

**United Nations Development Programme**  
**Country: Samoa**  
**Project Document**

Project Title:	Capacity Support for Enhanced Development
Initiation Plan Start Date:	Effectiveness 15-06-2013
Initiation Plan End Date:	31-12-2013
Implementing Partner	UNDP

**Brief Description**

The Multi-Country Office (MCO) based in Samoa supports four Pacific island countries (Cook Islands, Niue, Samoa & Tokelau), and manages regional programmes for 10 additional countries. The new UN Development Assistance Framework (2013-2017) has been designed, in joint coordination between 14 Pacific countries with country specific Results Matrices

The MCO's portfolio has been successfully expanded in budget, delivery and areas, turning from a very small office (around US\$ 20m of budget in 2008) to a medium one (US\$ 85m by the end of 2013) and potentially to a medium-large one in the future (potential portfolio of around US\$ 120m). In addition, management and coordination are gradually moving from a project-based approach to a sector-wide approach to get economies of scale, to be more efficient and to create synergies. That process has shown already significant progress in the area of climate change in Samoa, most notably supported by the large number and importance of projects supported by UNDP and other development partners, as well as some catalyst initiatives such as the Climate Public Expenditure and Institutional Review (CPEIR), the Pilot Programme for Climate Resilience (PPCR) and the forthcoming LDCF project focused on economy-wide approach to adaptation, among others. Both factors, programme expansion and new wide approach, present a new scenario of opportunities to increase and speed up results delivery, but will also require (1) support for enhanced financial capacities at governments and implementing partners, (2) deepened technical and quality-assurance support services from UNDP, (3) advanced competences to monitor, document and communicate results on the ground and to define effective up-scaling strategies, (4) mainstreaming gender equality to guarantee a fair expansion of benefits and opportunities to all the society.

Strengthened capacities will be critical to implement the new and expanded UNDP programme and a more ambitious sector approach by the Government. Moreover this support will allow UNDP to take advantage of many emerging opportunities, increasing our performance, efficiency and accountability to results. In addition, it will assist with provision of effective support to the government of Samoa for the SIDS Conference in 2014.

This project, which would make use of the 20% of UNDP TRAC core allocations (2013-2017) for Samoa, will build on major efforts already invested by the MCO during the last year (despite significant reduction of UNDP core administrative resources). Similar arrangements are expected to be signed with other governments and partners to support related activities.

Programme Period	2013-2017	Total resources required	\$488,600
Key Result Area (Strategic Plan)	Effective Aid Management	Total allocated resources	\$488,600
Atlas Award ID		• Regular Samoa TRAC	\$488,600
Start Date	15-06-2013	• Other	
End Date	31-12-2017		
PAC Meeting Date		Government	
Management Arrangements	Direct Implementation (DIM)	Unfunded budget	\$0
		In-kind Contributions	

Agreed by UNDP W White 2/8/13

Agreed by the Government of Samoa 2/8/13 K. Su

Agreed by the Implementing Partner (UNDP) W White



## I. SITUATION ANALYSIS

### **Portfolio expansion, larger complexity and emerging challenges:**

The Multi-Country Office (MCO) based in Apia supports four Pacific island countries (Cook Islands, Niue, Samoa & Tokelau) and manages regional programmes for 10 additional countries. The new UN development Assistance framework (2013-2017) has been designed, in joint coordination between 14 Pacific countries, with results matrices for each country.

The UNDP programme for Samoa is focused in 2 key areas: (i) Accelerated implementation of MDG's – (a) Gender and Youth and (b) Parliamentary support for enhanced MDG accountability (ii) Climate Change/DRR/DRM/Environment and (iii) Inclusive economic growth – focusing on Trade and support for transition to MIC.

Results Matrix for Samoa, is attached at Annex 1

The MCO's portfolio has been successfully expanded in budget, delivery and areas, turning from a very small office (around US\$ 20m of budget in 2008) to a medium one (US\$ 85m by the end of 2013) and potentially to a medium-large one in the future (potential portfolio of around US\$ 120m). In addition, management and coordination are gradually moving from a project-based approach to a sector-wide approach to get economies of scale, be more efficient and create synergies. That process has shown already significant progress in the area of climate change in Samoa, most notably supported by the large number and importance of projects supported by UNDP and other development partners, as well as some catalyst initiatives such as the Climate Public Expenditure and Institutional Review (CPEIR)<sup>1</sup>, the Pilot Programme for Climate Resilience (PPCR)<sup>2</sup> and the forthcoming LDCF project focused on economy-wide approach to adaptation, among others. Both factors, programme expansion and new wide approach, present a new scenario of opportunities to increase and speed up results delivery, but will also require (1) support to develop enhanced capacities at governments and implementing partners, (2) new and improved technical and quality-assurance support services from UNDP, and (3) advanced competences to monitor and document results on the ground and to define effective up-scaling strategies. In addition, as requested by governments and partners, additional efforts should be invested in (4) mainstreaming gender equality to guarantee a fair expansion of benefits and opportunities to all the society.

Some capacity gaps were identified by an independent evaluation conducted in October 2011 on the UNDP's contribution to development results in the Pacific. Based on learnt lessons from similar contexts, the final report suggested a strategic combination of measures to release these constraints<sup>3</sup>: (1) introduce a more thorough and disciplined monitoring and evaluation system, (2) implement a country demand system for substantive and technical support services and oversight, (3) improve UNDP managerial effectiveness<sup>4</sup> and process simplification, (4) assess capacity constraints, challenges and

<sup>1</sup> CPEIR is a new methodology for reviewing public expenditure related to climate change, including both adaptation and mitigation, and the way in which this is guided by policy and managed by institutions. This approach was applied in five pilot countries, being Samoa one of them.

<sup>2</sup> Samoa was selected for participation in the PPCR as one of three pilot countries in a Pacific Regional Program, and nine countries worldwide. The project was approved in March 2011 with a budget of US\$ 25 m from the Strategic Climate Fund (SCF). It aims to pilot and demonstrate ways to integrate climate risk and resilience into core development policies, planning and budgeting processes at national and regional level, through increased capacity and by way of scaled-up investments.

<sup>3</sup> Alam, Nurul (2011). *Assessment of Development Results - Evaluation of UNDP Contribution in Pacific Island Countries* (p. 93, 92, 89, 84, 82-83, 74 & others).

<sup>4</sup> Main identified limitations were related to timeliness of approval of projects, timely procurement of inputs, recruitment

vulnerabilities in counterparts and countries (especially in micro-states)<sup>5</sup> and develop a systemic and institutional capacity development strategy to address them, (5) define adapted implementation arrangements based on criteria of efficiency, transaction costs and time requirements, (6) take a systems-wide approach and avoid stand alone projects that require separate personnel and resources, (7) promote permanent country presence to facilitate timely communication and provision of services, and (8) develop and apply a coherent strategy for gender equality mainstreaming including mandatory gender analysis, integration plans and performance indicators.

Similar issues and recommendations were also highlighted in project mid-term evaluations, multi-partite reviews and board meetings, especially in those of the two major projects managed by the MCO (PACC and PIGGAREP). The UNDAF mid-term review (2010) also revealed some of these issues and recommended, among other things, to provide more in-depth and strategically planned support to countries rather than short-term trainings.

On top of this, the upcoming Small Island Developing States (SIDS) Conference in 2014, to be hosted by Samoa, presents a unique opportunity to show concrete progress and results on the ground by Samoa, draw global attention to exportable best practices, and make a decisive contribution to the post-2015 development agenda.

Notwithstanding the expanding portfolio and opportunities for UNDP Samoa MCO, the global crisis has affected the volume of financial contributions to the UN. As a result, UNDP core budget projections remain uncertain and have forced the Samoa MCO to make adjustments to absorb already a 15% reduction of the core administration budget for 2013, 2014 and 2015. Additional reductions could be required.

This budget reduction could potentially undermine the work of the Samoa MCO, in terms of quantity and quality of programmatic and operational services in comparison to previous years. Therefore, the 'reform' of the MCO is not only an executive decision to adapt our work to the new contextual challenges, but also an obligation to ensure UNDP's relevance and value added in the countries that it covers.

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## II. STRATEGY

### **Actions already taken and preliminary results:**

In light of the above, the MCO presented a detailed analysis<sup>6</sup> to the top senior managers of the UNDP Regional Bureau in November 2012 to get agreement on essentials to meet higher expectations for the new cycle 2013-2017. As a result of those discussions, the MCO has taken many resolute actions, including (1) assessment of technical, financial and operational weaknesses and opportunities, (2) recruitment of new staff based on received demands, including a Deputy Resident Representative, two international staff (in the area of climate change and environment), four national positions (finance, administration, environment and SGP<sup>7</sup>), two international UN volunteers (SGP and UNV programmes) and specialized short-term consultants (on recovery, environment, housing, communications, M&E, etc.), (3) search, negotiation, mobilization and diversification of

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of technical experts/consultants and disbursement of funds

<sup>6</sup> Constraints are context-specific, but in many cases related to small human resource bases, outmigration and remote geographies.

<sup>7</sup> Samoa Country Scan Title Ova - hitting it hard/over the boundary

SGP: Small Grant Programme

UNDP resources to afford critical positions (UNDP-HQ, LEAD, IUNV and JPO)<sup>8</sup>; (4) specialized training addressing knowledge gaps; and (5) new mechanisms for enhanced technical support and coordination with the UNDP Pacific Centre and the Asia-Pacific Regional Centre.

Some preliminary results of these efforts are as follows: (1) design of country programmes (2013-2017); (2) mobilization of new resources for the countries (US\$ 33m in 2013); (3) unqualified audit and recommendation to move Samoa from medium to low risk; (4) support provided to the preparatory consultations for the SIDS Conference; (5) contribution to the Post-Disaster Needs Assessment (PDNA) and the multi-sectoral recovery plan for Samoa; and (6) promotion of enhanced sectoral project alignment.

#### **Capacity areas to be supported by this project:**

Despite the progress already made, successive evaluations have indicated the need for UNDP to provide increased support to governments and implementing partners in the following key areas: (1) Results based management, monitoring and evaluation and communication for results; (2) efficient finance management; (3) Engendering its entire programme to ensure that the benefits from the programme are shared equally by women and men, and (4) Deepen quality and substantive support to the programmes for up-scaling and increasing impact. Existing gaps in these areas limit the effectiveness and relevance of UNDP/GOS interventions. On the other hand, strengthened capacities with hiring of suitably qualified personnel in key areas could allow us to take advantage of many emerging opportunities, increasing our performance, efficiency and accountability for results.

The expected areas of service improvements are indicated in the following table. Annual work plans to deliver on these areas of support will be determined in consultation with the government of Samoa upon signature of this project document.

#### **Area 1 a: Improved M&E and Result Based Management (RBM) services and capacities**

1.1. An advanced M&E framework is designed and implemented, in conjunction with government's M&E Unit, so as to determine and integrate UNDP programme contribution to government's goals as articulated in the sector plans and the SDS.

1.2. A capacity building strategy in RBM is designed and implemented (including baseline assessment and improvement of verification sources, databases and existing/alternative monitoring tools - Determine baselines for monitoring change at output and outcome levels, that are disaggregated by gender and timelines).

#### **Area 1b: Sustained advocacy through dissemination of results, best practices & learnt lessons; integration of the communication for development approach; and building of communication capacities of stakeholders**

1.3. The communication for development (C4D) approach is integrated across the various outcomes of UNDP programmes, contributing to behavioural change, social mobilization and advocacy.

1.4 Lessons learnt and best practices are systematically captured, disseminated and promoted, including as a basis for up-scaling and for sustained advocacy.

1.5 As part of support to NIM, capacity building strategy in communication is designed and

<sup>8</sup> LEAD, JPO (Junior Professional Officers) and IUNV (International UN Volunteers) are three corporate programmes, voluntarily funded by country members, to support UN offices with top-middle and middle managerial level staff, and paid volunteers, respectively.

implemented.

**Key Results:**

- An M&E system will be established that is closely aligned with and feeds into the Government's sector wide M&E systems.
- Systematic capture and dissemination of results and changes measured over time and disaggregated by gender
- Evidenced based advocacy for up-scaling and transformation at scale.

**Area 2: Financial services and capacities for implementing partners**

2.1. Baseline assessments and analysis of financial service requirements and client satisfaction are conducted, as a basis for development of a brief strategy and an action and training plan.

2.2. Under NIM arrangement provide for regular training/learning sessions on enhanced financial management.

**Key Results:**

- Timely disbursements and efficient utilization of programme funds.
- Satisfactory NIM and management audits
- Web-based financial systems (ATLAS) integrated into programme work allowing for a seamless and timely transfer of funds and its use.
- Capacity built of government and other implementing partners in financial and programme management.

**Area 3: Gender equality**

3.1. All new programmes developed are engendered in terms of their design, implementation arrangements; budgetary allocations; and monitoring for results.

3.2. Gender performance indicators are incorporated in all UNDP programmes and projects with gender disaggregated data, identification of differentiated needs and vulnerabilities, inclusive participation in decision making processes and specific strategies and activities designed to address differentiated needs.

**Key results:**

- Meaningful participation of women and an equal share in the benefits accrue to them.
- Regular support and learning sessions are provided for government and counterparts on integrating Gender dimensions across development programmes.

**Area 4: Substantive and quality technical support**

4.1. UNDP Samoa MCO's technical capacities enhanced through recruitment of qualified personnel in programme areas of work.

4.2. A fully functional 'virtual' Samoa MCO established that links Pacific Centre, Geneva and New York UNDP Office personnel and the APRC, Bangkok, to enable technical support to UNDP programmes in Samoa.

4.3. Establish through programmes developed, academic linkages with institutions of learning, as entities who can be engaged to support substantive work of the programme at key junctures of the programme and assist with M&E as appropriate.

4.4. Systematic sharing with the government, UNDP's world-wide access to learning materials

on a range of issues agreed with the government.

4.5. Put together/link into UNDP's world-wide roster of good consultants on key areas such that the work of the Government is informed by well established practitioners and thinkers

**Key Results:**

- enhanced quality of outputs and outcomes that provide for measurable benefits and changes in the lives of the people served by the development programmes
- provision to the government of cutting edge and world class technical and advisory inputs
- systematic links established with institutions of learning to enable a virtuous circle of learning that is grounded on operational work, allowing for upscaling and increased impact.

**Funding and further support to be mobilized:**

The present project, which will build on major efforts already invested by the MCO during the last year (despite significant reduction of UNDP core resources), will invest 20% of UNDP TRAC core allocations (2013-2017) for Samoa, as agreed by UNDP and the Ministry of Finance of Samoa (electronic communication is attached on Annex 2). Similar arrangements are expected to be signed with other governments and partners to provide further capacity support for enhanced development effectiveness. Potential sources of additional funding are (1) UNDP TRAC core allocations for Tokelau, Cook Islands and Niue, (2) additional support from IUNV and JPO; (3) additional support from UNDP-HQ, RBLAP and PC<sup>9</sup>; (4) government cost-sharing contributions; (5) specific project allocations, and (6) special donor contributions.

**III. MANAGEMENT ARRANGEMENTS**

The project will be directly implemented (DIM) by UNDP, in collaboration, as agreed with its partners. The project will be overall supervised by the Deputy Resident Representative (DRR P&O), who will be the Project Manager, the of the MCO and the ARR(O)<sup>10</sup>.

The Project Board will comprise the following members:

1. Executive: UNDP RR and ACEO of Ministry of Finance
2. Senior Supplier: UNDP, UNV and contributing UN entities. Other partners providing funds or technical assistance may be added as deemed necessary
3. Senior Beneficiary: All national & regional implementing partners & responsible parties

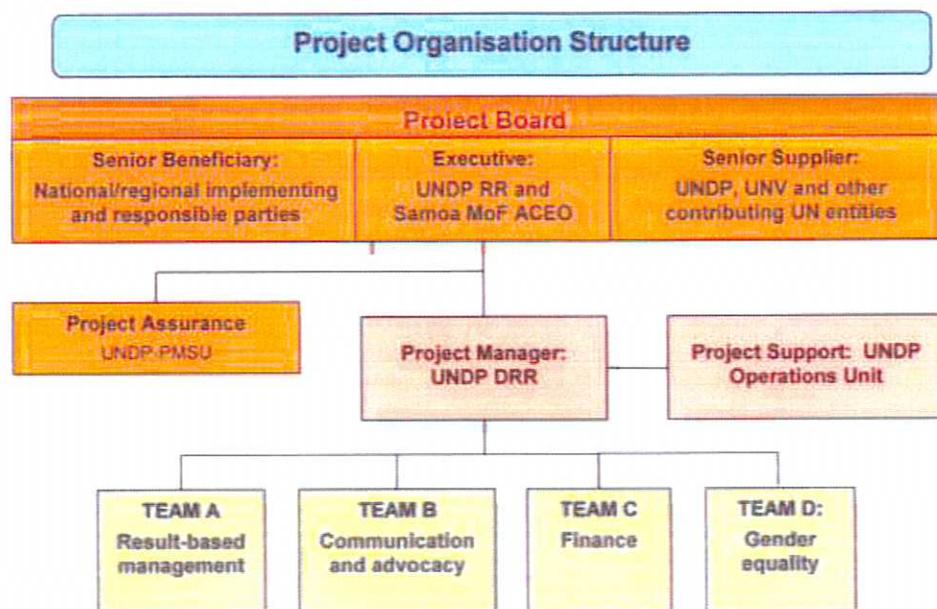
The Board will have overall authority over the project and responsibility for its initiation, direction, review and eventual closure of the project. It will be responsible for making management decision on a consensus basis for the project. An annual work plan will be developed and annual reports will be submitted to the Board against agreed outputs. Project assurance will be the responsibility of each Project Board member – delegated to UNDP-PMSU<sup>11</sup>.

<sup>9</sup> RBAP: Regional Bureau for Asia and the Pacific; PC: Pacific Center (based in Fiji)

<sup>10</sup> ARR(O): Assistant Resident Representative (Operations)

<sup>11</sup> PMSU: Programme Management Support Unit.

One of the first outputs of the project will be development of the 6 monthly work-plan for 2013.



#### IV. MONITORING:

In accordance with the UNDP Programme Policies & Procedures, the project will be monitored through the following:

##### Within the annual cycle

- On a six monthly basis, an assessment shall record progress towards the support provided by the project & results achieved, against agreed annual plan and targets.
- Project Progress Reports (PPR) shall be submitted by the Project Manager 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 on-going learning and adaptation within the organization, 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. As 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, a final annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project, and submitted to the Project Board
  - No project evaluation is scheduled due to support nature of this project, however the efficacy of its support will be determined also by the standard evaluations and audits undertaken
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