

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:	00123955
Portfolio/Project Title:	Building Effective Resilience for Human Security
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 document as well as the UNDP draft programme document illustrate a logical connection between the development challenges identified, the strategy developed to address them and the activities chosen to facilitate outcome level change.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	UNDPTFHSPProDoc_draft_20032020_5278_101 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/UNDPTFHSPProDoc_draft_20032020_5278_101.doc)	cherise.adjodha@undp.org	4/6/2020 11:48:00 PM
2	19-003FInalapprovalCaribbeanCountries_5278_101 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/19-003FInalapprovalCaribbeanCountries_5278_101.pdf)	cherise.adjodha@undp.org	4/6/2020 11:17:00 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 Plan](#)¹ and adapts at least one [Signature Solution](#)². 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 Plan*⁴. *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 clearly is linked to poverty reduction, addressing structural inequality and supporting the access to economic 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:

the project supports goals under the MSDF • Inclusive, Equitable and Prosperous Caribbean Sustainable and Resilient Caribbean. Strategic plan outcome 1: growth is inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded. The joint programme project document on page articulates project alignment with a number of national, regional and global policy and planning frameworks including the objectives of the Trust Fund for Human Security

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

Relevant

Quality Rating: 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:

There is good evidence provided for the selection of target groups but perhaps not as rigorously obtained as would be required for a rating of 3.

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:

In the joint project document there is discussion on past interventions as part of the justification for the choices made in the current project design, but evidence is not explicitly/consistently cited.

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 identifies national partners clearly, however there isn't an explicit reference to why the division of labour has been decided as it has been. There is a communications approach articulated in the joint programme document and some communications planned as pertains to activity level publicity. See the uploaded spreadsheet as well as the section in the joint programme document on dissemination of information for the programme as a whole.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Poverty_GovernanceCommunicationsPlanning_rev1_5278_106 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Poverty_GovernanceCommunicationsPlanning_rev1_5278_106.xlsx)	cherise.adjodha@undp.org	4/7/2020 10:17:00 AM

Principled

Quality Rating: Highly Satisfactory

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 has satisfied the rigorous human rights based approach required by the UN trust fund for human security. The applicability of the project's objectives to the UNTFHS is well articulated in the Joint project document.

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 a logical framework which uses gender analysis in the articulation of all aspects of project design. An analysis was not conducted as a distinct deliverable, but rather the process of design has been gender sensitive/gender responsive.

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#	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:

The project could have paid more attention to resilience and sustainability on an impact level. It is supporting the building of resilience and sustainability by addressing structural inequalities and increasing access to economic empowerment of women in vulnerable sectors.

List of Uploaded Documents

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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:

A SESP is completed and included in the UNDP draft project document

List of Uploaded Documents

#	File Name	Risk Category	Risk Requirements	Document Status	Modified By	Modified On
1	UND PTFH SSES P_52 78_11 0 (https://intranet.undp.org/apps/ProjectQA/QAFo rmDocuments/UNDPT FHSS ESP_5278 _110.docx)	Low		Final	jason.lacorbiniere@undp.org	4/29/2020 10:23:00 PM

Management & Monitoring

Quality Rating: Satisfactory

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 results framework as articulated in the joint project document and the UNDP draft project document could be more gender responsive, however the design of the activity and the time for implementation is prohibitive re: results. The policy related results are not realistic re: policy reform given that the activity was not adequately funded and the time required for policy reform and advocacy may well be beyond the scope of the project.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	DraftWorkplanandResultsMonitoring-HSTF-11April2019_5278_111 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/DraftWorkplanandResultsMonitoring-HSTF-11April2019_5278_111.xlsx)	cherise.adjodha@undp.org	4/7/2020 1:57:00 AM

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:

See the draft UNDP project document for governance arrangements.

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:

The joint programme does pay very close attention to risk and mitigation. The draft UNDP project document includes the risk mitigation strategy for the joint programme as well 2 more were added.

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#	File Name	Modified By	Modified On
No documents available.			

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:

As a joint programme, the project is specifically designed to leverage cost-efficiencies and joint operations across agencies.

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#	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:

There is inadequate funding for advocacy components of the project and this has been noted to the joint technical team - discussions have been positive with FAO in particular re: resource sharing and collaboration to support advocacy for policy reform. This is noted as a risk, the uploaded AWP also illustrates this challenge.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	TFHSAWP2020_CA_5278_115 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/TFHSAWP2020_CA_5278_115.xlsm)	cherise.adjodha@undp.org	4/7/2020 2:00:00 AM

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:

UNDP is supporting with in kind contributions in the amount of USD 300 000 which will account for staff participation in project meetings, procurement, project reporting and management

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	BudgetAnnex-ProjectProposal-FinalHSTF11 April2019_5278_116 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/BudgetAnnex-ProjectProposal-FinalHSTF11April2019_5278_116.xlsx)	cherise.adjodha@undp.org	4/7/2020 1:58:00 AM

Effective

Quality Rating: **Highly Satisfactory**

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:

There has been a lot of attention paid to participation of target groups in the project design, however, the strategies illustrated do not provide evidence beyond describing that came out of discussion and stating that the processes were inclusive. Target groups are clearly identified and communications approaches elaborated.

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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's monitoring and evaluation framework

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:

The UNDP project activities are rated at GEM 2.

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:

UNDP has worked in close collaboration with key stakeholders in Government and local stakeholders as well as other development partners in the UNST.

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:

There is a body of evidence that was consulted to justify the project however capacity assessments were not explicitly carried out

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#	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:

The project will not require this level of government support especially as it is not targeting government as the main beneficiary.

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:

There is a communications approach however, it is not geared towards sustainability and supporting project/programme transition arrangements.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

