

Design & Appraisal Stage Quality Assurance Report

Form Status: Approved

Overall Rating:	Satisfactory
Decision:	Approve: The project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
Portfolio/Project Number:	00123748
Portfolio/Project Title:	Universal adaptive social protection in the Eastern Cari
Portfolio/Project Date:	2020-01-01 / 2022-12-31

Strategic

Quality Rating: Highly Satisfactory

1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?

- 3: The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks.
- 2: *The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.*
- 1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change.

Evidence:

The joint programme was built on credible evidence that there is a need to transition to adaptive social protection systems. The activities proposed are based on prior experiences of participating agencies as well as other development partners including the World Bank and the Inter-American Development Bank. The draft prodoc uploaded here clearly illustrates a well researched country context, experiences of past programmes, ongoing complimentary development interventions and proposes to test interventions on co

community levels with clear gender responsive approaches and specific objectives towards poverty reduction and building resilience of communities to the impacts economic and climate related shocks.

See the attached draft ProDoc, strategy section.

The Joint Programme will aim to influence and leverage loans from the IFIs, including an IDB loan for the Human and Social Development project in Barbados and a complimentary loan under development between Saint Lucia and the World Bank for the Human Capital Resilience project. In Barbados, this will be supported by seeking to identify and address bottlenecks related to social protection design and implementation, and in Saint Lucia, by bringing a people-centred approach to social protection reform, including through evidence on vulnerability and risk.

Specifically:

The outcome: Poor and vulnerable people have predictable access to adaptive social protection - is aligned to ongoing and forthcoming national and sub-regional plans and participating UN agency initiatives to strengthen social protection systems and programmes with a view to address emerging socio-economic and climate-related risks in small island developing states. Five outputs reflecting national, community and regional-level interventions, have been identified to achieve the outcome:

At community level: Targeted communities benefit from realignment of social protection programmes designed to strengthen their ability to anticipate, absorb and recover from climate-related shocks and stresses.

At national level:

- Institutional capacities are strengthened for integrated service delivery through the development of evidence based, gender-responsive social and disaster risk management policy and legislation.
- Innovative financing strategies are introduced to ensure fiscal sustainability for minimum expanded coverage.
- Implementation of national social protection programmes is strengthened with improved management and operational tools.

At regional level: Regional capacities are strengthened for adaptive social protection by engaging stakeholders for policy coherence and South-South Cooperation.

Leading to the outputs, the Joint Programme will implement tailored strategic actions that leverage the expertise, technical capacities and comparative advantage of PUNOs:

- a) Contribute to the strengthening of national svst

a) Contribute to the strengthening of national systems to support adaptive social protection service delivery, through: gender-responsive social-economic and disaster risk management policies, protocols and guidelines; fiscal sustainability; and improved management and operational tools;

b) Design and pilot innovative adaptive and shock responsive services within existing programmes to generate evidence for social protection reform, through targeted community-based social protection programmes designed to strengthen their ability to anticipate, absorb and recover from climate-related shocks; and

c) Contribute to strengthening regional approaches and build policy coherence for social resilience in the OECS, through regional engagement and South-South cooperation for adaptive social protection.

ToC Assumptions

The key assumptions of the theory of change are: (i) Governments and their partners show continued commitment at the community, national and regional level to strengthen capacities for a coherent and adaptive national system providing integrated social protection service delivery; (ii) fiscal policies and related reforms will keep budget deficits and debt levels to current or lower levels to allow for innovative financing strategies; (iii) space and platforms for evidence to inform decision-making exist, and they can be utilized as part of strengthening social protection reform and shock-responsive services; (iv) regional mechanisms and institutions can support regional policy coherence for social resilience in the OECS/Eastern Caribbean; (v) Donors and development partners will support the programme and its integration and/or complementarity within existing and forthcoming social protection initiatives and investments.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	SDGAccelerationFundProDoc123748draft_2802_101 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/SDGAccelerationFundProDoc123748draft_2802_101.docx)	cherise.adjodha@undp.org	12/12/2019 10:09:00 PM

2. Is the project aligned with the UNDP Strategic Plan?

- 3: The project responds to at least one of the development settings as specified in the Strategic Plan¹ and adapts at least one Signature Solution². The project's RRF includes all the relevant SP output indicators. (all must be true)
- 2: The project responds to at least one of the development settings as specified in the Strategic Plan⁴. The project's RRF includes at least one SP output indicator, if relevant. (both must be true)
- 1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.

Evidence:

The project responds to all the development setting specified in the Strategic Plan i.e. poverty reduction through strengthening social protection systems; acceleration of structural transformations for sustainable development through transformation of current social protection systems to include systems for disaster risk management and the development of the adaptive capacities of the same to support access of the most vulnerable to predictable access to universal social protection; and, building resilience to shocks and crises through the development of an adaptive social protection system that responds to both climatic and economic shocks. UNDP's contribution to the above includes gender responsive sustainable and adaptive finance modelling and testing, as well as supporting further analysis of existing data and additional qualitative research for policy adaptation being undertaken by other UN partners in the programme. The joint programme project is linked to Signature solutions on poverty reduction, enhancing resilience and supports gender equality and the empowerment of women.

List of Uploaded Documents			
#	File Name	Modified By	Modified On
No documents available.			

3. Is the project linked to the programme outputs? (i.e., UNDAF Results Group Workplan/CPD, RPD or Strategic Plan IRRF for global projects/strategic interventions not part of a programme)

- Yes
- No

Evidence:

Related UNMSDF Outcomes
Pillar 1: An inclusive, equitable and prosperous Caribbean: Outcome (ii) Access to equitable social protection systems, quality services and sustainable economic opportunities improved.
Pillar 4: A sustainable and resilient Caribbean: Outcome (i) Policies and programmes for climate change adaptation, disaster risk reduction and universal access to clean and sustainable energy in place.
UNDP Strategic Plan Outcome 7: Development Debates and actions at all levels prioritises development debates and actions at all levels, prioritises poverty, inequality and exclusion, consistent with our engagement principles.

Sub-regional priority 1: Evidence based policy and planning for improved social protection for multi-dimensional poor and other vulnerable populations

- Indicative Output(s) with gender marker2:
1. Institutional capacities are strengthened for integrated service delivery through the development of evidence based, gender-responsive social and disaster risk management policy and legislation.
GEM: 2
 2. Innovative financing strategies are introduced to ensure fiscal sustainability for minimum expanded coverage.
GEM: 2

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

Relevant

Quality Rating: Highly Satisfactory

4. Do the project target groups leave furthest behind?

- 3: The target groups are clearly specified, prioritising discriminated, and marginalized groups left furthest behind, identified through a rigorous process based on evidence.
- 2: *The target groups are clearly specified, prioritizing groups left furthest behind.*
- 1: The target groups are not clearly specified.

Evidence:

See section on Stakeholder Engagement in the draft ProDoc

Target groups

This Joint Programme has identified all people in need - living in poverty and being vulnerable to the impacts of climate change - as the key target group with particular attention being paid to the needs of women, children, and older persons directly, as well as youth, persons with disabilities and migrants indirectly where their needs are specific and in the event of shocks will be further left behind. In Saint Lucia, household survey data suggest that households not living in poverty may have greater potential to adapt to anticipated impacts of climate change and natural disasters (Saint Lucia CPA 2018).

The target groups analysis below supports the priority categories in the Caribbean Common Multi Country Assessment (CMCA) of the UN-MSDF 2017-2021, where four categories of development have been identified: economic, social, environmental and governance.

Analysis of the target groups are further reinforced in country human rights mechanisms (see A.15) where specific conclusions and recommendations support the country analysis of the target population.

People living in poverty and exposed to natural hazards are the key target group because of the proven links between poverty and the ability to cope with the impacts of hazards and shocks, including those linked to climate change. People living in poverty are more susceptible to the impacts of hazards, lose a larger fraction of their wealth and a higher probability of suffering mortality (Winsemius et al., 2018). They have greater difficulty coping with the impacts of shocks compared to non-poor households owing to lower access to savings, borrowing, or social protection (ibid.). Social vulnerability also explains why some hazards and events lead to extreme impacts on people's lives and to disasters, while other events do not (Lavall et al. 2015).

Women in the Eastern Caribbean are more likely to live in poverty than men, with higher poverty levels amongst women-headed households with children compared to households headed by men, pay gaps in the labour market and issues around domestic violence

ce. While men are more likely than women to be employed if there are children under five in their household, women in similar households are more likely to remain home. The lack of childcare services may further exacerbate this, provide an additional barrier to (re)entering the labour force and contribute to gendered poverty. Despite being more highly educated than men, women are unemployed at higher rates and employed at lower rates. In Barbados and St. Lucia women earn less than men (Status of Women and Men Report/2017 Labour Force Survey).

In Barbados, poverty has a gender component where 21% of females live in poverty compared to 14% of males based on the Barbados Survey of Living Conditions 2016-2017. The CEDAW Committee specifically recommends to: a) monitor the gender-specific effects of the austerity measures and ensure an internal redistribution giving priority to measures which support gender equality in all fields and devise an effective strategy to ensure the full implementation of the Convention; (b) Undertake independent, participatory and periodic impact assessments of the extraterritorial effects of its financial secrecy and corporate tax policies on women's rights and substantive equality of women and men, ensuring that such assessments are conducted impartially and with public disclosure of the methodology and findings; (c) continue to strengthen its programmes to combat the feminization of poverty, in particular among women-headed households; and ensure their access both in rural and urban areas to justice, education, formal employment, skills development and training opportunities, health, housing, income-generating opportunities, microcredit and ownership and use of land, taking into account their specific needs. It also makes specific reference to special needs: to adopt comprehensive policies and programmes to protect the rights of women and girls with disabilities, ensuring their access to, amongst others, social protection. The UPR also calls for: improving access to quality health-care services for all, addressing the challenges of maternal mortality; continuing the country's efforts to promote gender equality and poverty reduction; and reinforcing programmes against the feminization of poverty.

In Saint Lucia, households make up three members on average and are headed by females in 2 out of every 5 households. Women face lower labor force participation rates at 68.1% compared to men at 81.8%. Furthermore, even though women may be involved in highly skilled professional field of employment such as clerical support workers and sales and services while men are involved in skilled agricultural work, craft and related trades in plant and machine operations, earnings of women are still lower compared to

ations, earnings of women are still lower compared to men. Female heads of households are disproportionately represented in one parent households, and women are also heads in over half the extended family households that have the highest child poverty rates. Conversely, nuclear families, where poverty is lower, are rarely headed by women (Saint Lucia Survey of Living Conditions 2018). The share of the people working and living in poverty in total employment fell for men but not for women among all age groups. Needs of women and gender inequality in Saint Lucia are also taken up by the UPR for Saint Lucia where recommendations are made explicitly to “Expand and develop its social programmes with a special emphasis on the most disadvantaged persons, especially women and children” as well as “continue strengthening the sensible programs fighting poverty and social inequality.”

Children in the Eastern Caribbean make up about one-third (238,628/792,102) of the ECC wide total population across the OECS and Barbados countries and territories (Country Population Census data). The children’s population in Barbados is 53,942 which is 24% of the total population, and in Saint Lucia 51,556 children reside on the island making up 30% of the total population. As a result, the realities of child poverty impact on the well-being of families, women and entire households where one in three children (33%) in the Eastern Caribbean live in poverty and 4% living in extreme poverty. Poverty rate is higher among children compared to adults (1 in 5) and overall population (1 in 4) in all Eastern Caribbean countries. More specifically, poverty is higher among (vulnerable) those children living in 4+ child households where rates are twice as high (about 60%) and children living in female headed households (UNICEF 2017).

Even though child poverty rates in Saint Lucia dropped from 36.7% to 34.5% between 2006 and 2016, child poverty rates appreciated in rural areas from 41.4% compared to 32% in urban areas (Saint Lucia National Report of Living Conditions 2016). Child poverty increases sharply with the number of children in the household, from 14% in single child households to 66% in households with 4 more children. These households account for over 40% of children in poverty. Although the poverty rate for one child households has decreased since 2006, it has risen for all other larger child households. The decrease in the overall child poverty rate is thus due primarily to a reduction in the proportion of children living in households with 3 or more children rather than a decrease in poverty rates.

In Barbados, about 40% of children in households liv

ing in poverty had low birth weight and 12% of children living in non-indigent poverty compared to 9.5% of those not living in poverty. This stresses the importance of breaking the intergenerational poverty cycle (SLC 2016), as child poverty has devastating impact on children and societies. This would be further exacerbated by the impacts of shocks, which could leave them even further behind.

For Saint Lucia, the CRC Committee states the urgency for the government to: a) step up its efforts to address both short and long-term child poverty where design of public policies and National Plan are reflected to combat child poverty; b) not only adopt a National Social Protection Policy, but also implement the social protection reform initiatives of the Government with a view to establishing a coherent framework identifying priority action against the exclusion of children, with specific and measurable objectives, clear indicators, deadlines and sufficient economic and financial support; and c) work with UNICEF and development partners to promote a comprehensive and coherent strategy to guarantee children a minimum level of access to basic services and financial security, and create a nationally defined social protection floor, as part of the social protection floor initiative of the United Nations. The committee also recommends the state party to develop strategies to reduce the vulnerabilities and risks for children and families which may be produced or exacerbated by climate change.

List of Uploaded Documents

#	File Name	Modified By	Modified On
---	-----------	-------------	-------------

No documents available.

5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?

- 3: *Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.*
- 2: The project design mentions knowledge and lessons learned backed by evidence/sources but have not been used to justify the approach selected.
- 1: There is little, or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.

Evidence:

The strategy section of the draft Project Document clearly outlines the experiences which have been drawn upon to justify the proposed approach. For example as elaborated in the draft prodoc: Countries in the ECC have shown strong commitment to strengthening social protection and disaster risk management frameworks, driven in part by recent emergency responses using social protection and disaster risk management systems, which has proven successful in an ad hoc manner. For example, in the OECS states in 2017 following Hurricanes Irma and Maria in 2017, the British Virgin Islands and the Commonwealth of Dominica linked emergency responses to their social protection systems and programmes. Similarly, although Saint Lucia was unaffected by the storms, the government provided social protection services to a small group of Dominicans who arrived in Saint Lucia after Hurricane Maria. This Joint Programme will help to institutionalize these and other approaches in a more predictable manner by implementing preparedness investments before shocks occur.

The Joint Programme is timely and has transformational potential, as Saint Lucia, Barbados and the OECS are committed to pursuing measures to strengthen social protection and disaster risk management. Saint Lucia has conducted a comprehensive social safety net assessment in 2009, an evaluation of some programmes as well as a fiscal space study on social protection. To date, the government is prioritizing to update and review the 2015 National Social Protection Policy and to complete its legislation to strengthen implementation of its programmes and establish an integrated, adaptive social protection system. In addition, Saint Lucia's national DRM policy is also up for revision and provides a timely and strategic opportunity to include shock-responsive social protection considerations. Barbados has requested UN support for assessing its social protection system in the face of limited fiscal space and within the context of the country's macroeconomic reform priorities of BE RT to provide the government with better financial scenarios, optimization of its supply chain combined with data instruments and alternative financing opportunities. Both Saint Lucia and Barbados have also championed the development of National Adaptation Plans incorporating elements of vulnerability into existing national surveys and assessments. The Joint Programme will advance national and sub-regional efforts by complementing funding from IFIs in both Saint Lucia and Barbados to ensure a transformative approach, while engaging with OECS, CDEMA and promoting South-South learning as multiplier effect to additional countries in the ECC.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national / regional / global partners and other actors?

- 3: *An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. (all must be true)*
- 2: Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans.
- 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

Evidence:

The project has clearly established comparative advantage on the part of all participating UN agencies and has consulted with development partners working in the participating countries on the division of labour in similar areas of work. South south cooperation approaches with a focus on learning exchanges through the OECS Commission and identification of partnerships to strengthen the work of the joint programme are included in the draft project document. A list of relevant projects in country has also been compiled and included in the draft project document.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

7. Does the project apply a human rights-based approach?

- 3: *The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true)*
- 2: The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. (both must be true)
- 1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

Evidence:

The project is in compliance with the leave no one behind approach and looks to support acceleration towards the achievement of SDGs 1, 5 and 13, and targets 1.3, 5.1, 5.4 and 13.1 specifically.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

8. Does the project use gender analysis in the project design?

- 3: A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. (all must be true)
- 2: *A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. (all must be true)*
- 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.

Evidence:

the project has been designed using a gender responsive approach to project development and 2 here has been selected only because a participatory gender analysis was not completed to inform the design. However gender responsive research will be undertaken to inform the development of project interventions for piloting.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

9. Did the project support the resilience and sustainability of societies and/or ecosystems?

- 3: *Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true)*
- 2: The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. (both must be true)
- 1: Sustainability and resilience dimensions and impacts were not adequately considered.

Evidence:

Similar to the response for question 2, yes the projects main objective is to support sustainable development and building resilience to climate and economic shocks through the development of adaptive social protection systems.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]

- Yes
- No
- SESP not required because project consists solely of (Select all exemption criteria that apply)
- 1: Preparation and dissemination of reports, documents and communication materials
 - 2: Organization of an event, workshop, training
 - 3: Strengthening capacities of partners to participate in international negotiations and conferences
 - 4: Partnership coordination (including UN coordination) and management of networks
 - 5: Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes)
 - 6: UNDP acting as Administrative Agent

Evidence:

The SESP is included in the draft project document which has been uploaded

List of Uploaded Documents

#	File Name	Risk Category	Risk Requirements	Document Status	Modified By	Modified On
---	-----------	---------------	-------------------	-----------------	-------------	-------------

1	PPM_ProgrammingStandard andPrinciples_SocialandEnvironmentalScreeningTemplate_ENGLISH1_280_2_110 (http://intranet.undp.org/apps/ProjectQA/QAFormDocuments/PPM_ProgrammingStandardsandPrinciples_SocialandEnvironmentalScreeningTemplate_ENGLISH1_280_2_110.docx)	Low		Final	jason.lacorbiniere@undp.org	5/14/2020 3:14:00 AM
---	--	-----	--	-------	-----------------------------	----------------------

11. Does the project have a strong results framework?

- 3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. (all must be true)
- 2: *The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. (all must be true)*
- 1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. (if any is true)

Evidence:

The current results framework can be improved.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?

- 3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true)
- 2: *The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true)*
- 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

Evidence:

The Resident Coordinators Office has yet to convene the project steering committee. The development of the same is in progress with names to be included. This is the same for mentioned Country coordinating committees which are also a part of the governance structure.

List of Uploaded Documents

#	File Name	Modified By	Modified On
---	-----------	-------------	-------------

No documents available.

13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?

- 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the programme’s theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks, reflected in project budgeting and monitoring plans. (both must be true)
- 2: *Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.*
- 1: Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified, no initial risk log is included with the project document and/or no security risk management process has taken place for the project.

Evidence:

Consultation and dialogue with relevant partners has laid a good foundation for risk mitigation. I did not choose 3 as we have not done any capacity assessments, however, the level of consultation undertaken was comprehensive. Biggest risks are at the coordination level and this can be addressed through the resident coordinators office.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

Efficient

Quality Rating: Satisfactory

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include, for example:

- i) Using the theory of change analysis to explore different options of achieving the maximum results with the resources available.
- ii) Using a portfolio management approach to improve cost effectiveness through synergies with other interventions.
- iii) Through joint operations (e.g., monitoring or procurement) with other partners.
- iv) Sharing resources or coordinating delivery with other projects.
- v) Using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.

- Yes
 No

Evidence:

iii and iv apply: The joint programme approach lends itself to promoting cost efficiency as well as financial sustainability when the project ends by linking the work with that of other development partners.

The SDG Fund will support catalytic policy and innovative interventions - which build on investments undertaken so far by implementing PUNOs and by governments - towards the development of an adaptive universal social protection model in the Eastern Caribbean.

The overall budget for the Joint Programme is estimated at US\$ 4,804,402 million, of which US\$ 3,000,000 (62 %) million is requested from the SDG Joint Fund. The budget includes a small allocation to strengthen synergies under the existing Virtual Policy Networks on regional approaches on social protection from all SDG Fund interventions in the Caribbean under the UN MSDF framework. At least 18% of the budget is directed towards implementing data capturing, generating tools, piloting services, etc. that ensure gender mainstreaming and promote gender equality and women's empowerment through the programme.

e's intervention.

As this Joint Programme supports two national governments and a regional institution, specific funding will be earmarked to each of the countries and to regional efforts.

This Joint Programme represents good value for money for several reasons. First, it builds on existing programmes and policy efforts from the five PUNOs, which are currently working on social protection, disaster risk management and gender equality. PUNOs' co-funding for Saint Lucia, Barbados and OECS is estimated at US\$ 1,804,402.35 million. Each agency will co-fund as follows: UNICEF \$ 757,155.00, WFP \$ 451,430.48,000, UNDP \$ 350,000.00 (in kind not in cash), UN Women \$ 160,000.00, and ILO \$ 85,816.87.

Second, as detailed in earlier sections, the Joint Programme will leverage programmes and resources from IFIs such as Inter-American Development Bank, the World Bank and the Caribbean Development Bank, which already have existing agreements and policy-based loans with the government of Saint Lucia and Barbados and other Eastern Caribbean countries. The injection of financing through the fund is very timely. For Barbados, it can leverage resources and inter-institutional response under the approval of an IDB policy loan for the social protection sector. In Saint Lucia, a major programme to accelerate social protection reform is set to begin in 2020, supported by an anticipated World Bank \$20m loan, provides a significant influencing opportunity for the Joint Programme's evidence, policy and operational efforts.

Third, the Joint Programme uses policy, piloting and regional relationships to ensure that investments in the Joint Programme inform broader efforts in the region to promote adaptive universal social protection. Compared to alternative approaches, such as directly implementing programmes at scale, these are relatively "low cost" activities to influence national social protection systems to be more universal and adaptive in the future. Through inclusion of analysis on gender and groups at risk of being left behind, as well as activities to address specific constraints facing women, these efforts also promote gender equity.

Finally, the Joint Programme is good value for money as it includes the development of strategies for financing - thus using its resources to help ensure future resources to support adaptive universal social protection. These efforts will help ensure the leveraging of future resources and sustainability after the completion of the joint programme.

tion of the joint programme.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

15. Is the budget justified and supported with valid estimates?

- 3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.
- 2: *The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.*
- 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

Evidence:

The project budget is at the activity level, including funding sources that covers the project life.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

16. Is the Country Office / Regional Hub / Global Project fully recovering the costs involved with project implementation?

- 3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)
- 2: *The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.*
- 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

Evidence:

The parameters of the SDG acceleration fund included 7%GMS and DPC was applied at 10% as per current practice. The UNDP pledged USD 350 000 in kind support for implementation. There was no LPL costing done.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

Effective

Quality Rating: Exemplary

17. Have targeted groups been engaged in the design of the project?

- 3: *Credible evidence that all targeted groups, prioritising discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)*
- 2: Some evidence that key targeted groups have been consulted in the design of the project.
- 1: No evidence of engagement with targeted groups during project design.
- Not Applicable

Evidence:

The project was designed based on assessments of target group access to social safety net programmes and is designed to include community based piloting of interventions, for direct impact on identified vulnerable groups and communities in Saint Lucia. In Barbados the government request for support underlying this project included specific poverty reduction goals for pre-identified communities and vulnerable groups who are currently being served. Prioritised interventions will be supported through the project in both countries.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?

- Yes
 No

Evidence:

The project design is such that interventions are all evidence based. At each stage the appropriate assessments and research will inform the next step including for informing policy reform, designing of pilot interventions and integration of social protection and disaster risk management systems.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

- Yes
- No

Evidence:

See Annex 9: gender marker matrix

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

Sustainability & National Ownership

Quality Rating: Needs Improvement

20. Have national / regional / global partners led, or proactively engaged in, the design of the project?

- 3: *National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP.*
- 2: The project has been developed by UNDP in close consultation with national / regional / global partners.
- 1: The project has been developed by UNDP with limited or no engagement with national partners.

Evidence:

All partners have indicated to the UN system that they required support for strengthening social protection systems with a focus on disaster risk mitigation and response. The project was designed in alignment with requests made as well as experiences in country and in the region working on the same.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

21. Are key institutions and systems identified, and is there a strategy for strengthening specific / comprehensive capacities based on capacity assessments conducted?

- 3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.
- 2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.
- 1: Capacity assessments have not been carried out.
- Not Applicable*

Evidence:

Activities support capacity building as required for the implementation of new processes introduced by the project. Capacity assessments of systems and human resource requirements are part of interventions as relevant in participating countries.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

22. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?

- Yes
- No
- Not Applicable*

Evidence:

Procurement, monitoring and evaluation are included as project based services. Project partners do not have the capacity to provide this consistently to the project.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

23. Is there a clear transition arrangement / phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?

- Yes
- No

Evidence:

Sustainability is built in to the project design in various ways previously described and contained in the draft project document, however a clearly detailed phase out plan has not yet been solidified. This is however a priority for development of the technical team of the joint programme as implementation progresses.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

QA Summary/LPAC Comments

As per discussion with the Internal PAC, this QA is approved. In the discussions it was noted that Project manager will elaborate a sustainability plan to mitigate risk associated to the sustainability weaknesses identified during the formulation of this joint programme.