

**United Nations Development Programme  
Country: Barbados and the OECS  
Project Document**

**Project Title** Strengthening Public Investment in Disaster Risk Reduction and Climate Change Adaptation in the Eastern Caribbean

**UNDAF Outcome(s):** Enhanced capacity of national, sub-regional and regional institutions and stakeholders to effectively manage natural resources; build resilience to the adverse impacts of climate change and natural and anthropogenic hazards; improved energy efficiency and use of renewable energy; improved policy, legal, regulatory and institutional frameworks for environmental and energy governance

**Expected CP Outcome(s):** Enhanced capacity of national, sub-regional and regional institutions and stakeholders to effectively manage natural resources; build resilience to the adverse impacts of climate change and natural and anthropogenic hazards; improved energy efficiency and use of renewable energy; improved policy, legal, regulatory and institutional frameworks for environmental and energy governance

*(Those linked to the project and extracted from the CPAP)*

**Expected Output(s):** Disaster risk reduction better integrated into development planning and disaster response and recovery improved

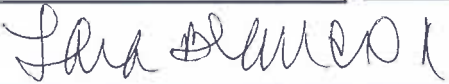
*(Those that will result from the project and extracted from the CPAP)*

**Implementing Partner:** UNDP Barbados and the OECS

**Responsible Parties:** UNISDR, World Bank GFDRR, National planning and DRM Agencies

Programme Period:	2012- 2016
Key Result Area (Strategic Plan):	Output 1.3
Atlas Project ID:	00075632
Atlas Output ID	00087427
Start date:	15 June 2013
End Date	30 May 2016
PAC Meeting Date	13 May 2013
Implementation Modality	DIM

2015 AWP budget:	USD\$ 250,560
MULTI YEAR INDICATIVE Budget	USD\$ 636,900
<b>(Subject to the availability of the necessary funds to the UNDP)</b>	
• Regular	636,900
• Other:	
○ WB GFDRR	
○ CRMI	
○ Donor	_____
○ Government	_____

Agreed by UNDP: 

## RESULTS AND RESOURCES FRAMEWORK:

<b>Key area of UNDP strategic Plan:</b> Disaster risk reduction better integrated into development planning, and disaster response and recovery improved				
<b>UNDAF/CPAP OUTCOME</b> Enhanced capacity of national, sub-regional and regional institutions and stakeholders to effectively manage natural resources; build resilience to the adverse impacts of climate change and natural and anthropogenic hazards; improved energy efficiency and use of renewable energy; improved policy, legal, regulatory and institutional frameworks for environmental and energy governance				
<b>CPAP OUTCOME Indicators</b> Number of updated and tested contingency plans per country				
<b>CONTRIBUTING TO CPAP OUTPUT</b> Disaster Risk reduction better integrated into development planning and disaster response and recovery				
<b>CONTRIBUTING TO CPAP 5 year target</b>				
<ul style="list-style-type: none"> <li>Process for damage assessment and disaster risk reduction monitoring integrated into national information infrastructure</li> <li>Recovery planning capacity built and incorporated into the Central Planning structure</li> </ul>				
INTENDED PROJECT OUTPUTS over 5 years	OUTPUT TARGETS FOR each year	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	BUDGET
<b>Output 1</b> Development of National Loss Accounting Systems (NLAS)	Year 1 <ul style="list-style-type: none"> <li>Official and stakeholders trained in risk and vulnerability assessment from 7 countries</li> <li>All country workshops held to confirm priority areas and plan of action</li> <li>Commence data collection exercise</li> </ul>	<ul style="list-style-type: none"> <li>Regional Workshop on the relevance of and approaches to loss accounting for DRR mainstreaming</li> <li>National training workshops on application of loss accounting methods</li> <li>Data collection and entry</li> </ul>	UNDP	190,700
	Year 2 <ul style="list-style-type: none"> <li>Analysis of risk trends and patterns, and estimation of recurrent economic losses for 7 countries</li> </ul>			
<b>Output 2</b> Probabilistic risk assessment and risk	Year 2	<ul style="list-style-type: none"> <li>Estimations of risks for 2 major hazards</li> </ul>	UNDP	275,000

<p>management portfolio development</p>	<ul style="list-style-type: none"> <li>Analytical assessments of catastrophic risk for at least 2 hazards in 7 countries completed and used to assist with calculating the spectrum of risk a country faces</li> </ul>	<ul style="list-style-type: none"> <li>Definition of exposure and vulnerabilities for 2 hazards per country</li> <li>Generation of hybrid loss exceedance curves and Country Catastrophe Risk Profiles (national and sub-national levels) and strategic sectors (at least 3 per country)</li> </ul>		
<p><b>Output 3</b> Advocacy for incorporating risk management into public investment planning and decision making</p>	<p>Year 3</p> <ul style="list-style-type: none"> <li>Country-specific reviews and tracking system completed and published on DRR investments on a periodic basis as determined by the national authorities</li> </ul> <p>Year 3</p> <ul style="list-style-type: none"> <li>Capacity of relevant agencies built to manage the risk database and use the information to incorporate DRR into the country's national public investment and development planning system</li> </ul>	<ul style="list-style-type: none"> <li>Characterisation of an optimum risk management portfolio</li> </ul>	<p>UNDP</p>	<p>60,220</p>
<p><b>Output 4</b> Sharing of results at regional and global level</p>	<p>Year 3</p> <ul style="list-style-type: none"> <li>Dissemination and sharing of lessons</li> </ul>	<ul style="list-style-type: none"> <li>Regional and national workshops</li> </ul>	<p>UNDP</p>	<p>160,000</p>
				<p>82,000</p>

## ANNUAL WORK PLAN

Year: 2015

EXPECTED OUTPUTS <i>And baseline, associated indicators and 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><b>Output 1</b> Development of National Loss Accounting Systems (NLAS)</p> <p>Baseline:</p> <p>Targets:</p> <ul style="list-style-type: none"> <li>Official and stakeholders trained in risk and vulnerability assessment from 7 countries</li> <li>All country workshops held to confirm priority areas and plan of action</li> <li>Commence data collection exercise</li> <li>Analysis of risk trends and patterns, and estimation of recurrent economic losses for 4 countries</li> </ul>	<p>1. Operationalisation of NLAS</p> <ul style="list-style-type: none"> <li>Analysis of risk trends</li> <li>Estimation of recurrent economic losses</li> <li>Handover to countries</li> </ul>					UNDP	GFDRR	Training, workshops and conferences	8,500
								Travel	3,000
<p><b>Output 2</b> Probabilistic risk assessment and risk management portfolio development</p> <p>Baseline:</p> <p>Targets:</p> <ul style="list-style-type: none"> <li>Analytical assessments of catastrophic risk for at least 2 hazards in 4 countries completed and used to assist with calculating the</li> </ul>	<p>2. Capacity building for national stakeholders</p> <ul style="list-style-type: none"> <li>Technical planning</li> <li>Concepts</li> <li>Exposure and vulnerability</li> <li>Risk</li> </ul> <p>3. Data collection</p> <p>4. Development of national risk portfolios</p> <ul style="list-style-type: none"> <li>Estimations of risks for 2 major hazards</li> </ul>					UNDP	GFDRR	Training, workshops and conferences	20,000
								Travel	95,000
						UNDP	GFDRR	Consultancy services	56,000
						UNDP	GFDRR	Consultancy services	90,000
								Travel	15,000

EXPECTED OUTPUTS And baseline, associated indicators and annual targets	PLANNED ACTIVITIES List activity results and associated actions	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET	
		Q1	Q2	Q3	Q4		Funding Source	Budget Description
<ul style="list-style-type: none"> <li>spectrum of risk a country faces</li> <li>Country-specific reviews and tracking system completed and published on DRR investments periodically as determined by national authorities</li> </ul>	<ul style="list-style-type: none"> <li>Definition of exposure and vulnerabilities for 2 hazards per country</li> <li>Generation of hybrid loss exceedance curves and Country Catastrophe Risk Profiles (national and sub-national levels) and strategic sectors (at least 3 per country)</li> <li>Characterisation of optimum risk management portfolio</li> </ul>							
<b>Output 3</b> Incorporating risk management into public investment planning and decision making  Baseline: Targets:	<ul style="list-style-type: none"> <li>Identify existing investments in risk reduction</li> <li>Implement methods and procedures for incorporating risk management into public investment planning and decision making</li> <li>National sensitisation workshops</li> <li>Capacity building on managing the database</li> </ul>				UNDP	GDDR	Consultancy services	14,000
<b>Output 4</b> Sharing of results at regional and global level  <b>Project management</b>	<ul style="list-style-type: none"> <li>Knowledge sharing</li> <li>Project Board meetings</li> <li>Monitoring missions</li> </ul>				UNDP	GDDR	Training, workshops and conferences	15,000
					UNDP	GDDR	Travel	6,000
					UNDP	GDDR	Equipment	3,000
					UNDP	GDDR	Supplies	500
					UNDP	GDDR	Training, workshops and conferences	3,000
					UNDP	GDDR	Travel	11,000
					UNDP	GDDR	Training, workshops and conferences	2,000
					UNDP	GDDR	Travel	5,000
					UNDP	GDDR	Travel	2,000
<b>Project staff salaries and project management expenses</b>								<b>15,000</b>
<b>Annual audit, evaluations, micro assessment costs<sup>1</sup></b>								<b>10,000</b>
<b>AWP TOTAL IN USD</b>								<b>374,000</b>

<sup>1</sup> Once a project has incurred expenditure for micro-assessment, do not budget for it in subsequent years.

EXPECTED OUTPUTS <i>And baseline, associated indicators and 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
						8% General management services		29,920
<b>AWP GRAND TOTAL IN USD</b>								<b>403,920</b>

---

## MANAGEMENT ARRANGEMENTS

The project will be directly executed by UNDP Barbados and the OECS SRO using the UNDP direct implementation (DIM) modality. The achievement of the impacts identified, including sustainability of the interventions, will require close linkages with existing regional institutions (e.g. CDEMA) 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.

The Programme Manager for Disaster Risk Reduction and Climate Change will manage the day-to-day responsibility for the project with the support of the programme associate and other administrative functions in the SRO. The Programme Manager will report to the Deputy Resident Representative

Project Board: The Project Board (PB) or Project Steering Committee (PSC) is responsible for making management decisions for the project when guidance is required by the Programme Manager, 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 Programme Manager. This group is consulted by the Project Manager for decisions when the latter's tolerances (i.e. constraints normally in terms of time and budget) have been exceeded. The Programme Manager 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 to six months and can meet extraordinarily whenever circumstances require.

This group plays three roles:

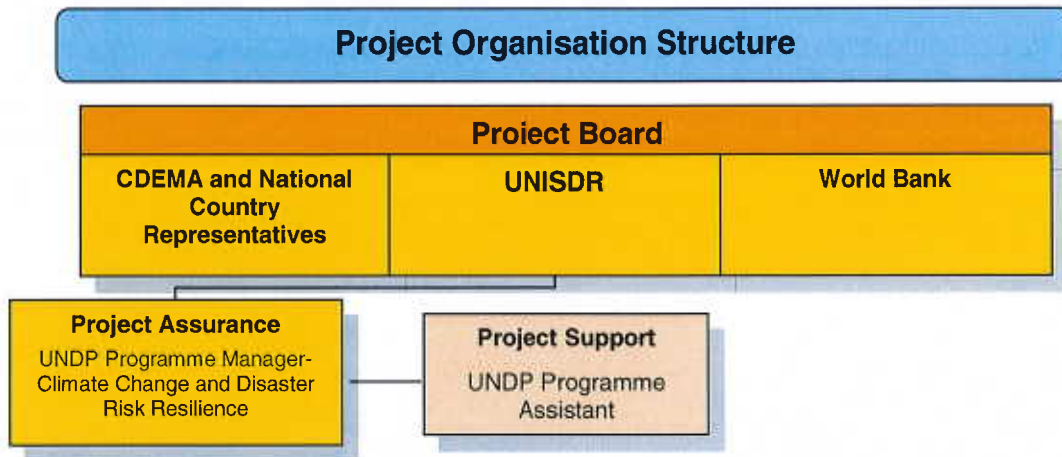
- Executive representing the project ownership to chair the group
- Senior Supplier role to provide guidance regarding the technical feasibility of the project
- Senior Beneficiary role to ensure the realisation of project benefits from the perspective of project beneficiaries.

The *Executive* role will be held by UNDP Barbados and the OECS SRO.

The *Senior Supplier* role will be held by the World Bank and UNISDR.

The *Senior Beneficiary* role will be held by representatives of regional organisations and local communities, including CDEMA.

Project Assurance is the responsibility of each Project Board member. However, the role can be delegated to a UNDP Programme Manager 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.



### **Collaborative arrangements with related projects**

This project will collaborate with the World Bank and the UNISDR in presenting a coherent approach to probabilistic risk assessment and mainstreaming. The project will explore synergies with the GFDRR funded project on PDNA capacity building also implemented by UNDP Barbados and the OECS. Finally the project will be aligned with the revised CDEMA-led CDM Strategy 2014-2024, as well as the UNDP Strategic Plan 2014-2017 Outcomes 1 and 5.

### **Prior Obligations and Prerequisites**

The methodology to be applied will be consistent with the approaches agreed between UNDP BPPS, the World Bank and other development partners at the global level. The approach will also be consistent with the Damage and Loss Assessment (DaLA) methodology adapted by the UN ECLAC Caribbean office to meet the needs of small developing states such as those in the Caribbean.

### **Summary of the inputs to be provided by partners**

UNDP Barbados and the OECS

- Implementing Agency providing project coordination

UNDP BCPR

- Training in PDNA methodology

World Bank / GFDRR

- Training in PDNA methodology
- Foundational course material for online and classroom courses

UWI

- Host online and modular PDNA course

### **Audit arrangements**

(pending UNDP WB Grant Agreement)

### **Agreement on intellectual property rights and use of logo on the project's deliverables**

(pending UNDP WB Grant Agreement)



- Funds can **be transferred as:** a) direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner; and b) direct payments to vendors or third parties for obligations incurred by UN agencies in support of activities agreed with Implementing Partners. Advance fund transfers shall be requested and released for programme implementation periods not exceeding three months. Reimbursements of previously authorized expenditures will be requested and released quarterly or after completion of activities. The UNDP shall not be obligated to reimburse expenditure made by the Implementing Partner over and above the authorized amounts. Also Partner needs to report interest earned immediately to UNDP through next submitted FACE Form.

---

## 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:

- A. **MONTHLY PROGRESS REPORT:** The Implementing Partner, in consultation with the project teams, will provide brief monthly updates on progress against planned activities and budgets. These monthly reports will be provided in the format provided at **Annex 1**. These monthly reports will be consolidated, as required, by UNDP's quality assurance team for progress review meetings.
- B. **ONE TIME RISK LOG:** Based on the initial risk analysis, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation. This will be completed by UNDP project assurance team in consultation with the Implementing partner. Use the standard Risk Log template
- C. **QUARTERLY FINANCIAL REPORT:** The Implementing Partner (IP) will make use of the Funding Authorization and Certificate of Expenditures (FACE) to request for advances and report on expenditures made on a quarterly basis, or more frequently if agreed. The implementing partner must submit the FACE at the end of each quarter, within the first 10 days of the following quarter. Together with the FACE, the project has to send a copy of the bank statement as up to the date of the end of the period reported and the itemized cost estimates of the activities to be funded. The FACE form has to be certified by the designated official from the IP.
- D. In case a project **EVALUATION** is required, please indicate the justification and proposed timing for the evaluation. A project evaluation is required only when mandated by partnership protocols such as GEF. However, a project evaluation may be required due to the complexity or innovative aspects of the project.
- E. **ANNUAL REVIEW REPORT:** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. The reporting format at **Annex 2** will be used to provide brief description of results achieved in the year against pre-defined annual targets.
- F. **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.

---

LEGAL CONTEXT -- CLICK [HERE FOR THE STANDARD TEXT.](#)



**Annex 2 – Annual progress report format**

<b>Key area of UNDP strategic Plan:</b>			
<b>UNDAF / CPAP OUTCOME</b>			
<b>CPAP OUTCOME Indicators</b>			
<b>CONTRIBUTING TO CPAP OUTPUT</b>			
<b>CONTRIBUTING TO CPAP 5 year target</b>			
<b>Project title</b>			
<b>Implementing partner</b>			
<b>Year</b>			
<b>Annual Outputs</b>	<b>Allocated budget</b>	<b>Total Expenditure</b>	<b>Progress on planned outputs and key successes</b>
<b>1</b>			
<b>2</b>			
<b>3</b>			
<b>Policy results and any additional results achieved</b>			
<b>Lessons learned, project shortcomings and solutions</b>			
<b>Follow-up Actions</b>			

**Annex 3**

**Agreements:** as applicable, any additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs<sup>2</sup> (where the NGO is designated as the “executing entity”) should be attached.

**Annex 4**

**Capacity Assessment:** as applicable, results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

---

<sup>2</sup> For GEF projects, the agreement with any NGO pre-selected to be the main contractor should include the rationale for having pre-selected that NGO.