipment and financial resources to implement field projects in communities. - Furthermore, R3 should improve the national DRM implementation environment by working with decision 	<ul style="list-style-type: none"> - See previous question: delays and risk that not all activities can be realised during NDRM life time, in particular for R3 at a higher political level. - Technical capacity building does not automatically improve acting of people. Financial capacities to implement potential innovations are often missing in BMC. - Unfortunately, NDRM does not monitor if and how trainings, workshops and conferences improve participant's performance. Financial capacities to implement potential innovations are often missing in 	<ul style="list-style-type: none"> - Few observations during hurricane Mathew show improved coordination of interventions, which contributes to the goal, but it's not significantly and insufficient for general impact appreciation. - The DRM National School has a 5-year training strategy and plan, and started the process to reach the standards needed to get certification by the Ministry of Education.

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

<p>makers on high political level.</p> <ul style="list-style-type: none"> - R4 has an important training programme with the Ministry of Education and training institutions on DRM - Interesting examples on how capacity built through training is already used and put in practice: 48 school centers in Dominican Republic were assessed and ISCERD index, defined by twenty three technicians certified within the DRM educational programme, carried out by NDRM. The technicians will be contracted within an AECID programme to carry out further assessments and a new DRM certificated course is expected in PE2. 	BMC.	
Performance indicator: Satisfactory (S)		

Key question: Does NDRM have unforeseen positive or negative impacts?		
Strengths	Weaknesses	Comment
Up to now, NDRM has no unforeseen impact		Most impacts are still a potential and NDRM future actions have to show that they generate it.
Performance indicator: N/A		

Key question: Are any external factors likely to jeopardise the programmes' direct impact (assessment of risks affecting impact)?		
Strengths	Weaknesses	Comment
	<ul style="list-style-type: none"> - The financial crisis affected all BMC and their financial commitments to regional organisations, in particular to CDEMA, are not approved, creating financial gaps for functioning. 	Some implementation delays due to natural hazard events (hurricane Matthew, floods in SVG) without affecting impact level
Performance indicator: Moderately Unsatisfactory (MU)		

Potential sustainability

Indicators: Progress reports, beneficiary feedback, field visit, Programme monitoring.

Means of verification: desk study, field visits interviews, Programme progress reports, evaluation of calls for proposal of grants, Programme financial reports

Key question: How likely the beneficiaries appear to be capable (technical, financial) of and willing to continuing the operation beyond the end of the project?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: Strengthening technical capacities of CDEMA is part of the programme and includes reaching eligibility criteria for future direct funding by donors (EU). 	<ul style="list-style-type: none"> - CDEMA funding through BMC contributions is a big challenge. Functioning of the institution is donor depending and will it be even in middle term. 	

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme

Specific Contract N° 2016/379923/1

<p>Technical capacities are approved and good ideas for future improvement are there, even if there are still some capacity challenges in particular in monitoring.</p> <ul style="list-style-type: none"> - R1, 2, 3 are implemented through existing mandated regional structures (CDEMA, CDB) and partly through existing multi-donor funding mechanisms. - NDRM is aligned with the CDM Strategy and the implementation plan 2014-2024 - R2+3: Financial resources of CDB to implement similar sub-projects are high due to multiple international funding - R4 is implemented through the national responsible structures in the Dom. Rep. The overall logic of the programme seeks to strengthen institutional and human capacities in DRR. The commitment of the Dominican government suggests that the financial contribution for some components of the programme may continue. This is the case of the central government and institutions (e.g. CNE, National School of Risk Management, the Ministry of Education and Health). 	<ul style="list-style-type: none"> - CDB (R2+3) had to recruit additional staff and TA for NDRM. It's uncertain if this staff will stay and if resources for TA (R3) will be available after the programme. CDB is in general overfunded regarding the available staff to work on project proposals. Significant staff recruitment and speed-up of procedures is necessary to solve the problems. The financial resources are available, but institutions organisational performance needs significant improvements. - Realisation of demand driven sub-projects from BMC depends significantly on donor funding - The actual appreciation of CDB procedures by visited BMC (Barbados, SVG, Jamaica) is in general low. Administrative processes and sub-project approval procedures are seen as complicated and too slow 	
<p>Performance indicator: Moderately Satisfactory (MS)</p>		

Key question: Are there measures being taken (or planned) to ensure and facilitate the continuation of the benefits that will be brought by the programme?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - R1: Financial contribution from BMC to CDEMA budget should ensure future technical support through CTSM - R2+3 are imbedded in the medium term strategy of CDB with continuing work with political decision makers (R3), multi-donor trust funds for sub-projects (R2), etc. - R4: Dominican Republic authorities have included in their budgets budget lines linked to DRR for the various agencies (e.g. the creation of the General Directorate of Risk Management in the Ministry of Education and the dedication of personnel and means for safe school plans). - Overall: All BMC and relevant regional institutions have other programmes and /or funding to continue DRM 	<ul style="list-style-type: none"> - R1: BMC do actually not fulfil their financial commitments to CDEMA due to the financial crisis. Only ~ 30% of the previsions are contributed to CDEMA budget. - Awareness raising of decision makers in the MFPED for sufficient national financing of DRM is part of NDRM activities (R3). Nevertheless, they have not yet started, are standing alone insufficient, and significant results can only be expected in the medium to long term. - Actual appreciation by potential beneficiaries of CDB procedures is low. 	<ul style="list-style-type: none"> - R1: Missing BMC contribution is a critical financing gap of CTSM beyond March 2017

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

<p>work.</p> <ul style="list-style-type: none"> - All results and activities of NDRM address strengthening DRM capacities of BMC to continue to work more professional at national level and strengthening capacities of regional support institutions. - The implementation of a performance improvement plan in CDB is underway since 2014 and first outcomes are realised. 		
Performance indicator: Moderately Satisfactory (MS)		

Key question: How far the relevant regional, sectoral and budgetary policies and priorities affected the Programme positively or adversely?		
<p>Strengths</p> <ul style="list-style-type: none"> - CDM priority actions reviewed in November 2016 confirm the relevance of NDRM. Others policies have not affected the programme. - Political sustainability at national level is ensured. - All national medium term development plans and visions address climate change adaptation, including DRM / DRR as a development priority in the national agenda. - NDRM is imbedded in the medium term strategy of CDB addressing political decision makers (R3.1) to improve mainstreaming of DRM/DRR and CCA in the public sectors. 	<p>Weaknesses</p> <ul style="list-style-type: none"> - Awareness raising of decision makers in the MFPED for sufficient national financing of DRM is part of NDRM activities (R3). Nevertheless, they have not yet started, are standing alone insufficient, and significant results can only be expected in the medium to long term. 	<p>Comment</p> <ul style="list-style-type: none"> - Significant results can only be expected in the medium to long term by implementing the medium term CDB strategy.
Performance indicator: Satisfactory (S)		

Key question: How far is the Programme embedded in institutional structures that are likely to survive beyond the life of the project?		
<p>Strengths</p> <ul style="list-style-type: none"> - R1,2,3: CDEMA and CDB are permanent regional structures and proposed sub-projects will all being carried out by government agencies or established regional institutions. - R4: results and outcomes are implemented through existing governmental structures and institutions in the Dominican Republic. - CDM priority actions reviewed in November 2016 confirm the relevance of NDRM. 	<p>Weaknesses</p>	<p>Comment</p> <ul style="list-style-type: none"> Others policies have not affected the programme.
Performance indicator: Satisfactory (S)		

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

Key question: Will adequate levels of suitable qualified Human Resources be available to continue to deliver the project's stream of benefits?		
Strengths	Weaknesses	Comment
R4: See question 1: commitments are done by the Gov.	See question 1: Functioning of CDEMA depends on donor support. CDB have already, even with the project support, not sufficient staff recruited to do the work.	CDB needs to implement asap the entire Performance Improvement Plan, which started in 2014
Performance indicator: Moderately Satisfactory (MS)		

Coherence

Indicators: Documentation desk study, programme progress reports, beneficiary feedback, field visits observations, programme monitoring results, DRM data, additional data not already available in the programme progress reports.

Means of verification: desk study, field visits interviews, progress reports, evaluation of calls for proposal of grants, Programme financial reports, EC development policies documents.

Key question: How well does the programme and its planned actions fit within EU Development Policy and other regional and national policies and actions (sustainable development, DRM and climate change)?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - Overall: The Programme is coherent with the Sendai Framework for DRR 2015-2030, the successor instrument to the Hyogo Framework for Action (HFA) 2005-2015. The NDRM responds to the implementation priorities B (Regional Action Plans on DRR) and C (Integration of DRR into EU's External Action) of the EU Strategy for Supporting DRR in Developing Countries – Implementation Plan and 3 of the 5 priorities of the Global Climate Change Alliance (GCCA): adaptation to climate change, promotion of disaster risk reduction (DRR) and integration of climate change into poverty reduction efforts. NDRM is in line with regional and national policies, strategies and priorities and aligned to CDM strategy (see question 1) and with the five regional priorities reviewed in November 2016. - R4: The program-budget is framed within: <ul style="list-style-type: none"> • The Dominican Republic's National Development Strategy (NDP) 2030, which considers as a general objective, an effective risk management, within 		

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

<p>Strategic Axis No.4:"Sustainable management of the environment and adequate adaptation to climate change". It has the specific objective 4.2.1: "Develop an effective national risk management system, with active participation of the communities". Its qualitative goal is to have a consolidated Risk Management System, within a period of no more than 10 years.</p> <ul style="list-style-type: none"> • Line III of the Government Plan: Environmental sustainability for development and adaptation to climate change. • National Multiannual Public Sector Plan 2011-2015: Item XV. Effective risk management • National Multiannual Public Sector Plan 2011-2015: Item XVI. Adequate adaptation to climate change. • Law 147-02 on Risk Management of the Dominican Republic. • The National Plan for Integral Management of Disaster Risk (Decree No. 275-13) • The National Plan for the Reduction of Seismic Risk in the Dominican Republic 		
<p>Performance indicator: Highly Satisfactory (HS)</p>		

<p>Key question: How far are coordination and synergies with other regional and national initiatives supported by EU and other donors/institutions ensured? Are there duplications?</p>		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - Regional coordination mechanisms such as the 'CDM Coordination and Harmonisation Council' or the 'Eastern Caribbean Development Partners Group on DRM and CCA' are in place and functional. - NDRM links synergistically (can be seen as the continuum) with CDMHIP funded by CIDA, DFID and AUSAID. - Fluent coordination between CDEMA and D.G.ECHO facilitate synergies at regional level. - Countries and regional priorities have been reviewed in November 2016 and available for the Programme review and planning. - The Caribbean Risk Information System (CRIS) has been designed by CDEMA to improve knowledge 	<ul style="list-style-type: none"> - Communication and information sharing between the regional and the national levels is an important challenge. A large number of national and regional initiatives have been and are being carried out. This is further complicated by overlapping items between DRM and CCA. - Overlap of several donor funded initiatives in particular at national level - Underuse of already existing tools and profiles in several countries - Most NDO and stakeholder at national level have few to no ideas on activities in other countries in the region and even on all dimensions of NDRM in their country. - Coordination between the Dominican Republic and 	<ul style="list-style-type: none"> - To guarantee synergy and avoid duplication CDB should focus on DRR country profiles not already existing: Belize, Republic of Suriname, Saint Christopher (St. Kitts) and Nevis; The Bahamas using CDEMA / UNISDR methodology. DIPECHO Programme produced/is producing the following Country profiles: Antigua & Barbuda Barbados, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, Saint Lucia, St. Vincent & the Grenadines, Republic of Trinidad de Tobago. Other SIDS where country profiles not already exist are Montserrat, Anguilla and the British Virgin

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme

Specific Contract N° 2016/379923/1

<p>management</p> <ul style="list-style-type: none"> - R2: CIMH project is embedded with several actions funded by other donors (USAID, Italian Ministry of Foreign Affairs among others) and foster regional coordination. - Periodical bilateral coordination to avoid duplications exists between UNDP and CDB. - R4: In Dominican Republic (R4) there is a donor's sub-group for DRR/CC and a Risk Management Forum which meets monthly with the participation of DG ECHO, AECID, the National PMR Fund (Prevention, Mitigation and Response), UNDP, the Red Cross and various national and international NGOs. Possible synergies and elements can be coordinated in this space, as well as the sharing of methodologies and tools used and applicable to the project such as community networks, maps and community plans, training materials, etc. There are several good examples of complementarity between programmes and project funded by different agencies (e.g. R3-CIMH sub-project, R4 - outcome 1 and 3). - A MoU have been signed between CDEMA and Dominican Republic to strength collaboration on a programmatic path. - Water sector DRR tool produced in Dominican Republic will be reviewed and maybe adapted from CDEMA and CDB. 	<p>CARIFORUM are at an early stage and no significant sharing of knowledge and experiences have been carried out within the Programme.</p> <ul style="list-style-type: none"> - CHC regular funding is actually not ensured; CDM-HIP funding stopped with programme's end in December 2014. Organisation of this highly appreciated, annually planned meeting depends today on case to case discussion and mobilisation of donor support (e.g. USAID is the past) of each event. Documents have been elaborated and circulated, but no in-person meeting of the CHC took place in the last two years. Only exception occurred recently with some exchanges on the "tool for safe water systems". - A large number of projects and programmes at national and regional level have been and are being carried out; a database to track it and avoid duplications is not updated in CDEMA. - Knowledge management need to be improved to allow regional learning, avoid duplication (e.g. tools, products, CCA and DRR data, etc.) and facilitate institutionalisation. Coordination and networking must be ensured to avoid duplications. - CRIS within CDEMA is not funded and only partly implemented. The project database needs updating to be useful and there is a risk of duplication. - Systematic translation of tools and relevant documents in the main languages used in the region (English, Spanish, and French) is not a practice; this limits synergy and coordination within the region. - With the large number of projects, funding mechanisms, tools, profiles and often overlapping items between DRM and Climate Change Adaptation, risk of duplications is high. In particular, if planning is not joint or coordinated from the early stage 	<p>Islands, Turks and Caicos Islands, Cayman Islands and Bermuda, however these countries they are not covered by NDRM.</p> <ul style="list-style-type: none"> - Risk of duplication to improve knowledge management between CDEMA, CCCCC and DRR Centre of the Institute for Sustainable Development, University of the West Indies (project funded by CIDA) - DIPECHO programme funds have been recently significantly reduced (from about 10,000,000€ to 2,000,000€ for a 18 months period) and a lower presence is expected in the future
<p>Performance indicator: Unsatisfactory (U)</p>		

Added value

Indicators: Documentation desk study, programme progress reports, beneficiary feedback, field visits observations, programme monitoring results, DRM data, additional data not already available in the programme progress reports.

Means of verification: desk study, field visits interviews, progress reports, evaluation of calls for proposal of grants, Programme financial reports, EC development policies documents.

Key question: How does the programme and its planned actions relate to other EU and EU member states programmes or projects under way in the Region? How far completes the programme other EU and member states initiatives and enforces synergies?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - NDRM completes the NIP of the 10th EDF as the NIPs of the region do not address DRM, CC or environmental issues as a priority sector for EU national cooperation - The Programme complements regional EDF envelopes, on-going Intra-ACP programmes from the 9th and 10th EDF, the DIPECHO DRR Programme of the Directorate-General for Humanitarian Aid and Civil Protection (DG ECHO) for 2013/2014 and 2015/2016. Further funding of EU Cooperation to foster CCA and DRR are received from the Caribbean region through the Global Climate Change Alliance (GCCA), the World Bank's Global Facility for Disaster Reduction and Recovery GFDRR (EUR 4.9 million between 2008 and 2012) and the UNDP Overseas Countries and Territories (OCTs) Regional Risk Reduction Initiative. - It exist a diversified portfolio of interventions at regional, national and community level. Among EU member states operating in the Caribbean it is relevant to mention the United Kingdom's Department for International Development (DFID), the Germany's Federal Ministry for the Environment and the Spanish Agency for International Development Cooperation (AECID) in Dominica Republic and Haiti) - NDRM fills gaps in the region and strengthens the regional institutions. EU MS have actually country or multi-country programmes which do not cover all countries in the region and EU MS provide actually no support to strengthen regional institutions capacities in the DRM sector. There's complementarity as improvement of DRM depends on both levels (national 	<ul style="list-style-type: none"> - Added value is often still a potential. NDRM field implementation, in particular of R2 and R3 is in an early stage at MTE date. - Thematic overlaps and/or very similar actions with different regional institutions, in particular CDEMA and CCCCC, exist due to the fact that DRM and Climate Change issues are separately addressed by different regional EU programmes (GCCA, NDRM) and other donor's programmes 	<p>Address in the future Research institutions in the region are interested in collaboration and experience exchanging with EU MS.</p>

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
Specific Contract N° 2016/379923/1

<p>and regional).</p> <ul style="list-style-type: none"> - NDRM is the continuum of the HIP project, partly financed by UK. - Good example of synergy without duplications in Dominican Republic between the majority of the actions carried out/foreseen under the NDRM programme (e.g. GDR School, Safe School index and assessment, PMR committees) and those implemented or being implemented by other donors/D.G. (e.g. AECID, DG ECHO). The "tool for safe water systems" (R4) is an innovation / added value 		
Performance indicator: Moderately Satisfactory (MS)		

Key question: To what extent the Programme approach demonstrates complementarities with ACP group of countries initiatives?		
Strengths	Weaknesses	Comment
NDRM is part of the larger ACP – EU Disaster Risk Management Programme, consisting in a Caribbean, a Africa and a Pacific component. These 3 components use similar implementation mechanisms, regional institutions and address similar challenges.	Few exchanges between the 3 components exist, but there's a high potential for improvement to profit from the lessons learnt of the other regions. In particular regional implementation partners and research institutions could much more profit from experience exchange.	
Performance indicator: Moderately Satisfactory (MS)		

Visibility

Indicators: Beneficiary feedback, field visits observations, programme documentation.

Means of verification: Visual Identity NDRM Guidelines, EU visibility guideline, Programme Visibility plan, programme visibility outputs.

Key question: How is the visibility ensured and measured? Is this adequate? Are the visibility and communication in line with EU guidelines?		
Strengths	Weaknesses	Comment
<ul style="list-style-type: none"> - Each implementation partner has his own visibility plan and actions and CDEMA used the bi-annual CDM conference in 2015 to promote visibility of the NDRM programme. - A firm (ATREVIA) is contracted by EU (15/9/2016 – 14/9/2018) and a communication and outreach plan has been presented during PSC5 for approval, the inception report should be available in Jan 2017 and 	<ul style="list-style-type: none"> - The proposed plan (ATREVIA) is extremely detailed and extents largely NDRM real needs regarding the potential outcomes of NDRM (overdone). However, a revision by the consultants with support from CDEMA has already been decided during PSC5. - NDRM and other 10th EDF cooperation have no visibility on CDEMA and CDB webpages. A NDRM webpage is foreseen, but not yet operational. 	<ul style="list-style-type: none"> - Visibility actions start late (only in 2nd half of the programme) - Implementation through contribution to existing multi-donor funds (R2) and limited products up to date make visibility difficult - Duplication of planned visibility actions

Mid-term evaluation of ACP-EU Natural Disaster Risk Management in the CARIFORUM programme
 Specific Contract N° 2016/379923/1

<p>expected products during 2017</p> <ul style="list-style-type: none"> - A communication and outreach plan has been presented during PSC5 for approval. The inception report should be available in Jan 2017 and expected products during 2nd half of 2017. - R4: implementation of part of the activities included in the R4 communication plan, recently implemented with the support of a new consultant seems well targeted but changes in the project's OU may affect it. 	<ul style="list-style-type: none"> - EU visibility guidelines are not always respected (brochures without logo,...) - The large number of closely related initiatives and programmes reduces significantly the specific visibility of NDRM - R4: The project developed in the past a communication and visibility of poor quality. During most of the programme, visibility actions have been limited to those related with training events, through the preparation of banners. There have been no public acts of presentation of the programme. 	
<p>Performance indicator: Unsatisfactory (U)</p>		

Annex 14. DAC evaluation summary

Mid-Term Evaluation ACP-EU Natural Disaster Risk Management in the CARIFORUM, Ref. REG/FED/024-192

Abstract

The programme is far away from the results; global performance is very limited. However, it has a good potential, R1 (CDEMA) and R4 (Dom. Rep.) are globally in line and future accelerated implementation of R2+3 (CDB) is likely. To avoid additional delays, no strategic changes are recommended now, but need to be taken into account in future programmes.

Purpose:

Mission purpose is the mid - term evaluation of the regional «ACP-EU Natural Disaster Risk Management in the CARIFORUM», known as NDRM. The mission should provide (1) an overall independent assessment of the past performance, (2) key lessons learnt and recommendations to improve the current action and (3) recommendations for a possible follow-up programme under the 11th EDF regional programme or other funding.

Methodology

The mission has evaluated the programme using the 5 OECD criteria and the EU specific criteria Coherence , Added Value and Visibility. A mixed methods and participatory approach has been applied. A synthesis and concertation phase with the main implementation partners and use of an evaluation matrix with attribution of a qualitative performance indicator for each evaluation criteria have been the main working tools. Rating has been done in six categories from highly satisfactory to highly unsatisfactory.

Conclusions

Major strengths: NDRM is highly relevant for responding to the high and increasing disaster risk related to natural hazards due to the effects of climate change; NDRM is very well imbedded in regional and national policies, strategies, institutions and long term development planning; Products (technical support and trainings) already delivered by CDEMA and in the Dominican Republic are of good quality and appreciated by the beneficiaries; After a slow start-up and time consuming preparatory procedures, the programme is now in a stage to progress more significantly towards the outcomes and results; NDRM overall coordination at regional level is sufficient and PSC assumes its mandate; Potential impact, sustainability and added value of NDRM are good, if all outcomes can be realised.

Major weaknesses: Overestimation of capacities during project formulation and unclear formulations in the log frame avoiding its use as management tool reduce NDRM performance up to now; There are significant, for R2+3 crucial implementation delays which can only partly be addressed by corrective measures to reach the outcomes during the programme; Administrative procedures for sub-projects approval are time consuming and exceeding the capacities of potential beneficiaries; R4 stands alone with insufficient links to justify a regional programme approach; Underuse of existing information and communication are challenges in particular at national level and between regional and national level, reducing effectiveness and efficiency; Monitoring is an important challenge at all levels, within NDRM and in the countries; NDRM, as regional programme, has nearly no visibility.

Recommendations

Current programme: Provide more technical assistance for project development by countries (CDEMA, CDB), Note: The continued existence of CTSM requires Contingency mobilisation; Apply CDB mitigation plan and concentrate on approval, start-up and monitoring of sub-projects (R2), Do a no-cost extension for sub-project implementation; Ensure monitoring of the programme and make the CDM Monitor operational, Foster coordination and collaboration between CDEMA and CNE (Dominican Republic) based on the five areas of cooperation defined in the signed MoU, Scale down the visibility plan to real needs, update CDEMA and CDB webpages.

Future initiatives: General: Concentrate on field implementation on community level of existing regional strategies; Address the linked DRM/DRR, CCA in a holistic way and avoid multiplication of parallel financing instruments; Make institutional arrangements and country access to funding as simple as possible; Ensure effective coordination between CDEMA and CNE (Dom. Rep.) in 11th EDF formulation to prevent stand-alone results (common design of objectives/results, implementation in Dom. Rep. through CNE). Institutional strengthening/capacity building: Regional institutions using CfP should systematically support countries by providing sufficient technical assistance for project proposal development; Strengthen the Monitoring –Evaluation - Reporting capacity of regional and national institutions for DRM / DRR/ CC and project monitoring; Simplify and institutionalise as much as possible existing DRM tools. Information/communication/knowledge management/awareness raising: Improve exchange / valuation of existing local, national and regional experiences and ensure dissemination: (1) Strengthen CRIS within CDEMA, (2) translate regional reports / tools to Spanish, English and French, (3) develop mechanisms to network with Cuba in DRM and (4) improve mechanisms for the exchange between donors, regional agencies and countries; Continue assessments on CC/natural hazard related disaster impact on the economies and complete with further measures to sensitise decision makers.

Feedback information

Donor: European Commission	Region : Caribbean	DAC sector: 74010
Evaluation type: Relevance, Efficiency, Effectiveness, (potential) Impact, (potential) Sustainability, Coherence, Added Value, Visibility.	Date of report: February 2017	Subject of evaluation: Disaster Prevention and Preparedness
Language: English	N° vol./pages : 134	Author: Birgit HALLE, Marco MINELLI
Budget Heading: 10 th EDF Intra - ACP Envelope		
Evaluation Type:	() ex ante	(X) mid-term () ex post
Timing field mission:	Mission start: Jan 16 th , 2017	Mission end: Feb 6 th , 2017
Person to contact: [REDACTED]	Author:	
Contracted Amount: Euro 64.380,00	Steering Committee: Yes, (PSC)	