

OCTs Regional Risk Reduction Initiative (R3I)

Brief Description

Objectives:

- Develop the local capacities of the overseas countries and territories and provide them with tools (spatial data infrastructure and models) and best practices to support a comprehensive disaster risk management approach
- Capacity building in disaster risk management

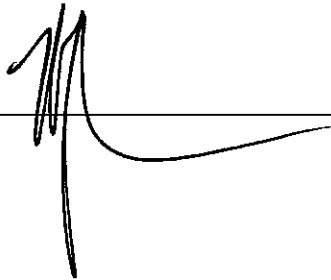
Outputs:

- Capacity of OCTs in comprehensive disaster risk management in relation to hazard mapping and vulnerability assessments increased
- Early warning system feasibility study and pilot implemented
- Capacity built in response, rescue and recovery
- Technical assistance provided for local institutions and implementing agents

This project will be directly executed by UNDP Barbados and the OECS throughout 7 OCTs, with implementation support from appropriate and experienced regional partners.

Programme Period:	2005-2011	Total resources required	\$7,096,403
Key Result Area (Strategic Plan)	Crisis Prevention and Recovery	Total allocated resources:	\$7,096,403
Atlas Award ID:	00051479	• Regular	_____
Start date:	1 Jan 2009	• Other:	_____
End Date	31 Dec 2011	○ Donor (EU)	\$7,096,403
IP PAC Meeting Date	17 Dec 2008	○ Donor	_____
ProDoc PAC Meeting Date	23 Sept 2009	○ Donor	_____
Management Arrangements	DEX	○ Government	_____
		Unfunded budget:	_____
		In-kind Contributions	_____

Agreed by (UNDP):



1. SITUATION ANALYSIS

Overseas Countries and Territories (OCTs) in the Caribbean region (Anguilla, Aruba, British Virgin Islands, Cayman Islands, Montserrat, Netherlands Antilles, Turks and Caicos Islands), like most of the independent states in the Caribbean and the outermost regions of the EU in the area (Martinique and Guadeloupe), are small islands, highly vulnerable to a range of natural hazards including earthquakes, hurricanes, floods, landslides, tsunamis and volcanic eruptions. Other hazards could also afflict the region, such as water contamination, oil spills, infectious disease, and progressive environmental damage. Increasing incidence of such disasters coupled with the small size of these islands compound their intrinsic and acquired vulnerabilities. Further, the concentration of settlements and critical national functions in the coastal zone; fragile ecosystems; and the sensitivity of the two major economic sectors, tourism and agriculture, exacerbate these vulnerabilities.

Moreover, global climate change poses its own particular problems. Climate-related disasters are increasing in frequency and numbers of people affected, with the vast majority occurring in developing countries. The Human Development Report (HDR) 2007/2008 indicates that in high income countries just over 50 persons per 100,000 were at risk of being affected by natural disaster from 2000-2004. This compares with 5,200 per 100,000 in developing countries. Further, this is an increase from figures for the period 1980-1984, which were less than 50 per 100,000 and 2,700 per 100,000 in developed and developing countries, respectively. However, many climate disasters remain unreported or underreported. Further, economic losses are also skewed toward developed countries where property values and insured losses are much higher, but, lack of insurance coverage, poverty and inability to restore assets means that the devastation in developing states is greater and more persistent.

Additionally, these small islands face disproportionately greater risks due to high density shoreline development, settlements in hazardous areas such as volcano slopes and flood zones, the rise in foreign investment and re-settlement, and the small socioeconomic footprint most OCTs have in their mother territory. The 2009 Global Assessment Report on Disaster Risk Reduction reveals that small islands are the most devastated by disasters which can set back their economies by decades. Drivers of risk and vulnerability are related to social systems and governance structures, which are exacerbated by poverty and climate change. Climate change is expected to further deepen social vulnerability in the region. Significant strides need to be made to prepare for the impacts of sea level and temperature change and to reduce the associated risks.

Disaster prevention in particular has been overlooked in the sub-region, as highlighted in the 2008-2011 UNDAF. According to the World Bank (2007) and OAS (2007), infrastructure failure and the associated social, environmental and financial costs due to the impact of disasters could have been avoided with implementation of prevention measures which would have been an additional 1-10% of the project cost. There is a real need for support in building capacity for information systems (e.g. damage and loss assessments, hazard and vulnerability mapping, etc.) and response mechanisms to facilitate decision making for mitigation and early recovery; and reinforcing a culture of proactive planning and response in disaster mitigation and risk reduction.

OCTs are restricted in terms of their ability to access funding and resources to reduce the risk from such calamity. Also, protection measures such as hurricane-resistant materials and constructions are not fully deployed due to poverty and diseconomies of scale. Furthermore, the OCTs in general are less able to readily recover from a disaster due to limitations in terms of resilience and redundancy in critical infrastructure; comprehensive disaster education; critical resources; and the capability to measure the cost recovery implications of a large disaster event.

Governments in the sub-region and UNDP are working to strengthen capacities at the regional and national levels in disaster risk reduction and recovery from environmental, natural and technological hazards, particularly within the context of climate change. This outcome is articulated within the Sub-regional Programme Document (SPD), which has been extended to cover 2005-2011. It is critical that all the United Kingdom and Dutch Overseas Territories reach an increased and coordinated level of risk reduction through mitigation planning; comparable comprehensive disaster response capacity; public and responder education; and the capability to properly model and assess the cost impacts to a small island country from an expected or actual event.

Comprehensive disaster risk management provides a logical framework to support this, and represents an overarching strategy and framework for integrating disaster management into development planning. Comprehensive disaster risk management is an integrated and proactive approach to disaster management which seeks to reduce the risk and loss associated with natural and technological hazards and the effects of climate change to enhance regional sustainable development. The disaster management cycle includes planning and preparing for, responding to, recovering from and mitigating hazards of all kinds.

The main beneficiaries of this project will be the Overseas Countries and Territories in the Caribbean through enhanced capacity development in disaster risk management. Additionally, other regional and international disaster management offices and practitioners will also benefit from the project results and the exchange of best practices.

Partners in the execution of this programme are the OCTs disaster offices, national disaster management committees and advisory committees, planning infrastructure and environmental agencies, regional organisations that support disaster management, regional research institutions, and members of the donor community.

Country stakeholders in all of these activities include Anguilla, Aruba, British Virgin Islands (BVI), Cayman Islands, Montserrat, Turks and Caicos, and the Netherlands Antilles (Bonaire, Curaçao, St Maarten, Saba, and St. Eustatius). Of these, Anguilla, BVI, Montserrat, and Turks and Caicos are Participating States of the Caribbean Disaster Emergency Management Agency (CDEMA), and the Cayman Islands are seeking to join that organisation.

2. STRATEGY

Islands in the sub-region have recognised the need for, and continue to support efforts to enhance regional and national capacities for disaster risk reduction and effective recovery, particularly within the context of climate change. Governments and UN system partners in the sub-region have committed to the goal of strengthening regional and national capacities, with integration into planning and institutional frameworks such that countries are enabled to reduce sectoral risks and better manage multi-hazards and the environment by 2010 through the following strategies and approaches:

- Establishment of harmonised systems for risk identification, assessment, monitoring and early warning
- Institutionalisation of disaster risk reduction, knowledge management, and education
- Reducing underlying factors that contribute to risk exposure
- Establishment of functional inter-sectoral response and recovery systems and mechanisms
- Development and use of risk indicators for the prevention and mitigation of natural disasters and assessment of their socioeconomic and environmental effects.

The first objective of this proposal is to address the risk and exposure of the small island OCTs by developing the capacity, knowledge and tools to enable the mainstreaming of disaster risk management (DRM) consistent with the Hyogo Framework for Action (HFA) and, for Participating States, the CDEMA-led Comprehensive Disaster Management (CDM) Strategy.

The CDM Strategic Framework is being coordinated in the region by CDEMA, supported by a wide range of regional institutions (e.g. Caribbean Development Bank, Caribbean Tourism Organisation, University of the West Indies), multilateral agencies (UNDP, PAHO), and funding organisations (EC, DfID, CIDA, USAID). National and regional capacities for integration of CDM must continue to be enhanced, including monitoring and evaluation systems.

The Hazard and Risk process is a basic component of mainstreaming DRM, and in order to ensure integration of such programmes within the OCTs, it is important for baseline maps and data to exist. This project aims to improve the data within the OCTs, and utilise lessons learned e.g. in BVI and ACP states, to enhance the processes and to allow for a more effective implementation.

The associated flood and tsunami run-up modelling will be undertaken, with a regional hazard risk atlas as a critical output of the programme. This atlas will help the EU and other donor partners to better identify opportunities for interventions, based on the associated risks, and identify successful mitigation projects and practices over time.

Emergency and Recovery management is another vital component to mainstreaming DRM. A collective OCT and regional effort to enhance capacity building, and to share best practices and experiences from other countries or territories in the region (e.g. French departments, Cuba) would also benefit this component, as well as drawing on the practices and tools developed at the international level.

The project will:

- Support the disaster management departments and GIS units in the OCTs in their modelling, simulation and planning capacities.
- Build upon the experience and knowledge in Cayman Islands to develop surge run-up and wave action models
- Integrate results of modelling into quantitative multi-hazard vulnerability maps for dissemination to a broad base of stakeholders throughout the OCTs to support the investment in hazard mitigation strategies
- Complete and/or initiate building vulnerability studies and improve quantitative risk assessment of critical infrastructure in OCTs and dissemination of the results to support the investment in hazard mitigation strategies.

The project will also include a feasibility study and pilot for the development of a real-time regional alert, warning and notification system throughout the OCTs, based on the experience of the Anguilla National Warning System, to be adapted to the diverse local conditions.

Another objective of the programme is to define an overarching response and recovery capacity network addressing such issues as training and exchanging of best practices in search and rescue operations, shelters, and improving of Emergency Operation Centre (EOC) management, as well as defining resource sharing and mutual aid agreements.

This activity will take into consideration the outputs and outcomes of recent and existing initiatives including UNDP Early Recovery Capacity Building initiatives and the CDEMA Caribbean Search and Rescue Programme and extend them to the OCTs. The dissemination of best practices could be carried out by organising practitioner seminars/workshops and online documentation and training through various partners in the region.

The project also will strengthen linkages among OCTs and other Caribbean countries so that they may network among themselves to continue to exchange information and best practices in a sustainable matter. It will also reinforce the relationships between the OCTs, regional disaster management institutions, and the wider UN system from which the OCTs can access tools, best practices and expertise.

A prime concern in the implementation of the project is securing continued national ownership, and ensuring country priorities are always understood and are the targeted focus for activities. To this end the OCTs have collaborated to formulate an innovative addition to the project governance role. Through the creation of Technical Management Teams (TMTs) the territories themselves will have advisory roles in the implementation of activities according to their specific needs.

A TMT will be formed for each project output (one for both outputs 4 and 5), and will give guidance in the structuring and implementation of the activities under these outputs, with country-specific input in relation to needs, priorities and expertise. These teams are comprised of a Dutch and British OCT which have shown heightened interest, having identified that output as a priority area for their country; the Project Coordinator as a representative of UNDP and having primary responsibility for project management; an OCT with demonstrated expertise in the area where such exists; and any additional institutions where necessary. The lessons learned and increased cooperation and national ownership resulting from the use of this process will be shared as a best practice for project management in a diverse regional context.

Collaboration with the European Commission has been based on that partner's prioritisation of disaster risk management in the Caribbean. Specifically, ongoing support from the EC to the Caribbean region includes:

- Supporting CDEMA with €3.4M under the 9th EDF Regional Caribbean Programme for the implementation of the CARICOM regional Comprehensive Disaster Management (CDM) Framework intended to reduce the impact of natural disasters in the region and the adverse effects of climate variability and change.
- The regional project "Regional Weather Radar Warning System" with €13.2M. The project envisages the constructing, equipping and networking of four new digital early warning stations to complete a network of nine existing stations in the Caribbean Region, including some in Overseas Countries and Territories and the Departments Outre-Mer. Recently, the Cayman Islands have shown their interest in building a warning station in its territory, linked to the larger network. The project is being implemented within the CDM Framework.
- Disaster Management projects in Haiti and the Dominican Republic ("Renforcement des capacités locales pour la gestion du risque", €6M; "Strengthening the national capacity for disaster prevention and preparedness in the Dominican Republic", €6.5M). These projects are oriented to reinforce the institutional capacity of the respective governments, as well as that of civil society, in the management of risks. Both projects make reference to working together with CDEMA.
- The intra-ACP "ACP-EU Facility for Natural Disaster Prevention" programme (€12M) from which CDEMA will benefit with €2M intended to reinforce the capacity of the sub-regional institutions entrusted with disaster management. Special attention will be put into facilitating the translation of policies into Spanish and French. It will also provide a coordination mechanism within which to implement the CDM.
- A contribution of €12.5M to the World Bank managed Caribbean Catastrophe Risk Insurance Facility (CCRIF), with €4.5M allocated to the OCTs.
- The last ECHO call for proposals (€4M) to the Sixth DIPECHO Action Plan which closed on 30 June 2007. The call is for community-based disaster initiatives to enhance preparedness and response in the face of a disaster (i.e. prepare vulnerable populations in the areas most affected by recurrent natural hazards; enable local communities and institutions to prepare for and to mitigate natural disasters).
- DIPECHO funded a UNDP project "Fostering Knowledge Transfer and the Replication of Best Practices in Disaster Preparedness and Risk Reduction within the Caribbean" which was set up in parallel to the CRMI for the Caribbean from 2006-2007

UNDP Barbados and the OECS Sub-regional Office (SRO) has taken a lead position in advancing disaster risk management among the ten countries served and the Caribbean as a whole. The SRO has been one of the two focal offices along with UNDP Cuba for the CRMI. This five-year US\$2.35M initiative has three original objectives, these being:

- Increased capacity for climate change adaptation
- Risk reduction and climate change adaptation integrated into development
- Increased investment in climate risk reduction projects

This initiative has focussed on knowledge sharing and building linkages across Caribbean institutions; capacity development and advancing the linkages between climate change and disaster risk reduction.

The SRO has also initiated a project with the Government of Italy to address resilience in Caribbean countries and specifically the Eastern Caribbean with a focus on early warning systems; and building capacities in national disaster management structures through youth and volunteerism. This activity is a three-year €3.5M project.

All these initiatives will be considered in developing this project to ensure mutual benefit and to exploit potential synergies. Initial project coordination meetings will be held and activities will be phased so as not to overwhelm one agency or organisation.

3. RESULTS AND RESOURCES FRAMEWORK

Intended Outcome as stated in the Country Programme Results and Resource Framework:

Enhanced regional and national capacities for disaster risk reduction associated with natural, environmental and technological hazards, within the broader context of climate change; and for effective disaster recovery.

Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:

- Existence of recovery and reconstruction strategies and plans at national and sectoral levels.
- Existence of risk reduction strategies and plans at national and sectoral levels with a cadre of trained national and community personnel, with networking systems supporting use of CDM manual and strategies.
- National risk reduction disaster management systems operational.
- Long-range climate and weather forecasting systems established.

Applicable Key Result Area (from 2008-11 Strategic Plan): Enhancing conflict prevention and disaster risk management capabilities

Partnership Strategy: The European Commission will fund the project to a total of US\$7,096,403 (€4.932M).

Project title and ID (ATLAS Award ID): Overseas Countries and Territories' Regional Risk Reduction Initiative (ID 00051479)

INTENDED OUTPUTS	OUTPUT TARGETS FOR 2009-2011	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p>Output 1 Capacity of OCTs in comprehensive disaster risk management in relation to hazard mapping and vulnerability assessments increased</p> <p>Baseline: Mixed capacities in OCTs</p> <p>Indicators: Number of countries with updated HM/VAs Number of countries with available HM/VA policies</p>	<p>Targets (year 1)</p> <ul style="list-style-type: none"> - Capacity and needs assessment completed for all participating countries 	<p>1 Capacity and needs assessment and mapping of existing initiatives in HM/VA</p> <ul style="list-style-type: none"> ▪ Review and agree on results and priorities with beneficiary territories and stakeholders ▪ Project document outputs/indicative activities adjusted to take account of capacity assessment results 	UNDP	<p>Total \$2,201,439</p> <p>\$237,410</p> <p>\$1,553,957</p> <p>\$410,072</p>
	<p>Targets (year 2)</p> <ul style="list-style-type: none"> - HM/VAs completed for 4 OCTs - Experiences in Cayman Islands and BVI documented and shared 	<p>2 Development/updating of HM and VA</p> <ul style="list-style-type: none"> ▪ Procurement of services and equipment ▪ Publication and dissemination of case study on BVI and Cayman Islands 	UNDP	
	<p>Targets (year 3)</p> <ul style="list-style-type: none"> - HM/VAs completed for all OCTs - All OCTs have capacity to interpret and apply HM/VAs to development 	<p>3 Capacity development of OCTs in application of HM/VA</p> <ul style="list-style-type: none"> ▪ Training workshops ▪ Procurement of services 	UNDP	

		<ul style="list-style-type: none"> ▪ Review and where necessary adjust national and regional training and policy guidelines 		
<p>Output 2 Early warning system feasibility study and pilot implemented</p> <p>Baseline: Limited experience of successful application of EWS</p> <p>Indicators: Number of countries with documented EWS policy and procedures in place Number of disaster management personnel trained in use of EWS</p>	<p>Targets (year 1)</p> <ul style="list-style-type: none"> - Needs assessment completed - Definition of scope of feasibility study by stakeholders <p>Targets (year 2)</p> <ul style="list-style-type: none"> - Pilot initiated <p>Targets (year 3)</p> <ul style="list-style-type: none"> - Pilot completed - Lessons documented 	<p>1 Assessment and pilot design</p> <ul style="list-style-type: none"> ▪ EWS needs assessment conducted ▪ Stakeholder agreement on country focus and scope ▪ Design of pilot system <p>2 Pilot EWS implemented in at least one OCT</p> <ul style="list-style-type: none"> ▪ Contract consultants ▪ Procurement of services and equipment ▪ Training and assessment of personnel in application of EWS ▪ Documentation of experience 	<p>UNDP</p> <p>UNDP</p>	<p>Total \$712,230 \$237,410</p> <p>\$474,820</p>
<p>Output 3 Capacity built in response, rescue and recovery (RRR)</p> <p>Baseline: Existing national and regional and international structures as well as case studies of best practice exist</p> <p>Indicators: Representation of countries at training activities Number of countries with national policies revised and adopted Experiences and lessons learned documentation shared between countries</p>	<p>Targets (year 1)</p> <ul style="list-style-type: none"> - OCTs priorities defined - Capacity development plan completed <p>Targets (year 2)</p> <ul style="list-style-type: none"> - Capacity development strategies developed and implementation commenced <p>Targets (year 3)</p> <ul style="list-style-type: none"> - All activities within the capacity development plan are completed 	<p>1 Formulate and implement a development plan for RRR systems based on review</p> <ul style="list-style-type: none"> ▪ Stakeholder agreement on focus and priorities ▪ Capacity development plan for RRR finalised for all OCTs <p>2 Capacity development of OCTs in RRR</p> <ul style="list-style-type: none"> ▪ At least 6 regional workshops and training activities implemented in key areas for all OCTs ▪ Revision of policies in at least 4 territories ▪ ICT equipment procured for disaster management agencies to support identified needs 	<p>UNDP</p> <p>UNDP</p>	<p>Total \$1,467,626 \$57,554</p> <p>\$1,410,072</p>
<p>Output 4 Strengthened OCT disaster management structures and effective IAs</p> <p>Baseline: Existing capacities may limit full</p>	<p>Targets (year 1)</p> <ul style="list-style-type: none"> - Priorities for transfer of learning and skills defined - Participation in key fora 	<p>1 Support to OCTs</p> <ul style="list-style-type: none"> ▪ Support participation in key meetings and discussions ▪ Provision of administrative support as needs are identified by country 	<p>UNDP</p>	<p>Total \$1,294,964 \$474,820</p>

4. ANNUAL WORK PLAN

Year: 2009

EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount
<p>Output 1 Capacity of OCTs in comprehensive disaster risk management in relation to hazard mapping and vulnerability assessments increased</p> <p><i>Baseline:</i> Mixed capacities in OCTs</p> <p><i>Indicators:</i> Number of countries with updated HM/VAs; number of countries with available HM/VA policies</p> <p><i>Targets:</i> Capacity and needs assessment completed</p> <p><i>Related CP outcome:</i> Enhanced regional and national capacities for disaster risk reduction</p>	<p>1. Capacity and needs assessment and mapping of existing initiatives in HM/VA</p> <ul style="list-style-type: none"> - Convene TMT - Develop ToR - Select/adapt assessment tool - Undertake assessment - Produce final report with gap analysis and scope of work 					UNDP	EC		79,137
	<p>2. Development/updating of hazard maps and VAs</p> <ul style="list-style-type: none"> - Finalise scope of work, work plan and budget -Equipment procurement 					UNDP	EC		43,166
	<p>3. Capacity development of OCTs in application of HM/VA</p> <ul style="list-style-type: none"> -Review of training and policy guidelines 					UNDP	EC		28,777

<p>Output 2 Early warning system feasibility study and pilot implemented</p> <p><i>Baseline:</i> Limited experience of successful application of EWS</p> <p><i>Indicators:</i> Number of countries with documented EWS policy and procedures in place; number of disaster management personnel trained in use of EWS</p> <p><i>Targets:</i> Needs assessment completed; definition of scope of feasibility study</p> <p><i>Related CP outcome:</i> Enhanced regional and national capacities for disaster risk reduction</p>	<p>1. EWS assessment and pilot design</p> <ul style="list-style-type: none"> - Convene TMT - Develop ToR - Select/adapt assessment tool - Undertake assessment - Produce final report with gap analysis and scope of work - Definition of focus and scope 				UNDP	EC		21,583
<p>Output 3 Capacity built in response, rescue and recovery (RRR)</p> <p><i>Baseline:</i> Existing national and regional and international structures as well as case studies of best practice exist</p> <p><i>Indicators:</i> Representation of countries at training activities;</p>	<p>1. Review and development of RRR systems</p> <ul style="list-style-type: none"> - Convene TMT - Develop ToR - Select/adapt assessment tool - Undertake assessment - Produce gap and needs analysis - Define stakeholder priorities - Create a capacity development plan 				UNDP	EC		28,777

<p>number of countries with national policies revised and adopted; experiences and lessons learned documentation shared between countries</p> <p><i>Targets:</i> Priorities defined; capacity development plan completed</p> <p><i>Related CP outcome:</i> Enhanced regional and national capacities for disaster risk reduction</p>	<p>2. Capacity development of OCTs in RRR</p> <ul style="list-style-type: none"> -Equipment procurement -Training workshop 					UNDP	EC		143,885
<p>Output 4 Technical assistance provided for OCTs and IAs</p> <p><i>Baseline:</i> Existing capacities may limit full participation and implementation in the project</p> <p><i>Indicators:</i> Percentage of project targets met and outputs realised; project implemented on schedule</p> <p><i>Targets:</i> Priorities defined; participation in key fora</p> <p><i>Related CP outcome:</i> Enhanced regional and national capacities for disaster risk reduction</p>	<p>1. Support to OCTs</p> <ul style="list-style-type: none"> -Assist stakeholder participation -Administrative support 					UNDP	EC		158,273
	<p>2. Support to Implementing Agencies</p> <ul style="list-style-type: none"> -Technical support -Administrative support 					UNDP	EC		215,827
<p>Output 5 Coordination, training, dissemination</p> <p><i>Baseline:</i> Through the CDM fora, some OCTs engaged</p>	<p>1. Stakeholder consultation</p> <ul style="list-style-type: none"> -Meeting facilitation -Travel -Teleconferences -Completion of project document -Signing agreements 					UNDP	EC		158,273

<p>with each other and existing mechanisms; Dutch OCTs have own structures and cooperative arrangements</p> <p><i>Indicators:</i> Number of countries receiving documentation on training and best practices; percentage increase in joint activities executed based on common priorities</p> <p><i>Targets:</i> Project Board meeting held; at least 2 coordination meetings held; joint work plan developed</p> <p><i>Related CP outcome:</i> Enhanced regional and national capacities for disaster risk reduction</p>	<p>2.Coordination and planning</p> <ul style="list-style-type: none"> - Development of online portal for coordination of TMT, updating Project Board, and increasing public awareness of project activities - Facilitate stakeholder interactions for coordination of activities -Plans for cooperation developed 					UNDP	EC		100,719	
	<p>3. Training and dissemination</p> <ul style="list-style-type: none"> - Documentation of best practices and knowledge sharing 					UNDP	EC		43,166	
Sub-total										1,021,583
Administrative Fee to UNDP										71,511
TOTAL										1,093,094

5. MANAGEMENT ARRANGEMENTS

The project will be directly executed by UNDP Barbados and the OECS SRO using the UNDP direct execution (DEX) modality. The achievement of the impacts identified, including sustainability of the interventions, will require close linkages with existing regional institutions (e.g. CDEMA, CIMH), some of which will serve as implementing partners where most suitable. Reinforcement of institutional and project management capacities will be a key capacity development objective to ensure sustainability of the intervention.

As the Executing Agent, UNDP SRO will establish a project management unit comprising of a project coordinator and programme associate and will also have support of a finance associate and other administrative functions in the SRO. The Unit will report to the Deputy Resident Representative through the Programme Manager for Disaster Risk Reduction.

Project Board: The Project Board (PB) is responsible for making, on a consensus basis, management decisions for the project when guidance is required by the Project Coordinator, including recommendation for UNDP/Implementing Partner approval of project revisions. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Coordinator. This group is consulted by the Project Coordinator for decisions when the Project Coordinator's tolerances (i.e. constraints normally in terms of time and budget) have been exceeded. The Project Coordinator acts as the secretary to the Board and is responsible for convening meetings, preparing meeting documents and follow up on Project Board recommendations. The Project Board will meet every three months and can meet extraordinarily whenever circumstances require.

This group plays three roles:

- Executive representing the project ownership to chair the group
- Senior Supplier role to provide guidance regarding the technical feasibility of the project
- Senior Beneficiary role to ensure the realisation of project benefits from the perspective of project beneficiaries.

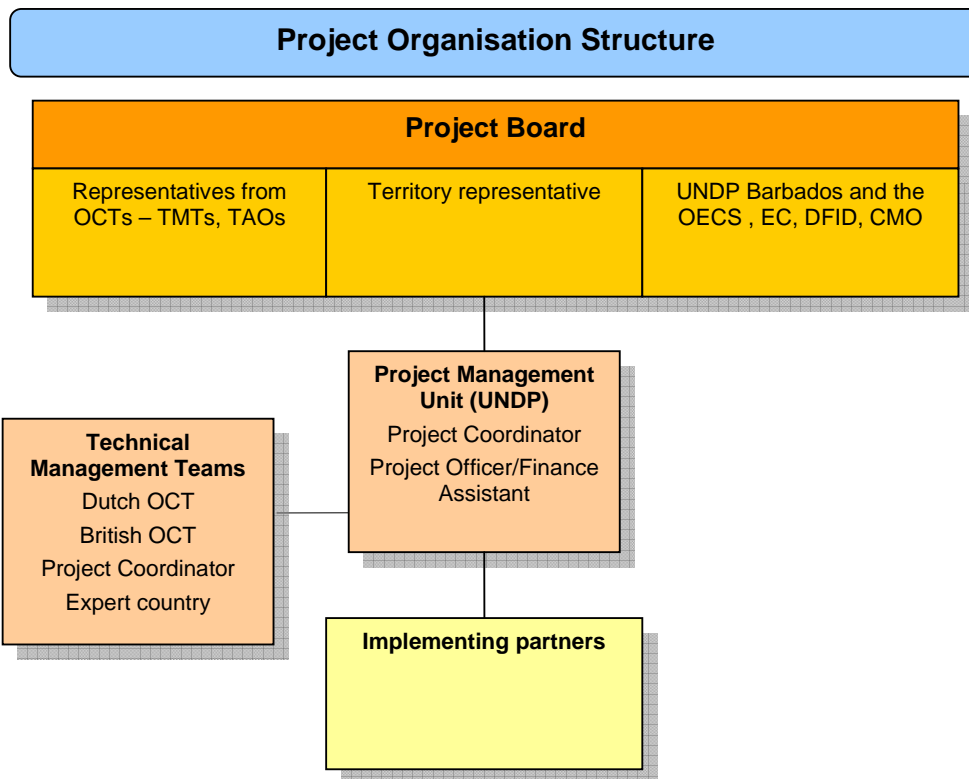
The *Executive* role will be held by UNDP Barbados and the OECS SRO. The UNDP offices in Jamaica and Trinidad and Tobago will hold observer status on the Project Board.

The *Senior Supplier* role will be held by the European Commission and DFID, and the CMO.

The *Senior Beneficiary* role will be held by four representatives of the TMTs with one member from each team sitting on the Board. There will also be one representative each from the Dutch and British Territorial Authorising Offices (TAOs), on a rotational basis.

Project Assurance is the responsibility of each Project Board member. However, the role can be delegated to a UNDP Programme Officer in consultation with the Project Board. The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

Project Coordinator: The Project Coordinator will be appointed by UNDP Barbados and the OECS and provided the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints they lay down, including preparing and revising work plans, technical support to the Project Board, ensuring project activities are carried out within budget and supervising the technical and administrative support personnel.



Prior Obligations and Prerequisites

The R3I project will be guided by the signed European Community Contribution Agreement with the UNDP dated 16 December 2008, which includes the Financial and Administrative Framework Agreement (FAFA) between the EC and the UN.

Collaborative arrangements with related projects

The R3I Project will explore synergies with the Enhancing Resilience to Reduce Vulnerability in the Caribbean project in the areas of capacity building, particularly in recovery planning; early warning systems; and sharing of experiences and best practices. Synergies also will be sought with CRMI II if a decision is taken to undertake Phase II following the evaluation of the first phase in the areas of coordination and knowledge management.

Partner Inputs

Caribbean Disaster Emergency Management Agency (CDEMA)

As the lead CARICOM agency to address disaster risk management, CDEMA's main function is to make an immediate and coordinated response to any disastrous event affecting any Participating State, once the state requests such assistance. Additionally, CDEMA also is charged with managing comprehensive and reliable information on disasters affecting the region; mitigating or eliminating as far as possible, the consequences of disasters affecting Participating States; establishing and maintaining on a sustainable basis, adequate disaster response capabilities among Participating States; and mobilising and coordinating disaster relief from governmental and non-governmental organisations for affected Participating States.

CDEMA will implement specific aspects of the R3I, where deemed appropriate, based on related and ongoing initiatives and the institution's mandate. CDEMA will also facilitate linkages between the R3I and other initiatives addressing disaster risk management to enable synergies and sharing of experiences.

Caribbean Meteorological Organisation (CMO)

The CMO is a specialised agency of CARICOM that coordinates the joint scientific and technical activities in weather, climate and water-related sciences in sixteen English-speaking Caribbean countries. CMO undertakes the coordination of joint scientific activities of respective national meteorological services; provision of joint training facilities; the establishment of joint technical facilities and systems; and promotion of a reliable severe weather warning system to safeguard the region. The organisation also works closely with regional agencies involved in disaster preparedness, response and relief. CMO has recently executed the EU-funded Regional Weather Radar Project and will bring valuable project management experience to the R3I initiative.

The CIMH is the training, research and development arm of the CMO. This regional institute is mandated to support the capacity development and data management of CARICOM states in the area of meteorology and hydrology. As a key partner in the implementation of the Enhancing Resilience to Reduce Vulnerability in the Caribbean project and other related initiatives, CIMH will be involved in specific project elements, where deemed appropriate, particularly those relating to flood hazard mapping and vulnerability assessment.

Audit Arrangements

An independent audit of the will be conducted prior to the conclusion of the project.

Agreement on Intellectual Property Rights and Use of Project Logos

Unless otherwise agreed, all appropriate measures will be taken to publicise the fact that an Action has received funding from the European Union and support of UNDP Barbados and the OECS. Information given to the press, all related publicity material, official notices, reports and publications, shall acknowledge that the Action was carried out "with funding by the European Union" and shall display in an appropriate way the European logo (twelve yellow stars on a blue background) and refer to the support of the UNDP and the UNDP logo.

For specific reference to required acknowledgements, refer to the FAFA.

6. MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Coordinator in collaboration with UNDP to facilitate tracking and resolution of potential problems or requests for change.
- A risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Coordinator to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- A project Lesson-learned log shall be activated and regularly updated to ensure ongoing learning and adaptation within the organisation, and to facilitate the preparation of the Lessons-learned Report at the end of the project.
- A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events.

Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As a minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

Quality Management for Project Activity Results

OUTPUT 1: Capacity of OCTs in comprehensive disaster risk management in relation to hazard mapping and vulnerability assessments increased		
Activity Result 1 (Atlas Activity ID)	Capacity assessment in HM/VA	Start Date: 1 Sept 2009 End Date: 31 Dec 2009
Purpose	To confirm the specific HM and VA needs and priorities of respective beneficiaries	
Description	Assessment undertaken of needs through survey and discussions	
Quality Criteria	Quality Method	Date of Assessment
Number of assessments completed	List of recommendations Review by technical panel	Q4 2009
Percentage of recommendations incorporated into project activities	List of recommendations Updated project document	Q1 2010
Activity Result 2 (Atlas Activity ID)	Develop HM/VA	Start Date: 1 Nov 2009 End Date: 30 Jun 2011
Purpose	To address the gaps and needs identified in the assessment to update/develop HM/VA	
Description	Contract consultants and procure equipment	
Quality Criteria	Quality Method	Date of Assessment
Number of gaps rectified	Checklist of gaps met Consultant reports	Monthly
Number of stated needs fulfilled	Checklist of needs Consultant reports	Monthly
Activity Result 3 (Atlas Activity ID)	Capacity building in HM/VA	Start Date: 1 Nov 2009 End Date: 30 Jun 2011
Purpose	To enhance the capacities of the OCTs in application of HM and VA	
Description	Implement training and policy guidelines	
Quality Criteria	Quality Method	Date of Assessment
Number of countries with HM and VA policy and guidelines	Relevant documents	Quarterly
Number of personnel trained in HM/VA	Successfully completed student assessments	Post training sessions
Cases of correct application of HM/VA	Evaluation report	Post exercise
OUTPUT 2: Early Warning System feasibility study and pilot implemented		
Activity Result 1 (Atlas Activity ID)	EWS assessment and design	Start Date: 1 Oct 2009 End Date: 31 Dec 2009
Purpose	To evaluate EWS needs, and design appropriate system	
Description	Conduct study, stakeholder agreement on country focus and scope	
Quality Criteria	Quality Method	Date of Assessment
Rating of feasibility of options	System costs and availability of physical requirements ranked on scales of 1-10	Q1 2010
Acceptability of final design	Letter of agreement from participating countries	Q1 2010
Activity Result 2 (Atlas Activity ID)	EWS pilot implemented	Start Date: 1 Feb 2010 End Date: 31 Mar 2011
Purpose	To execute successful installation of the EWS designed	
Description	Procurement of goods and services, documentation of experience and lessons,	

	training of personnel in use of EWS	
Quality Criteria	Quality Method	Date of Assessment
Number of countries with EWS policy and procedures	Relevant EWS documents	Quarterly
Successful operation of EWS components	System/component testing	After installation
Number of personnel trained in use of EWS	Successfully completed student assessments	Post training sessions
Lessons learned shared between all countries	Emailed monthly e-updates	Monthly
OUTPUT 3: Capacity built in response, rescue and recovery (RRR)		
Activity Result 1 (Atlas Activity ID)	RRR review and development	Start Date: 1 Sept 2009 End Date: 31 Oct 2009
Purpose	To evaluate the needs and gaps and develop a plan to address them	
Description	Define and agree on stakeholder priorities, form capacity development plan	
Quality Criteria	Quality Method	Date of Assessment
Identified gaps and needs	List from analyst's report	31 Oct 2009
Set of identified priorities for focus	Agreed list	31 Oct 2009
Development plan conforms to priorities	Checklist	30 Nov 2009
Activity Result 2 (Atlas Activity ID)	RRR capacity developed	Start Date: 1 Sept 2009 End Date: 30 Sep 2011
Purpose	To improve the RRR systems and increase the associated capacity of disaster managers	
Description	Training workshops, policy revision, equipment procurement	
Quality Criteria	Quality Method	Date of Assessment
Number of countries with revised policies which conform to priorities	Checklist confirming inclusion of priorities	On review of final policy draft
Number of personnel trained from each country	Participant list Successfully completed student assessments	Post training sessions
List of necessary equipment	Invoices and receipts	On delivery
Percentage of activities in capacity development plan successfully completed	Work plan and expected results	Quarterly
OUTPUT 4: Technical assistance provided for OCTs and IAs		
Activity Result 1 (Atlas Activity ID)	OCT support	Start Date: 1 Jan 2009 End Date: 31 Dec 2011
Purpose	To ensure full participation in and timely implementation of project activities	
Description	Aid participation in stakeholder interactions, provide administrative support	
Quality Criteria	Quality Method	Date of Assessment
Number of DM Offices and TAOs represented at key meetings	Meeting minutes Participant lists	Within 1 week of meeting
Country-defined priorities	List of agreed priorities	Ratified at the end of the relevant meeting
Percentage of deliverables produced on time and in budget	Progress reports Activity reports	Quarterly and at the end of each activity
Activity Result 2	IA support	Start Date: 1 Jan 2009

(Atlas Activity ID)		End Date: 31 Dec 2011
Purpose	To ensure full participation in and timely implementation of project activities	
Description	Provide technical and administrative support	
Quality Criteria	Quality Method	Date of Assessment
Percentage of deliverables produced on time and in budget	Progress reports	Quarterly
OUTPUT 5: Coordination, training and dissemination		
Activity Result 1 (Atlas Activity ID)	Stakeholder consultation	Start Date: 1 Jan 2009 End Date: 30 Sep 2009
Purpose	To obtain beneficiary and stakeholder agreement to project design and implementation	
Description	Convening stakeholder meetings; advocacy in key fora	
Quality Criteria	Quality Method	Date of Assessment
Number of project countries which participate in the stakeholder meetings	Minutes of the stakeholder meeting Country representation	After meeting
Agreement on design and implementation	Signed PAC minutes Structure of Project Board	After completion of Project Document
Activity Result 2 (Atlas Activity ID)	Coordination and planning	Start Date: 1 Jan 2009 End Date: 31 Dec 2011
Purpose	To improve the interaction between the disaster management systems in each country in order to enhance learning and cooperation	
Description	Increased coordination of activities	
Quality Criteria	Quality Method	Date of Assessment
Participation in coordination meetings	Minutes and attendees lists	Within 1 week of meeting
Defined areas of cooperation	Agreed plan of cooperation	Quarterly
Activity Result 3 (Atlas Activity ID)	Training and dissemination	Start Date: 1 Sept 2009 End Date: 31 Dec 2011
Purpose	To improve the interaction between the disaster management systems in each country in order to enhance learning and cooperation	
Description	Increased capacity building and sharing of lessons	
Quality Criteria	Quality Method	Date of Assessment
Number of joint training programmes executed	Joint work plan	Quarterly
Number of DM offices in which knowledge from training programmes is shared	Documentation received by all OCTs Training of trainers manuals	Within 1 month of training session Within 1 quarter of training session
Number of countries sharing best practices	Documentation received by all OCTs	Quarterly

7. LEGAL CONTEXT

The project document shall be the instrument envisaged in the [Supplemental Provisions](#) to the Project Document, attached hereto.

Consistent with the above Supplemental Provisions, the responsibility for the safety and security of the executing agency and its personnel and property, and of UNDP's property in the executing agency's custody, rests with the executing agency.

The executing agency shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the executing agency's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The executing agency agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

8. ANNEXES

Risk Analysis

The Project was commenced under an Initiation Plan that anticipated a four month process before the full project Document was approved. This process has extended into the ninth month of the year and as a result will impact the expected three year duration of the project and particularly the rate of expenditure. This challenge will be addressed through attention to scheduling of initiatives and if necessary a review of the completion date with the donor.

The beneficiary territories have proposed a structure for greater involvement in the implementation of the project and improved ownership through the establishment of Technical Management Teams (TMTs) to advise the implementation of major project outputs. Some concerns have been raised about the additional bureaucracy that the TMTs may create impacting on delivery, particularly given the human resource constraints of the territorial partners. The TMTs will be fully engaged, but it has been agreed that the process will not be delayed as a result of limited response.

The basis of the project is the vulnerability of the small island territories to natural hazards. If there is a major hazard that affects one or more of the territories, this will impact the implementation in that territory and possibly some partners as the main function of many of these stakeholders will be humanitarian response and recovery.

This project involves a relatively diverse group comprising UK and Dutch OCTs. Whereas many of the UK OCTs are members or observers of CDEMA and are served by a Disaster Risk Reduction Advisor from the UK Department for International Development (DfID), there appear to be less institutional linkages amongst the Dutch OCTs. The exception to this point is the Fire Chiefs for the respective Dutch territories who meet periodically and to a large extent have responsibility for disaster management. In addition to the differing institutional cultures, the territories vary considerably in capacities; from some relatively sophisticated systems of hazard mapping and vulnerability assessment informing planning and mitigation to very basic support. Based on this, there will be considerable variation in country requirements and capacities. Working closely with

countries, including through the TMTs and conducting capacity and needs assessments, will alleviate this particular area of concern.

Consistency with the EC requirements is a final aspect which demands close attention. The project will be based on the Financial and Administrative Framework Agreement (FAFA) between the EC and the UN. The FAFA will therefore validate the UN approaches to project management including procurement and will clearly specify reporting as well as other administrative and financial issues.

Agreements

- EC Contribution Agreement signed 16 December, 2008

Terms of Reference

- Project Coordinator
- Programme Assistant
- Project Board

Capacity Assessments

- UNDP Barbados and the OECS

The schedule of payments and UNDP bank account details

Payments shall be made as outlined in the EC Contribution Agreement in the following schedules:

- | | |
|--------------------------|----------------------------|
| ▪ First schedule | €1,430,055 (US\$2,057,633) |
| ▪ Second schedule | €1,588,950 (US\$2,286,259) |
| ▪ Third schedule | €1,588,950 (US\$2,286,259) |
| ▪ Forecast final payment | €324,045 (US\$466,252) |

The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilisation by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Governments with a view to determining whether any further financing could be provided by the Governments. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.

The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.

UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.

All financial accounts and statements shall be expressed in United States dollars.

If unforeseen increases in expenditures or commitments are expected or realised (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the Governments on a timely basis a supplementary estimate showing the further financing that will be necessary. The Governments shall use their best endeavours to obtain the additional funds required.

If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with the paragraphs above is not forthcoming from the Governments or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.

Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilised in accordance with established UNDP procedures.

In accordance with the decisions and directives of UNDP's Executive Board:

The contribution shall be charged:

- (a) 7% cost recovery for the provision of general management support (GMS) by UNDP headquarters and country offices
- (b) Direct cost for implementation support services (ISS) provided by UNDP and/or an executing entity/implementing partner.

Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.

The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP.