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# EVALUATION REPORT

## Performance Evaluation of USAID/Pacific Islands Global Climate Change Portfolio

March 2017

This publication was produced at the request of the United States Agency for International Development. It was prepared independently by John Michael Kramer and Karen Azeez for Social Impact, Inc.

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## ABSTRACT

The United States Agency for International Development (USAID)/Pacific Islands launched its Global Climate Change portfolio in 2011 in response to growing climate concerns. In 2016, Social Impact, Inc. conducted a performance evaluation on four of 11 portfolio activities (Coastal Community Adaptation Project, Pacific-American Climate Fund, Vegetation and Land Cover Mapping and Improving Food Security, and Climate Change Adaptation Program) across four of 12 portfolio countries (Fiji, Kiribati, Solomon Islands, and Papua New Guinea). The evaluation included a desk review and five weeks of mixed-methods data collection.

Individually, the activities showed varying degrees of effectiveness in promoting climate change adaptation. Data from key informants and focus groups suggest that community-based activities with ongoing engagement showed the greatest promise in improving climate resilience. Activities with shorter timelines or insufficient resources were less likely to achieve positive impacts. Across the activities, some 60,000 persons will benefit from climate adaptive infrastructure, 24 civil society organizations (CSOs) will have improved implementation capacity, and regional partnerships may increase donor effectiveness.

At the portfolio level, the lack of integration across activities inhibited programmatic synergies. Activities were not designed in a closely coordinated manner and close start dates left little time to conduct systematic planning.

The evaluation team's recommendations include:

- Current portfolio activities should include a focus on capacity building for subnational (local and provincial) institutions and government.
- USAID should continue community-based support and maximize the investment made in building a network of high-capacity CSO implementers.
- USAID should make funds available for longer periods of performance to increase sustainability.

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## ACRONYMS

CCA	Climate Change Adaptation
C-CAP	Coastal Community Adaptation Project
CHICCHAP	Choiseul Integrated Climate Change Program
CROP	Council of Regional Organizations in the Pacific
CSO	Civil Society Organization
DOS	Department of State
DRR	Disaster Risk Reduction
EQ	Evaluation Question
EQUI	Evaluation Quality, Use, and Impact
EU	European Union
FGD	Focus Group Discussion
FY	Fiscal Year
GCC	Global Climate Change
GIS	Geographic Information Systems
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
IP	Implementing Partner
IR	Intermediate Result
ISACC	Institutional Strengthening in Pacific Island Countries to Adapt to Climate Change
KII	Key Informant Interview
KNEG	Kiribati National Expert Group
MARSH	Mangrove Rehabilitation for Sustainability-Managed, Healthy Forests
NGO	Non-governmental Organization
NRDF	Natural Resources Development Foundation
PACAM	Pacific-American Climate Fund
PIC	Pacific Island Countries
PIO	Public International Organization
PNG	Papua New Guinea
PY	Project Year
QA	Quality Assurance
RWHT	Rainwater Harvesting Tanks
SI	Social Impact, Inc.
SOW	Statement of Work
SPC	Secretariat of the Pacific Community
SPREP	Secretariat of the Pacific Regional Environment Program
TNC	The Nature Conservancy
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
US	United States
USAID	United States Agency for International Development
USG	United States Government
WOI	Whole of Island

# EXECUTIVE SUMMARY

## INTRODUCTION

Pacific Island countries (PICs) are among the world's most vulnerable nations facing the adverse impacts of global climate change. However, few possess the capacity to cope with climate change's impacts. Responding to these challenges, the United States Agency for International Development (USAID)/Pacific Islands launched its Global Climate Change (GCC) portfolio in 2011, after a long absence from the region. In September 2016, USAID/Philippines contracted Social Impact, Inc., to conduct a performance evaluation of selected ongoing and completed activities of the GCC portfolio.

## BACKGROUND

Since 2011, USAID has supported human and institutional capacity building efforts in 12 PICs at the national, regional, and local levels to adapt to the negative effects of climate change. In 2015, lessons learned were incorporated into a revised results framework for the Pacific Islands, broadening its development approach. The climate change component of this results framework covers Intermediate Result (IR) 1.1 *Resilience in Communities Strengthened* and has four sub-IRs:

- Sub-IR1.1.1: Coastal zone management improved;
- Sub-IR1.1.2: Water resource management improved;
- Sub-IR1.1.3: Disaster management strengthened; and
- Sub-IR1.1.4: Adaptation of agricultural systems increased.

This evaluation focused on four of eleven USAID/Pacific Islands GCC activities, comprising about 75 percent of the portfolio's overall investment as of the end of Fiscal Year 2016. Additionally, the evaluation focused on four of the twelve countries where GCC activities were implemented. The four activities covered by this evaluation are:

1. COASTAL COMMUNITY ADAPTATION PROJECT (C-CAP) implemented by Development Alternatives Incorporated, between October 2012 and May 2017, with an estimated total value of \$18.37 million. C-CAP provides small-scale infrastructure and supports disaster risk reduction (DRR) activities.
2. PACIFIC-AMERICAN CLIMATE FUND (PACAM) implemented by Partners for Global Research and Development between October 2013 and September 2018, with an estimated total value of \$24 million. PACAM provides grants to civil society organizations (CSOs) for projects that help communities adapt to the impacts of climate change.
3. VEGETATION AND LAND COVER MAPPING, AND IMPROVING FOOD SECURITY implemented by the Secretariat of the Pacific Community (SPC) between September 2011 and February 2016, with a total value of \$4 million. SPC strengthens food security among farming communities.
4. CLIMATE CHANGE ADAPTATION PROGRAM implemented by the Secretariat of the Pacific Regional Environment Program (SPREP) between September 2011 and February 2016, with a total value of \$2 million. SPREP improves the resilience of outer island communities by improving water supply and promoting healthy ecosystems.

## EVALUATION PURPOSE

The purpose of this evaluation is to evaluate the overall performance of USAID/Pacific Islands' GCC portfolio to (1) ascertain the extent to which the portfolio increased the awareness and understanding among key stakeholders of the United States (US) government's efforts to address the climate change priorities of PICs, (2) inform the GCC portfolio's current and future contributions to meeting the overall US government public diplomacy objectives in the region, and (3) design future GCC implementation



strategies and adjust current programming. The primary audience of the evaluation is USAID/Philippines. Other primary intended users include the implementing partners (IPs) of the four activities covered by this study, USAID/Pacific Islands, and other USAID missions with existing and planned climate change programming. Beyond this group, results of the evaluation will be shared with partner governments, CSOs, and other donors.

## EVALUATION QUESTIONS

This evaluation was designed to answer six questions:

1. How effective are/were the activities in strengthening the capacity of key stakeholders and institutions to adapt to the impacts of climate change? What are the significant and emerging outcomes—intended or unintended—from the activity outputs? (EFFECTIVENESS)
2. What are the good practices and innovations in GCC adaptation activities at the community and national levels? What strategies are in place to help make these good practices sustainable? (SUSTAINABILITY)
3. What is the extent to which the portfolio has changed behaviors of key stakeholders to address climate change priorities of PICs, due in part to increased understanding of relevant issues? (RELEVANCE)
4. To what extent do the four activities included in the evaluation contribute to the US government’s overall focus on public diplomacy in the region? (CO-BENEFITS)
5. What is USAID’s comparative advantage among donors, the private sector and civil society, and governments in climate change adaptation in the Pacific Islands? (EFFICIENCY)
6. How effective was the portfolio in addressing relevant gender issues? (GENDER EQUALITY)

## EVALUATION METHODOLOGY

The evaluation team, hereafter referred to as “the team,” relied on mixed-methods data collection and analysis to answer the six evaluation questions (EQs). The evaluation methodology consisted of the following components:

- **LITERATURE REVIEW:** The team reviewed all available documentation provided by USAID/Philippines as well as additional documents provided by IPs and downloaded from the Internet as secondary data for assessing activity performance and context for the overall portfolio.
- **EVALUATION WORK PLAN:** The team developed a work plan, including data collection and analysis methodology, interview tools, and a schedule, based on the objectives and requirements of the task order contract. This was reviewed by USAID, and the revised version was approved by USAID during the team’s in-brief meeting in Manila on November 7, 2016.
- **DATA COLLECTION:** From November 7 through December 13, 2016, the team collected primary data through interviews and direct observations at 26 activity sites on 10 Pacific islands in the Philippines, Fiji, Kiribati, Solomon Islands, and Papua New Guinea.
- **DATA ANALYSIS:** After completing data collection, the team coded interview notes for statistical analysis to inform and support written responses to the EQs and collaborative critical analysis between team members.

## USAID/PACIFIC ISLANDS GCC PORTFOLIO PERFORMANCE SUMMARY

This section summarizes the portfolio performance in terms of the three evaluation purposes: (1) overall performance, (2) US government public diplomacy objectives, and (3) design of next-generation GCC activities in the Pacific.

**OVERALL PERFORMANCE:** The USAID/Pacific GCC portfolio grew organically, coming to fruition in 2011 in part in response to the US’ “pivot to Asia” and as part of the its commitment to address global



climate change internationally—particularly in dealing with the increasingly urgent climate adaptation needs of PICs. However, because of USAID/Pacific’s special administrative status, the portfolio did not benefit from standard USAID strategic elements, such as a Country Development Cooperation Strategy or a performance management plan. Furthermore, most of the activities had close start dates, which left little time to conduct strategic planning and improve integration. The four activities individually had positive qualities. However, common tools and approaches, such as complementary site and partner selection, were not implemented across the activities. As such, the activities did not achieve programmatic synergies. Furthermore, individual community-level interventions were spread thinly across the region, and portfolio activities struggled with daunting logistical challenges in a geographically isolated region that is characterized by greatly varying disparities in income, culture, governance, and adaptive capacity.

These challenges notwithstanding, the portfolio achieved substantial positive results. By the end of C-CAP in March 2017, some 60,000 persons will be benefiting from climate adaptive infrastructure. PACAM is building the capacity of 24 CSOs that will be able to implement complex, donor-funded activities at the community level. Furthermore, the activity has demonstrated the importance of CSOs as IPs for climate change adaptation (CCA) in the Pacific. SPREP and SPC have implemented regional partnerships that show promise in improving the coordination and effectiveness of climate change funding across the region.

## FINDINGS AND CONCLUSIONS

### EVALUATION QUESTION I

*How effective are/were the activities in strengthening the capacity of key stakeholders and institutions to adapt to the impacts of climate change? What are the significant and emerging outcomes—intended or unintended—from the activity outputs? (EFFECTIVENESS)*

#### FINDINGS

- GCC activities contributed to PICs capacity to adapt to climate change across three major groups: communities and individuals, CSOs and non-governmental organization (NGOs), and other stakeholders—including regional organizations and national and subnational government institutions. Each GCC activity built capacity with different types of stakeholders.
- C-CAP’s major contribution to strengthened capacity was at the community level, through the provision of small-scale infrastructure. The activity provided DRR training, minimal infrastructure maintenance training, and CCA materials and workshops to national and subnational stakeholders. However, the respondents complained that training was inadequate, and the team did not find evidence of sustained capacity building through these components.
- PACAM built CSO capacity through the provision of technical support in financial and program management, leaving these organizations better prepared to implement climate change programs and apply for follow-on funding. PACAM grantees built the capacity of the communities in which they work by providing on-the-ground, long-term training and support.
- SPC’s capacity building activities were concentrated at the community and national/subnational government levels. In eight out of nine interviews with SPC community beneficiaries, respondents reported negative or mixed examples of capacity building. In addition, the team observed very limited uptake of SPC farming and animal husbandry techniques at SPC field sites. The team was not provided with sufficient information to determine results of SPC national/subnational training, and no key informant interview (KII) respondents could recall attending training. However, the Choiseul Integrated Climate Change Program (CHICCHAP) and the Kiribati Whole of Island (WOI) approach, a joint partnership implemented by SPC, SPREP, and the Deutsche Gesellschaft für Internationale Zusammenarbeit, have increased national and provincial capacity to manage CCA programs.
- SPREP focused on strengthening capacity by building national and provincial coordination, then

using these systems to pilot community-based initiatives. The team found positive examples of capacity building within the CHICCHAP and WOI approaches but mixed results on whether adaptive capacity was strengthened at the community level.

## CONCLUSIONS

- The diversity of the GCC portfolio ensures strengthened adaptive capacity across all actors and stakeholders. However, activities were not sufficiently integrated to achieve synergies and maximize capacity building across the portfolio.
- The presence of staff based at GCC activity field sites has a significant effect on the ability of communities to internalize and implement training and capacity building activities.
- Institutional capacity building is important in ensuring the sustainability of community-based climate adaptation. Local governments, including provincial, city, and town/village actors, currently have low financial and technical capacity and need additional support to sustain activities implemented with USAID funding.
- When implemented well, small-scale infrastructure that improves water supply has the potential to significantly improve adaptive capacity in PICs, where respondents cited water supply as one of the main climate impacts affecting their communities.

## EVALUATION QUESTION 2

*What are the good practices and innovations in GCC adaptation activities at the community and national levels? What strategies are in place to help make these good practices sustainable? (SUSTAINABILITY)*

## FINDINGS

The team saw significant evidence of good CCA practices associated with all four activities. Highlights include:

- C-CAP's small-scale, climate resilient infrastructure is a well-established good practice for helping communities deal with hazards from droughts, flooding, and wind/storms.
- PACAM, SPREP, and SPC employed several community-based good practices supporting improved food security, nutrition, income generation, and water supply. Most of these had a heavy capacity-building component.
- SPC and SPREP supported the WOI partnership approach to multi-stakeholder coordination of CCA activities initially in Choiseul, Solomon Islands, and later in Abaiang, Kiribati.

While the team identified several good practices, the perceived sustainability of these practices varied. In many cases, it was unlikely that activities would continue after the life of a GCC grant or contract because beneficiaries were not sufficiently organized and did not have skills or resources to continue implementing activities without additional support. In 77 percent of KIs and focus group discussions (FGDs), respondents thought that GCC activities were not likely or only somewhat likely to be sustained as implemented. Across all interviews, responses that interventions were “very likely” to be sustained were the highest for PACAM (37 percent), moderate for C-CAP (23 percent), and lowest for SPREP (11 percent) and SPC (0 percent).

## CONCLUSIONS

- At the national and provincial levels, partnerships, such as the WOI approach in Solomon Islands and Kiribati and their national coordinating bodies, demonstrated success, and have the potential to maximize the effectiveness of donor-funding for CCA in the Pacific Islands.
- The sustainability of many GCC practices has room for improvement. Due to deficiencies in the consultation process and insufficient continued support from implementers, communities felt

a lack of ownership over projects and did not have the capacity to ensure long-term impacts would be achieved.

### EVALUATION QUESTION 3

*What is the extent to which the portfolio has changed behaviors of key stakeholders to address climate change priorities of PICs, due in part to increased understanding of relevant issues? (RELEVANCE)*

#### FINDINGS

- Results suggest that GCC investments contributed moderately to behavior change and the adoption of climate adaptation practices. Across the portfolio, 23 of 50 (46 percent) KII and FGD respondents provided examples of positive behavior change at the community level.
- In addition to behavior change, the team asked FGD respondents whether their level of understanding of climate change increased because of GCC activities. Findings demonstrate moderate levels of learning at the community level, with 45.8 percent of FGDs reporting scores of four or five (with five as the highest).
- USAID's contracts and agreements for the four activities did not establish outcome targets for behavior change or requirements or expectations for baseline data collection and follow-up measurement.

#### CONCLUSIONS

- Sustainable climate-resilient behavior change for community-based activities requires time as well as ongoing consultation and capacity building. Behaviors promoted by PACAM, SPC, and SPREP are very difficult to achieve at scale, especially given the relatively short activity timeframe. Nevertheless, success with PACAM and one SPREP site demonstrates that gender-inclusive activities, sustained presence in communities, and more intensive capacity building can lead to positive behavior change outcomes.
- Additional USAID guidance to IPs on behavior change, including articulation of behavior change as a desired outcome of GCC activities and requirements for monitoring behavior change, may have improved GCC activities' results and performance in this area. While evidence indicates that IPs did not succeed in substantively building CCA capacity of communities, a review of programmatic documents (contractual agreements, work plans, etc.) makes it clear that the activities were not explicitly designed or mandated to carry out this work.

### EVALUATION QUESTION 4

*To what extent do the four activities included in the evaluation contribute to the US government's overall focus on public diplomacy in the region? (CO-BENEFITS)*

#### FINDINGS

- Supporting diplomatic ties with PICs as well as raising the profile of USAID and the US government at the community level—through branding and marking at project sites and during activities—were important goals of the GCC portfolio.
- US and PIC government respondents reported that the portfolio improved global climate negotiations, especially with the Alliance of Small Island States. At the community level, findings also demonstrated positive gains for US diplomacy objectives. FGD respondents demonstrated a positive opinion of USAID, ranking the agency at an average of 4.01 out of five and were impressed with strong branding at C-CAP sites.
- Findings also indicated some areas for improvement. Five of nine local-level government officials felt that they were not adequately consulted about GCC activities, and in only 66.7 percent of community-level FGDs did respondents recognize USAID as the donor of their specific

activities. In particular, weak branding at some PACAM sites and confusion about donor activities in CHICCHAP and WOI sites diluted the USAID brand.

## CONCLUSIONS

- The team concludes that the GCC portfolio contributed to improved diplomacy between the US and PICs. The portfolio also likely contributed to improved climate negotiations. Better local and national government consultation could advance the US government's good reputation and further improve diplomatic relations.
- In terms of raising the profile of the US government as a climate donor in the region, the portfolio had mixed results. Community-level activities, especially small infrastructure investments like C-CAP, lend themselves to ribbon-cuttings that garner media coverage and were the biggest opportunity for building the USAID and US government brand in the portfolio. However, weaker branding at PACAM and SPC sites diminished the potential for this. Furthermore, while the CHICCHAP and Kiribati National Expert Group approaches have an important potential for strategic high-level relationship management, they dilute the US profile in the media and at the local level.

## EVALUATION QUESTION 5

*What is USAID's comparative advantage among donors, the private sector and civil society, and governments in climate change adaptation in the Pacific Islands? (EFFICIENCY)*

### FINDINGS

- USAID is one of very few donors focused on community-based climate adaptation. In six KIIs, respondents pointed out that USAID is filling a gap in the donor landscape.
- USAID is "actually getting the work done." In nine out of 12 KIIs where data was collected on USAID's comparative advantage, respondents commented on the efficiency and effectiveness of USAID program implementation compared to other donors.

## CONCLUSIONS

- USAID has two comparative advantages:
  - **COMMUNITY LEVEL CLIMATE ADAPTATION FUNDING:** The US is one of the only donors working in the community-based climate adaptation space in the Pacific. It is also the only funder with a broad focus on CCA, implementing activities that cut across many sectors. If USAID declines to continue funding community work, it would leave a gap at a level where immediate action is needed.
  - **ENGAGEMENT AND HIGH CAPACITY OF USAID STAFF:** This comparative advantage highlights the high praise reported from beneficiaries, grantees, local and national government, and regional agencies. Success with implementing GCC portfolio activities contributed to improved partnerships with Pacific climate change actors and increased the profile of USAID in the region. It is likely that these achievements will contribute to the US' diplomacy goals in the region and enable good working relationships with regional government counterparts.

## EVALUATION QUESTION 6

*How effective was the portfolio in addressing relevant gender issues? (GENDER EQUALITY)*

### FINDINGS

- C-CAP and PACAM had standard requirements for gender inclusion in their contracts, while SPC

and SPREP agreements and project plans did not include requirements or specific activities for gender inclusion.

- At the institutional level, C-CAP and PACAM complied with their contractual requirements. C-CAP held gender training for its staff and collected gender-disaggregated monitoring data. PACAM worked closely with grantees to ensure adequate gender action plans and reported on progress on gender objectives in quarterly reports, adjusting programming when needed.
- At the community and implementation level, however, while there were a few positive examples of women's inclusion in project activities and decision-making, the team found insufficient gender integration in most of the GCC investment activities. For example, in only 10 of 32 FGDs were respondents able to recall positive examples of gender inclusion. Only one of 17 C-CAP community interviews reported a positive example of women's inclusion. Informants reported that none of the SPC or SPREP activities in Abaiang implemented measures to ensure gender balance or women's attendance at meetings.

## CONCLUSIONS

- Gender was not integrated consistently across the four GCC investments. Without explicit requirements and funding for gender components and the inclusion of gender-specific results and outcomes in an activity's Statement of Work, the likelihood of achieving high quality gender-responsive programming was diminished.
- Better incorporation of gender at the consultation and implementation phases might have increased buy-in and ownership, improving long-term sustainability of USAID activities. It could have also improved activity design by ensuring that those who were most likely to benefit from USAID activities also had input into how those activities were implemented.
- Positive examples of gender incorporation prove the possibility of gender-sensitive implementation of climate change activities in PICs, despite IPs' assertions to the contrary.

## PORTFOLIO RECOMMENDATIONS

### CAPACITY BUILDING

- USAID should ensure that all future activities have a sufficient timeline and budget to enable sustained capacity building. USAID should ensure that individual and organizational capacity baseline and follow-up monitoring data are collected to adequately measure impact.
- IPs should conduct meaningful consultation and ongoing capacity building against predefined benchmarks and targets.
- USAID should ensure that the GCC portfolio activities target complementary levels (national, subnational, and NGO and CSO) of capacity building.
- IPs should position staff at community, subnational, and national levels, as appropriate.

### SUSTAINABILITY

- USAID should ensure that all future community-based activities with training or behavior change components have a sufficient timeline and budget to engage in meaningful follow-up activities.
- If USAID continues supporting SPREP and SPC in community-based CCA, it should draw on the comparative advantages of these organizations in developing good practices and conducting trainings in partnership with locally based CSOs and NGOs that have long-term relationships with communities and community-based implementation experience.
- IPs should ensure that they engage field-based staff or frequently send staff to field sites in all community-based climate adaptation activities.

## BEHAVIOR CHANGE

- If USAID desires specific behavior change outcomes for its activities, or even the measurement of an activity's impact on behavior change, then it should clearly state the expectation or requirements in its agreements and follow-up with IPs.
- As mentioned in EQ 2 above, capacity building takes time, and, as behavior change is a direct result of effective capacity building, achieving it is a necessarily time consuming process. USAID should plan for ensuring long-term interventions directly through its own resources or ensure that interventions continue through alternative sources of funding (e.g., enabling CSOs and other implementers to successfully apply for grants or working with other donors to continue activities).

## DIPLOMATIC ENGAGEMENT

- USAID and the Department of State should seek opportunities to create positive media coverage, such as that from launch ceremonies from C-CAP small-scale infrastructure.
- USAID should encourage and facilitate PACAM grantee compliance with their branding and marking plans by providing USAID logo stickers and other materials.
- USAID should use regional partnerships as a vehicle for building high-level strategic relationships with regional organizations, like Council of Regional Organizations in the Pacific agencies and multilateral donors.

## USAID COMPARATIVE ADVANTAGE

- USAID should continue to fund CSO-implemented community-based climate adaptation activities in the Pacific region and should continue its work in building the capacity of NGOs and CSOs. As part of its ongoing program, USAID should proactively facilitate NGOs and CSOs to access other donor funding and link them with subnational government agencies.
- USAID should invest in building subnational capacity in sync with the national capacity and readiness activities that are already underway through other GCC activities, including the Institutional Strengthening in Pacific Island Countries to Adapt to Climate Change (ISACC) agreement and Climate Ready, to ensure greater sustainability of community-based work.
- USAID should continue coordination with other donors and implementers in the region to ensure that national and regional level investments are complementary and collaborative, and to avoid duplication of efforts.

## GENDER INCLUSION

- USAID should ensure that all future USAID-funded activities mainstream gender equity. In particular, gender should be mainstreamed in activity design, including explicit participation targets and gender-specific outcomes in monitoring and evaluation requirements. Furthermore, all future activities should be designed and staffed with gender specialists who have an understanding of the local context supporting design and implementation.
- All implementers should ensure that they conduct women-only meetings during the consultation phase of any new projects and that women are fully and demonstrably included in decision-making processes. Gender integration should be conducted in a way that is culturally appropriate within the Pacific context.
- USAID should promote, as a best practice, a gender component for all new community-based climate change projects in the South Pacific. Specifically, every new USAID-funded activity should be designed with components led by women, in which women are the main participants, where feasible.

## NEXT-GENERATION ACTIVITIES

The team recommends that USAID’s ongoing and next-generation activities address the following:

- That USAID’s current portfolio activities, including ISACC and Climate Ready, include a focus on capacity building for subnational (local and provincial) institutions and government.
- That USAID continue the work of PACAM, either as a renewal or a next-generation activity, to ensure continued community-based support and to maximize the important investment made by USAID in building a strong network of high-capacity implementers in the Pacific.
- That USAID make funds available for longer periods of performance—five years if feasible and appropriate. This would help IPs and local CSOs effectively build capacity to replace USAID funding over the long term and increase sustainability of community-based activities.



## INTRODUCTION

With a growing list of challenges—including rising sea levels and severe weather patterns—Pacific Island nations are among the world’s most vulnerable countries facing the adverse impacts of global climate change. The Pacific Islands are geographically isolated from the world, and there are marked disparities in socioeconomic status, population, culture, and governance systems across countries. The vulnerabilities that make Pacific islands stand out on the world map are also varied, as is the adaptive capacity of each nation in the region. These impacts have led to revenue losses across sectors, such as agriculture, water resources, forestry, tourism, and other industry-related sectors—threatening livelihoods within the region.<sup>1</sup> However, few of these countries possess the capacity to overcome the challenges that global climate change poses. Under its Development Objective Intermediate Result (IR) 1.1 “Resilience in Communities Strengthened,” United States Agency for International Development (USAID)/Pacific Islands works to build the capacity of civil society, national governments, and regional institutions to improve management of natural resources and mitigate the negative effects of climate change.

In 2011, USAID/Pacific Islands launched its Global Climate Change (GCC) portfolio to address the Pacific Island countries’ (PICs’) growing need for climate change mitigation, clean energy, and adaptation, after a long absence from the Pacific region. The GCC portfolio consists of 11 mechanisms spanning across various sectors affected by climate change (Table 12 in Annex I).

In September 2016, USAID/Philippines contracted Social Impact, Inc. (SI), to conduct an overall performance evaluation of the four largest GCC activities in four PICs: Papua New Guinea (PNG), Fiji, Kiribati, and Solomon Islands. The purpose of this evaluation was to document the extent to which USAID/Pacific Islands’ interventions increased stakeholders’ ability to address climate change issues in PICs. The 10-member evaluation team—hereafter referred to as “the team”—consisted of a team leader, an evaluation specialist, four local evaluation specialists, a translator, and three logisticians. From November to December 2016, the team traveled to each country to interview GCC stakeholders and observe ongoing activities. In addition, the team reviewed reports, documents, and articles on climate change-related topics as well as documents specific to GCC activities. The team convened daily to review notes and materials prior to preparing the written evaluation. This report reflects the collective views of the entire team based on the full range of interviews and available documentation.

Throughout the evaluation, the team followed USAID’s Evaluation Policy and implemented SI’s proprietary Evaluation Quality, Use, and Impact (EQUI)<sup>TM</sup> quality assurance (QA) framework to achieve high quality, influential evaluations that enhance development effectiveness. The team members and SI headquarters staff applied EQUI<sup>TM</sup> checkpoints to monitor and improve evaluation activities and outputs over the course of the evaluation process.

This performance evaluation report sets out the development problem and USAID’s response; discusses the methodology used by the team, along with the methodological issues and challenges that emerged in the course of the evaluation; summarizes the evaluation purpose and questions as set out in the evaluation statement of work (SOW); presents the main findings and conclusions in response to each evaluation question (EQ) in the SOW; and ends with a set of program recommendations. There are annexes with the full SOW, data collection matrices and instruments used by the team, sources of information, and conflict of interest forms for the team members.

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<sup>1</sup> "Climate Change Impacts - Pacific Islands." The Global Convention - United Nations Convention to Combat Desertification, n.d. Web. 20 Jan. 2017. <[www.ifad.org](http://www.ifad.org)>.

## BACKGROUND

### THE DEVELOPMENT PROBLEM

The Pacific Islands contain nine million people in 22 countries and territories.<sup>2</sup> Some areas within the region are only 15 feet above sea level, and an estimated 50 percent of the population lives within one mile of the coastline—making the Pacific Island nations among the most vulnerable in the world to the adverse impacts of climate change.<sup>3</sup> More specifically, the region's economy depends on tourism, fisheries, forestry, and agriculture, all of which are highly exposed and sensitive to sea level rise, changing ocean temperatures and acidity, increasing air temperatures, and shifting rainfall and storm patterns.<sup>4</sup> With fragile economies and limited human capital, PIC nations do not have the capacity to independently mitigate against the effects of climate change. Climate change also has differential impacts on women, who act as primary caregivers, household managers, and often as farmers and gardeners, in a region that has historically struggled to achieve gender equality.

### USAID'S RESPONSE

In 2011, USAID/Pacific Islands began implementation of its GCC portfolio, which includes 11 ongoing and completed climate change activities. Through the GCC portfolio, USAID has supported human and institutional capacity building efforts in 12 PICs at the national, regional, and local levels to promote clean energy and mitigate the negative effects of climate change. In implementing USAID/Pacific Islands' GCC portfolio activities, USAID has confronted the challenges posed by working in PICs, such as diverse sociocultural structures, language and literacy constraints, limited financial resources, security and logistical concerns, and human and institutional capacity constraints. In 2015, these lessons learned were incorporated into a revised Results Framework for the Pacific Islands, broadening its development approach to better support the creation of an enabling environment. A draft framework can be found in Figure I below.

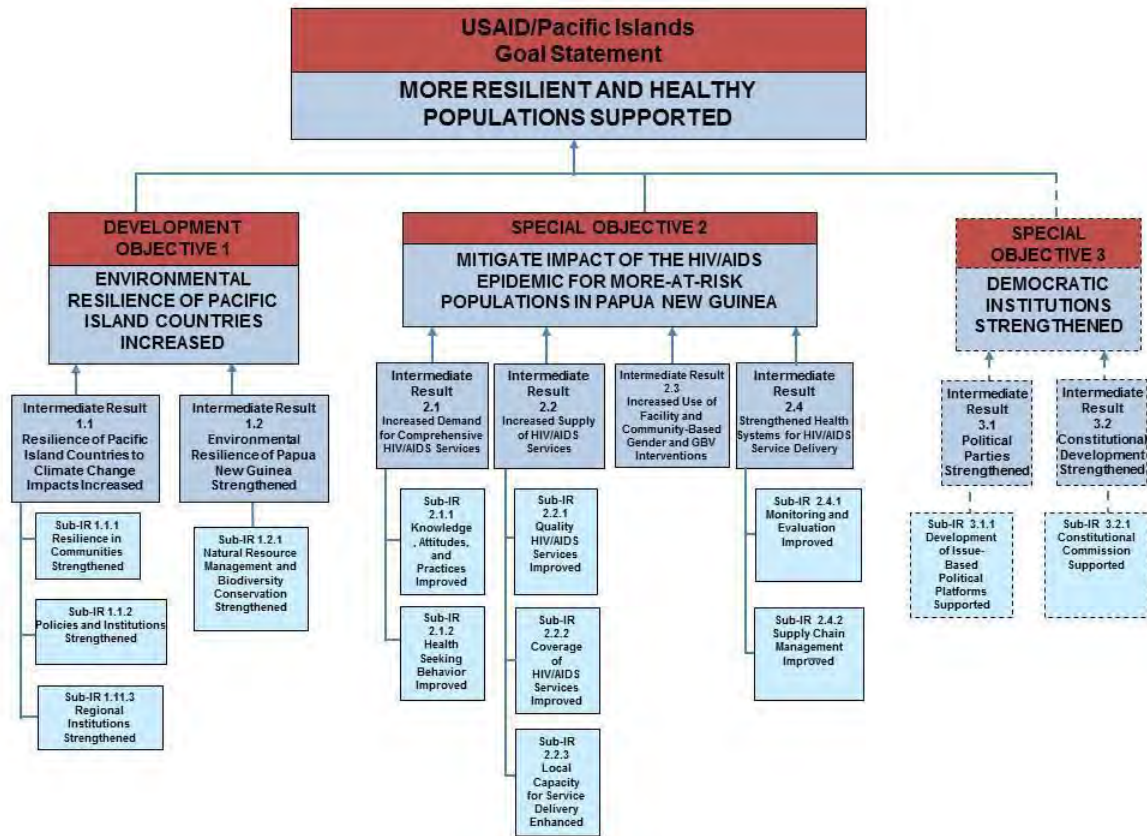
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<sup>2</sup> Ferris, Elizabeth. "Climate Change and the Pacific." *The Diplomat*. The Diplomat, 01 July 2015. Web. 21 Jan. 2017. <<http://thediplomat.com/2015/06/climate-change-and-the-pacific/>>.

<sup>3</sup> "Environment and Global Climate Change." *Environment and Global Climate Change*. USAID/Pacific Islands, 13 Jan. 2017. Web. 21 Jan. 2017. <<https://www.usaid.gov/pacific-islands/environment-and-global-climate-change>>.

<sup>4</sup> Ferris, Elizabeth. "Climate Change and the Pacific." *The Diplomat*. The Diplomat, 01 July 2015. Web. 21 Jan. 2017. <<http://thediplomat.com/2015/06/climate-change-and-the-pacific/>>.

Figure I: Draft USAID/Pacific Islands Results Framework



The mechanisms under the GCC portfolio are designed to meet IR 1.1: “Resilience of Pacific Island Countries to Climate Change Impacts Increased” of USAID/Pacific Islands’ Results Framework (Table I). In particular, GCC activities are meant to increase the “number of communities with improved capacity to address climate change issues as a result of United States government assistance” and the “number of institutions with improved capacity to address climate change issues as a result of United States government assistance.”

Table I: USAID/Pacific Islands Results Framework IRs

IR 1.1 RESILIENCE OF PACIFIC ISLAND COUNTRIES TO CLIMATE CHANGE IMPACTS INCREASED
Sub-IR 1.1.1 Resilience in Communities Strengthened
Sub-IR 1.1.2 Policies and Institutions Strengthened
Sub-IR 1.1.3 Regional Institutions Strengthened

Although the GCC portfolio is comprised of 11 activities, the team evaluated only the following activities<sup>5</sup>, which make up about 75 percent of the portfolio’s overall investment:

<sup>5</sup>SI was originally contracted to evaluate five GCC activities. Upon consultation with USAID, the Institutional Strengthening in Pacific Island Countries to Adapt to Climate Change (ISACC) activity was removed from the evaluation before field activities began.

1. COASTAL COMMUNITY ADAPTATION PROJECT (C-CAP) implemented by Development Alternatives Incorporated, between October 2012 and May 2017, with an estimated total value of \$18.37 million. C-CAP provides small-scale infrastructure and supports disaster risk reduction (DRR) activities.
2. PACIFIC-AMERICAN CLIMATE FUND (PACAM) implemented by Partners for Global Research and Development between October 2013 and September 2018, with an estimated total value of \$24 million. PACAM provides grants to civil society organizations (CSOs) for projects that help communities adapt to the impacts of climate change.
3. VEGETATION AND LAND COVER MAPPING, AND IMPROVING FOOD SECURITY implemented by the Secretariat of the Pacific Community (SPC) between September 2011 and February 2016, with a total value of \$4 million. SPC strengthens food security among farming communities.
4. CLIMATE CHANGE ADAPTATION PROGRAM implemented by the Secretariat of the Pacific Regional Environment Program (SPREP) between September 2011 and February 2016, with a total value of \$2 million. SPREP improves the resilience of outer island communities by improving water supply and promoting healthy ecosystems.

Furthermore, the team evaluated the implementation of the four activities in PNG, Fiji, Kiribati, and Solomon Islands, although they were active in 12 countries.

# EVALUATION OBJECTIVES

## EVALUATION PURPOSE

The purpose of this evaluation is to evaluate the overall performance of USAID/Pacific Islands' community-based GCC portfolio. Though the portfolio includes 11 community-based climate change activities, this performance evaluation covers only the four largest activities supported in the Pacific Islands region by USAID/Philippines: SPC, SPREP, C-CAP and PACAM.

USAID will use the evaluation findings to

1. ascertain the extent to which the portfolio increased the awareness and understanding of key stakeholders of United States (US) government efforts to address climate change issues and priorities of PICs,
2. inform the GCC portfolio's current and future contributions to meeting the overall US government public diplomacy objectives in the region, and
3. design future GCC implementation strategies and adjust current programming.

The primary audience of the evaluation is USAID/Philippines. Other primary intended users include implementing partners (IPs) of all four activities covered by this study, USAID/Pacific Islands, and other USAID missions with existing and planned climate change programming. Beyond this group, results of the evaluation will be shared with partner governments, CSOs and non-governmental organizations (NGOs) as well as other donors.

## EVALUATION QUESTIONS

This evaluation focuses on six core questions:

1. How effective are/were the activities in strengthening the capacity of key stakeholders and institutions to adapt to the impacts of climate change? What are the significant and emerging outcomes—intended or unintended—from the activity outputs? (EFFECTIVENESS)
2. What are the good practices and innovations in GCC adaptation activities at the community and national levels? What strategies are in place to help make these good practices sustainable? (SUSTAINABILITY)
3. What is the extent to which the portfolio has changed behaviors of key stakeholders to address climate change priorities of PICs, due in part to increased understanding of relevant issues? (RELEVANCE)
4. To what extent do the four activities included in the evaluation contribute to the US government's overall focus on public diplomacy in the region? (CO-BENEFITS)
5. What is USAID's comparative advantage among donors, the private sector and civil society, and governments in climate change adaptation in the Pacific Islands? (EFFICIENCY)
6. How effective was the portfolio in addressing relevant gender issues? (GENDER EQUALITY)

## EVALUATION METHODOLOGY

The team relied on a mixed methods approach to data collection and analysis to answer the six EQs. The evaluation methodology was designed to be participatory, flexible, and gender-conscious. The process consisted of the following components:

- **LITERATURE REVIEW:** The team reviewed all available documentation provided by USAID/Philippines on the four GCC activities to develop an understanding of the local context and implementation. The literature review was also used to develop a preliminary list of key informants and identify crucial issues to be discussed during data collection. The documents provided to SI include executed contracts, statements of work, quarterly and annual reports, monitoring and evaluation reports, and communications materials, among others.
- **DATA COLLECTION WORK PLAN AND TOOL DEVELOPMENT:** The team used information gathered from the literature review to create a data collection plan and develop data collection instruments, including key informant interview (KII), focus group discussion (FGD) guides, and a mini-survey to understand perceptions of GCC contributions to climate adaptation. In developing tools, the team focused on challenges and important themes derived from GCC documentation and ensured that the data collection would inform findings for the EQs. The team also consulted with a Gender Specialist during this phase to ensure that data collection was designed to be inclusive and gender sensitive.
- **SITE SELECTION:** USAID/Philippines provided SI with a preliminary list of 45 potential field sites for data collection. Based on logistical and temporal constraints, the team narrowed the list to 30 sites. SI held a call with USAID to discuss the prioritized list and, based on feedback about which sites would provide data on the greatest breadth of activities, narrowed it further to 25 sites. This final list was submitted with an understanding that the team would strive to visit 20–25 field sites on 8–10 islands in Fiji, Kiribati, Solomon Islands, and PNG. The final count of field sites includes 22 communities across 10 islands is found in Annex IV.
- **DATA COLLECTION:** The team met with the USAID/Philippines office prior to departing for the Pacific Islands. The USAID team confirmed and expanded SI's preliminary list of key informants. In addition, contact information was provided for all IPs, who notified communities of the team's visits. To ensure broad and adequate coverage of the various stakeholder groups, beneficiaries, and IPs, the team implemented a snowball sampling technique by using recommendations from interviewees to increase and expand the list of key informants interviewed during data collection. Data collection occurred over a five-week period across the Philippines, Fiji, Kiribati, Solomon Islands, and PNG (Table 2). The team relied on the following data collection tools:
  - *Internal consultations* with key USAID and US Embassy staff;
  - *KIIs* with stakeholders including IPs, national and local government officials, community leaders, beneficiaries, and other stakeholders (including other donors);
  - *FGDs* in beneficiary communities (gender disaggregated whenever possible); and
  - *Direct observations* of physical infrastructure and activities.



**Table 2: Summary of data collection statistics**

DATA COLLECTION METHOD	TOTAL	MALE	FEMALE
USAID/US Government Consultations	14	8	6
KIIs	61	36	25
FGDs (35)	436	158	278
Direct Observation	24	NA	NA

In addition, the team worked to ensure that data collection adhered to the following best practices:

- **PARTICIPATORY:** The team relied heavily on participatory, open data collection and made use of qualitative data collection techniques that encourage broad participation. In particular, the team followed standard confidentiality protocols, ensuring the privacy of respondents and stressing that participation was voluntary. The team also used participatory, unstructured discussion during direct observations.
- **FLEXIBLE:** The approach to applying these methodologies was flexible, and the team recognized that other forms and sources of data collection might be necessary while in the field. The team adapted data collection plans as necessary to maximize coverage across projects and field sites.
- **GENDER-AND VULNERABLE PEOPLE-ORIENTED:** The team was comprised of male and female evaluators and conducted gender-disaggregated interviews wherever feasible to encourage women to participate freely and openly. Qualitative interview guides for KIIs and FGDs included questions designed to elicit information on perceptions of women and other vulnerable groups with respect to key behavior changes sought by the portfolio activities. Women comprised 45 percent of KII and FGD respondents.
- **DATA ANALYSIS:** After completing data collection, the team utilized a three-step process to analyze the information collected in the field:
- **PRELIMINARY FINDINGS AND ANALYSIS FRAMEWORK:** Immediately after completing fieldwork, the team conducted a preliminary findings analysis to identify common themes and notable observations across field sites and interviews, coded and analyzed Likert scale data collected in FGDs and KIIs, and developed an analysis framework.
- **CODE AND ANALYZE QUALITATIVE DATA:** The analysis framework was used to code metadata and qualitative data to quantify the extent to which important themes or observations could be generalized across projects, locations, types of respondents, and other important categories. Data was also disaggregated by gender and analyzed to determine whether any outcomes or themes were relevant specifically to women or men.
- **TRIANGULATE AND VERIFY DATA:** Themes identified during the data analysis phase were triangulated against project documentation, field observations, and publicly available data to verify and validate findings. Findings from these data informed conclusions about whether and how GCC implementation has been effective and were used to develop recommendations for future climate change programming in the region.

## QUALITY ASSURANCE

SI applied its EQUI™ approach to QA for all stages of contract implementation. SI also collaborated closely with USAID and its IPs to promote utilization. SI provided the team leader and team members designated trainings and resources that cover problem-solving tactics, project management tools, and tips for effective communication. Lastly, to ensure technical quality, SI employed five rigorous QA checkpoints while integrating gender and social analysis at each stage.



## BIASES AND OTHER LIMITATIONS

The team faced the following limitations throughout the evaluation:

- **RECALL BIAS:** The four GCC activities were in different phases of implementation. SPC and SPREP projects closed out in March 2016, while C-CAP was in its final stages and PACAM was ongoing. Respondents for older activities could be less likely to remember how their communities were impacted or could confound GCC impacts with those of other projects. Furthermore, older projects have the potential to show longer-term impacts, whereas similar effects in ongoing projects could not be observed.
- **RESPONSE BIAS:** During data collection, there was a potential for informants to form their responses based on a personal motivation rather than providing the most accurate data. For example, informants may give the team positive remarks about the project because they would like to receive more assistance in the future. In some cases, informants may have felt that a negative evaluation could mean the end of project opportunities or responded about an activity negatively out of political motivations.
- **SELECTION BIAS:** The breadth and complexity of the GCC portfolio made it impossible to visit every field site for each of the four activities. It is possible that the selection of field sites was not representative of the entire portfolio. For example:
  - USAID provided the team with a prioritized list of potential field sites selected from four of the 12 GCC target countries. According to USAID, these four countries provided the greatest range of activities implemented by the four USAID selected IPs while still being feasible to accomplish with allotted evaluation resources. It is possible that the selection of these sites was biased in some way that is unknown to the team. A different set of countries and activities may have resulted in different findings and conclusions.
  - The team only visited field sites that were logistically feasible within the evaluation timeline. More remote, harder to reach sites were not included in field visits, and it is possible that GCC implementation in these sites was categorically different from those that were more accessible.
  - Some respondents were not available during the times that the team collected data. For example, respondents employed full-time were not likely to attend FGDs conducted during a weekday, and many government officials were attending global climate negotiations in Morocco during data collection. It is possible that these missing respondents created a biased sample because of differences in respondents who were available or unavailable.
- **COMPLEXITY OF GCC ACTIVITIES:** The GCC portfolio spans across 11 activities and 12 countries, with various implementers and differing objectives. While this sample was significantly reduced for this evaluation, the four activities selected varied significantly in design, implementation, and level of completion, making it difficult to generalize findings across the portfolio. The team prioritized breadth over depth during data collection in an attempt to obtain a representative sample. As a result, the evaluation may not provide the same level of detailed substantive data per activity that would be typical in less complex evaluations.
- **TRANSLATION CHALLENGES:** The team leader and evaluation specialist are not fluent in any Pacific Islands local languages. Although most informants spoke English, where this was not the case, the team relied on local team members to do simultaneous translation during FGDs and other meetings. It is possible that nuance was lost because of this process. For example, specific adjectives or taxonomy shaping what a respondent said or cultural attitudes may have been lost in translation.

SI employed various methods to minimize bias and overcome the above limitations. The most effective approach to combating bias is triangulation, described above under the final step of data analysis. By

combining information found in documents or interviews from multiple sources, biased data is less likely to skew analysis. Furthermore, the team interviewed key informants from organizations that do not directly benefit from the evaluated program and asked for specific examples of knowledge to reduce potential biases. The team also selected a broad range of field sites, representing all four activities across the selected countries to minimize sampling bias and obtain the most representative sample possible. Finally, the FGD and KII guides, found in Annex II, emphasized an inclusive and gender-disaggregated participatory approach to encourage respondents to speak openly and honestly about their experience with, and perceptions of, GCC activities.

## FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

The USAID/Pacific Islands GCC portfolio differs significantly from standard USAID programming in the era of Country Development Cooperation Strategy requirements. The portfolio originated in the US Department of State (DOS). As a non-presence program, USAID guidance stipulated that Pacific programming did not require a formal Regional Development Cooperation Strategy. The team was provided with a results framework, which did not include targets for portfolio-level outcomes against which the team could assess progress. Therefore, the team relied on a “bottom-up” approach, using activity-level documentation to interpret the nature and goals of the portfolio. Additionally, the four GCC activities varied significantly in their design and outcomes.

Therefore, this report strikes a balance between the activity- and portfolio-level findings. Activities served as the primary units of analysis during fieldwork. Accordingly, the team used activity-level findings and conclusions to inform portfolio-level conclusions and recommendations. The balance of these two levels varies in relation to each EQ, but an effort is made to provide empirical and actionable information on both.

### EVALUATION QUESTION I

*How effective are/were the activities in strengthening the capacity of key stakeholders and institutions to adapt to the impacts of climate change? What are the significant and emerging outcomes—intended or unintended—from the activity outputs? (EFFECTIVENESS)*

### FINDINGS

GCC documentation demonstrates that strengthening the capacity of key stakeholders and institutions is a pillar of the portfolio. The 2012 Draft USAID/Pacific Islands Results Framework for the Regional Development Cooperation Strategy’s IR 1.1: “Resilience of Communities Strengthened” contains several key indicators focused on capacity building (Table 1). In particular, GCC activities were meant to work toward increasing the “number of communities with improved capacity to address climate change issues as a result of US government assistance” and the “number of institutions with improved capacity to address climate change issues as a result of US government assistance.”

The team reviewed each GCC activity’s contract and extracted requirements focused on increasing capacity. A summary of these is found in Annex III. It is clear from the documentation that each activity targeted different stakeholders for capacity building. C-CAP’s capacity building activities were more focused at the community level, whereas PACAM grants were geared toward civil society and SPC and SPREP used a combination of national- and community-level activities. Table 3 provides an overview of the main capacity building interventions that each GCC activity conducted with various types of stakeholders. The following section provides more details about the successes and challenges of implementation for each activity.

**Table 3: Level of capacity building per GCC activity**

	COMMUNITIES AND INDIVIDUALS	CSOS AND NGOS	OTHER STAKEHOLDERS (REGIONAL, NATIONAL, AND SUBNATIONAL INSTITUTIONS)
C-CAP	<ul style="list-style-type: none"> <li>Build small-scale infrastructure to improve community capacity to adapt to climate change.</li> <li>Provide DRR training to build capacity for disaster prevention.</li> </ul>		<ul style="list-style-type: none"> <li>Conduct national-level consultations on capacity building needs in five countries: PNG, Fiji, Samoa, Tuvalu, and Kiribati.</li> <li>Develop an institutional capacity and policy strengthening report and work plan for national government engagement and capacity building.</li> </ul>
PACAM	<ul style="list-style-type: none"> <li>Grantees conducted capacity building in varying degrees (although not stated in PACAM's SOW).</li> </ul>	<ul style="list-style-type: none"> <li>Assisting grantees to strengthen their organization's systems in areas including financial management and administration, project management, procurement, human resources, communications and outreach, monitoring and evaluation, and reporting.</li> </ul>	
SPC	<ul style="list-style-type: none"> <li>On-farm training and pilot demonstration activities in selected communities.</li> <li>Engagement of farming communities in developing climate-smart food production and agricultural ecosystems.</li> </ul>		<ul style="list-style-type: none"> <li>Geographic Information Systems training in land-use, forestry, and soil mapping techniques as a tool to guide decision-making (no evidence of these activities is available in SPC documentation or from KIIs).</li> <li>Engagement of national actors in developing climate-smart food production and agricultural ecosystems.</li> </ul>
SPREP	<ul style="list-style-type: none"> <li>Community training on vulnerability assessment, DRR, and adaptation and risk reduction strategies.</li> <li>Demonstrating underground water well adaptation.</li> <li>Ecosystem-based adaptation activities.</li> </ul>		<ul style="list-style-type: none"> <li>Training on vulnerability and adaptation assessment.</li> <li>Training on mainstreaming climate change into ongoing sectoral planning and management.</li> <li>Training on climate change communication.</li> <li>Train-the-trainers approach for water quality management.</li> <li>Implement the Whole of Island and Choiseul Integrated Climate Change Program approaches.</li> </ul>

### C-CAP

#### *Community-based Capacity-Building: Small-Scale Infrastructure*

C-CAP's main approach to strengthening adaptation capacity was at the community level through the provision of small-scale infrastructure. By the end of Fiscal Year (FY) 2016, C-CAP had installed 49 small-scale, climate resilient community infrastructure projects in nine countries and planned to complete 68

installations by March 2017.<sup>6</sup> Details of the locations, types of infrastructure, and dates of completion for C-CAP sites is found in Annex V.

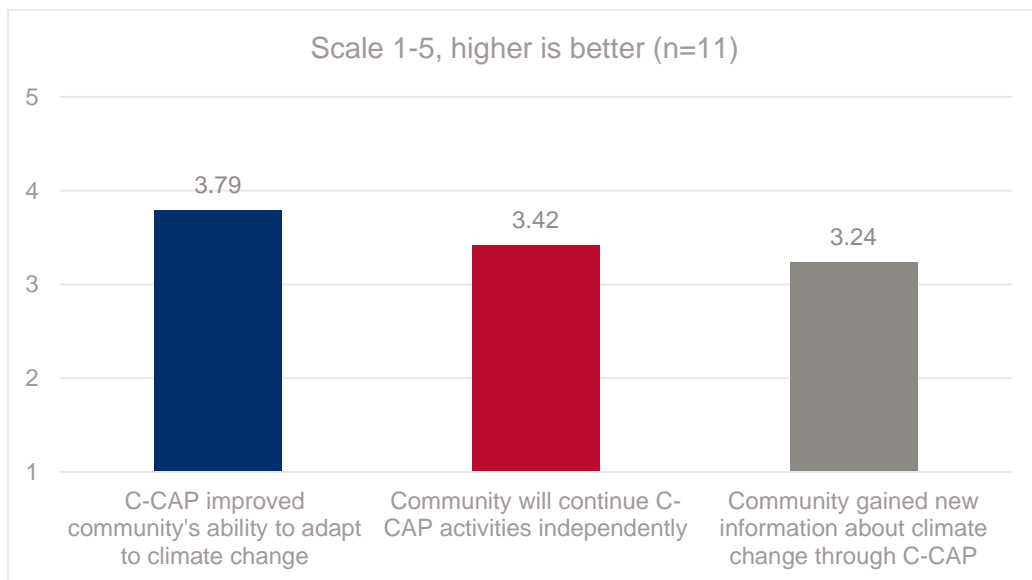
The team conducted direct observation of C-CAP infrastructure in 11 field sites in Fiji, Solomon Islands, Kiribati, and PNG. A detailed breakdown of locations and types of sites appears in Table 4 below.

**Table 4: C-CAP sites visited by evaluation team**

COUNTRY	NUMBER OF SITES VISITED	TYPE OF INFRASTRUCTURE	STATUS
Fiji	2	Tide flex gates	Fully functional, well maintained
Kiribati	1	Clinic	Fully operational but not fully furnished
Solomon Islands	3	Rainwater harvesting tanks	Fully functional, not maintained
PNG	5	Rainwater harvesting tanks	Fully functional, two maintained and three not maintained

Site observations confirm that most C-CAP structures were designed and built to international standards. All but two sites (discussed below) were functioning as designed at the time of the visits. Floodgates observed in Fiji were keeping high tides and storm surges from entering communities. Rainwater harvesting tanks (RWHTs) in Solomon Islands, PNG, and Kiribati were fully functional and providing a relatively clean supply of water; communities at these sites were harvesting rainwater to the extent that there had been adequate precipitation. A clinic built in Kiribati that acts as a storm shelter and serves to address health issues stemming from climate impacts was staffed with a nurse and was open for business. When FGD respondents were asked to rank how well C-CAP helped their community improve its ability to adapt to climate change, the average response was a 3.79/5, indicating that C-CAP infrastructures have indeed increased adaptive capacity (Figure 2).

**Figure 2: FGD responses – C-CAP**



<sup>6</sup> This compares to a target of 90 communities (76 percent) at contract inception but is 100 percent of the modified target (USAID, C-CAP Mod 4 Statement of Work, undated).

However, two sites with RWHTs in PNG visited by the team, subcontractor error resulted in the need to rebuild some structures. C-CAP required the subcontractor to conduct the necessary repairs, but at the time of the site visit, these were still not completed to the original engineering plans. Furthermore, communities with RWHTs reported that while still functional, their tanks run dry anywhere between three days to two weeks after a heavy rain, which falls well short of meeting their water supply needs. As drought was reported to be a major climate impact at GCC sites in all four countries, RWHTs alone will not provide communities with an adequate water supply. While C-CAP improved adaptive capacity at its RWHT field sites by increasing overall water supply, all eight communities reported that they will require significant additional investments to meet their basic needs for clean water.

### *DRR Training*

C-CAP monitoring reports confirm that DRR planning as well as community training and simulation exercises were completed as planned. C-CAP provided the team with a comprehensive set of DRR planning documents for all field sites visited, and the team obtained hard copies of them at one site in Fiji and one in PNG. Generally, there was little uptake of this training in visited communities. In the two field sites in Fiji, male respondents reported that disaster committees were organized and functioning and that simulation exercises were conducted. However, female respondents reported that there were no simulation exercises conducted and, that during a recent storm, one community did not apply the disaster management procedures. It is unclear why this discrepancy was reported. Furthermore, there was little evidence that the DRR plans were adopted by the communities visited in PNG, Kiribati, or Solomon Islands. For example,

- No FGD informants in Solomon Islands or PNG could cite examples of DRR adoption, though FGD participants recalled attending training in four communities;
- In Kiribati, no respondents could recall the provision of any DRR training; and
- Despite confirmation from C-CAP that DRR training was conducted in all beneficiary communities, FGD respondents in only two of nine C-CAP communities visited in Solomon Islands, Kiribati, and PNG could recall conducting a simulation exercise.

When asked how much new information they learned about climate change and disaster management as a result of C-CAP activities, FGD respondents provided an average rating of 3.24/5 (Figure 2). Furthermore, in 74 percent (20/27) of C-CAP KIs and FGDs, negative or mixed examples of capacity building were reported, mostly because of poor learning on DRR and infrastructure maintenance training, which is discussed in more detail below.

### *Infrastructure Maintenance and Management Training*

Finally, the team found little evidence of training to maintain and manage infrastructure. Respondents confirmed that maintenance training was conducted in only three of 11 C-CAP field sites. These sites were either very close to C-CAP's headquarters office or had ongoing collaboration with CSOs on climate change. FGD participants in these three communities reported that, despite the training, there was no uptake of maintenance because either the training was insufficient or the community lacked the necessary equipment. Although communities signed a formal agreement with C-CAP to assume all responsibility for operations and maintenance once construction is completed, this was only observed in two of 11 C-CAP sites. In these cases, management was undertaken independently by the community, rather than being facilitated by C-CAP as a close out activity. C-CAP staff confirmed that they facilitated Road to Resilience workshops with community, NGO, and local government representatives, during which maintenance and operations outlines were reviewed and participants identified additional required support. However, because of limited time and budget, C-CAP did not provide this support. Rather, attendees drafted action plans that outlined the infrastructure type, support required, and individuals/groups responsible for carrying out the actions.

Although data from KIIs are subjective and project documentation is incomplete, it is clear that C-CAP ran into funding and time constraints. C-CAP was originally projected to complete infrastructure in 90 communities but had to revise its target down to 68 communities, at least in part owing to high implementation costs. Furthermore, there was a hurricane in Fiji, the Pacific regional economic hub, in 2015, which brought the procurement and transportation of construction materials to a standstill for many months—reducing C-CAP’s implementation timeline. Finally, challenges with completing construction with low capacity contractors diverted resources from other C-CAP activities. These challenges competed with resources for consultation and capacity building for DRR or infrastructure maintenance in beneficiary communities.

#### *Subnational and National Capacity Building*

C-CAP contract requirements explicitly included national capacity building, but this component was added at a late stage and retrofitted into the contract and work plans. Subnational institutional capacity building, while not explicitly required in the contract, was included in the C-CAP work plans as part of site-level activities. C-CAP initiated a new workshop series titled “Road to Resilience: Sustainability and Knowledge Sharing Workshops” with the objective “to strengthen coordination between communities and their governments, both national and subnational, in maintaining climate-smart infrastructure and managing climate change adaptation (CCA) and disaster risk management activities.” Furthermore, C-CAP staff and activity documentation confirm that workshops were provided to subnational ministry officials on disaster risk and infrastructure prioritization toolkits and catalogs. The team was provided with comprehensive prioritization toolkits and DRR plans to review. Additionally, in partnership with the University of the South Pacific, C-CAP published a report on best practices for coastal adaptation in the Pacific, which could be used at the national and subnational levels for improved decision-making. These materials and training had the potential to increase climate adaptation capacity at the national and subnational levels, but these outcomes were not observed by the field team.

Respondents were able to recall attending a C-CAP training or workshop in only two of six national and local government KIIs where C-CAP was discussed. These respondents were unable to provide examples of how or whether the training had improved local government or community capacity to adapt to climate change. Furthermore, in three of eight local and national government KIIs, officials could not recall being invited to any C-CAP workshops and never received any disaster management or coastal adaptation materials. C-CAP staff confirmed that they sent formal written invitations for workshops to all subnational and national partner agencies and followed up with phone calls and emails to confirm attendance. However, a request for USAID to provide additional travel and labor budget to facilitate Road to Resilience activities was denied. These funds, which would have provided direct support to subnational and national counterparts for work planning and initial implementation of Road to Resilience Action Plans, could have contributed to national capacity building goals, as well as sustainability of C-CAP DRR and infrastructure investments.

One respondent remarked, “the subnational level is on the front line for these communities, but they are under-resourced, under-funded, and under-considered.” Additionally, one national government respondent said, “Local governments do not have the financial and technical capacity to continue these projects, and C-CAP did not do enough to help them. The communities rely on [the provincial authorities] to do everything, so without this help, the projects will not be sustained.” Two provincial climate change and disaster officers stated that they did not have funds to travel to communities or conduct activities and relied on donor sponsorship in their area to conduct field activities.

#### **PACAM**

PACAM’s approach to capacity building was focused at the CSO level, with additional capacity building conducted at the community level through PACAM grantees. In 15 of 20 PACAM KIIs and FGDs, respondents provided a positive example of capacity building. Furthermore, FGD respondents gave an



average rating of 4.38/5 when asked whether PACAM grants helped them adapt to climate change. The following section provides a detailed description of the findings on PACAM's capacity building components.

### *CSO and NGO Capacity Building*

PACAM's investment in grantee capacity building was intended to build a network of implementers with the skills and capacity to manage climate change projects in PICs, which have historically had very limited human and financial capacity. PACAM established a system to identify potential grantees and enable them to receive and manage USAID grants, building capacity right from the proposal and award stage. After a competitive concept paper selection, potential grantees were invited to submit full grant applications. Those selected by PACAM's Grants Review Board were subjected to a financial risk assessment to eliminate potential grantees that lacked financial management capacity or who exhibited extremely high risk. Depending on the grant cycle, only 15–30 percent of applicants passed this stage. Support in preparing proposals and upgrading financial management systems was provided to the remaining organizations to prepare them to manage PACAM grants. This support was continued throughout the life of the grants.

The two national NGOs not attached to larger international NGOs interviewed by the team reported receiving substantial financial and managerial capacity building support from PACAM and felt that they are better able to implement donor-funded projects in the future. Major forms of training or support received include:

- financial management and internal controls;
- work plan development and tracking;
- human resources training and systems development;
- performance monitoring and evaluation plan development and tracking, and
- gender action plan development and tracking.

For example, one grantee reported that it received six weeks of on-site technical assistance to develop its performance monitoring and evaluation plan owing to difficulties achieving early PACAM milestone requirements. Two grantees reported using documents developed for PACAM in grant applications for other donors. Additionally, four of five grantees claimed to have benefited from PACAM's rigor in enforcing milestone accomplishment and reporting requirements. One respondent said, "It has actually been quite nice to work with a partner who is so keen on accountability. This is the type of investment in civil society you really need if you want to see successful projects on the ground."

Conversely, all but one stated that they felt the reporting requirements, including weekly updates, were burdensome. In fact, one grantee attempted to return its PACAM grant after struggling to comply with milestones and reporting. With PACAM's assistance, it improved in this area and now claims to be "PACAM-proof." Another grantee said, "The paperwork was overwhelming." Three out of five grantees reported difficulties in meeting early management and administrative milestones and experienced delays in the startup of program activities. With initial grant periods ranging from just 18 months to three years, delays in the early phase of grant management, as well as overall slow implementation throughout the grant life cycle, led to the need to grant extensions to a number of grantees. PACAM staff confirmed that they help grantees meet their reporting and milestone requirements, often doing much of the work for them, but this remains a challenge for most grantees.

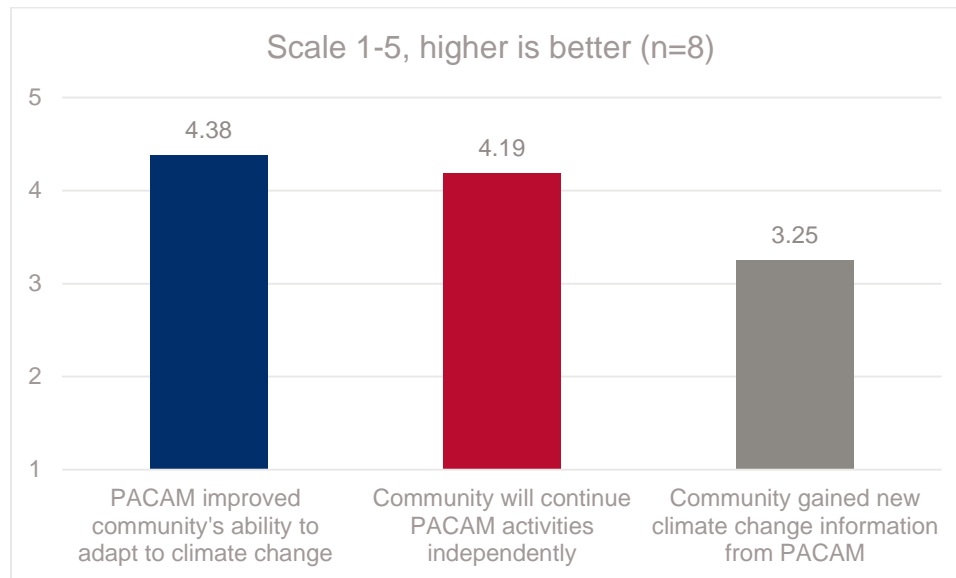
### *Community-based Capacity Building*

While PACAM's capacity building goals were focused at the civil society level, capacity building was also observed in the communities where grantees were implementing activities.

- In all nine FGDs in communities benefitting from PACAM grants, respondents gave a positive example of capacity building.

- When asked how well PACAM activities helped their communities improve their ability to adapt to climate change, FGD participants responded favorably, ranking the investments a 4.38/5 (Figure 3).

**Figure 3: FGD responses – PACAM**



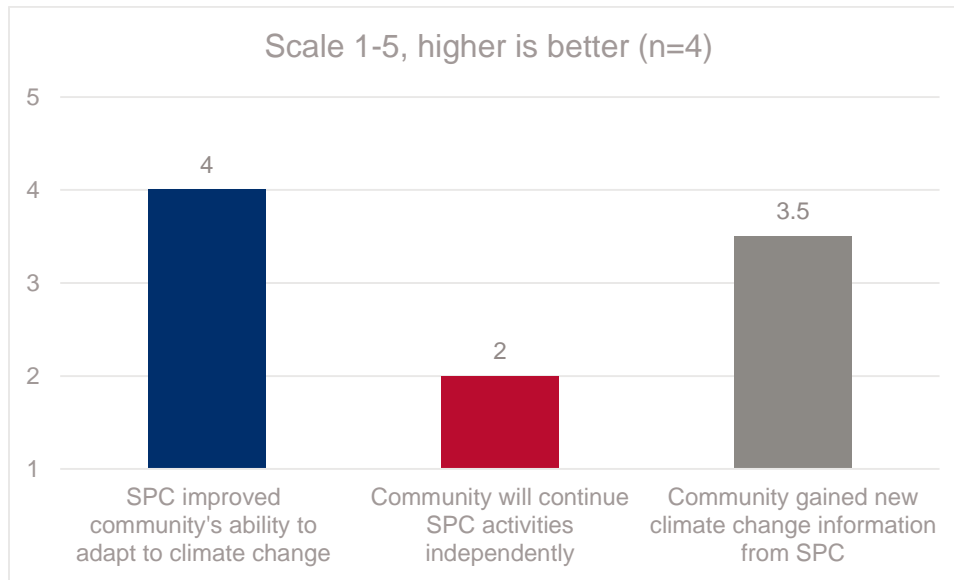
- One respondent who worked with Natural Resources Development Foundation (NRDF) on honey farming and women’s savings clubs said, “These savings clubs are totally new to us. Two women came to teach us about bookkeeping and how to save and withdraw money. Eighty-four women are already involved in the savings club, and we are already thinking of splitting up into subgroups. It is going really well so far.”
- In a community that received ChildFund climate-smart agriculture training, a respondent said, “We needed help learning how to use our lands. With ChildFund, we learned how to make backyard gardens. We learned how to look after our crops with mulch and manure and created a nursery for seedlings. We were doing slash and burn in our plots, but we are not doing this anymore. The USAID project gave us good ideas for gardening.”
- In all PACAM sites with significant community-based components, FGD respondents confirmed that they received follow-up training from grantees and had ongoing relationships with project staff.

## SPC

### *Community-based Capacity Building*

Most of SPC’s capacity building activities that were conducted at the community level used model farmer or community project techniques for gardening and small scale animal husbandry. SPC ended in February 2016. The team visited two community SPC sites in Kiribati and two in Solomon Islands. Direct observation as well as beneficiary KIIs and FGDs revealed little evidence of capacity building outcomes or improved food security at the community level. Negative or mixed examples of capacity building were reported in eight of nine KIIs and FGDs, and positive examples of increased understanding of climate change were only reported in two of nine KIIs and FGDs (Figure 4).

**Figure 4: KII and FGD responses – SPC capacity building**



Although activity documentation provided did not establish the total number of community members trained by SPC, additional details from direct observation and interviews showed negative findings:

- In Tabontebike, Kiribati, FGD participants could not identify the project until they were prompted several times, and once they recalled it, they stated that the activity had not improved their ability to cope with climate change.
- In Takarano, Kiribati, all community members were invited to a climate-resilient gardening training, where community members reported learning new techniques for planting and about certain new crops. However, community members said that “the project did not help our food security because the people came and left too fast. We do not have the tools or seeds to continue, they took everything from us when the project left. It was going well while support was here, but we needed more time. Now everything is dead.”
- In Kiribati, the team observed model farm plots and animal husbandry infrastructure that had not been maintained or scaled up. Plots were overgrown in both sites, and pig pens and chicken coops were damaged.
- In Loemuni in Solomon Islands, the team found evidence of animal husbandry and garden seedling nursery demonstrations that were overgrown and not maintained. One key informant reported that he was promised five pigs but had only received two, which were not able to reproduce.
- In all four communities in Kiribati and Solomon Islands, FGD and KII respondents attributed the lack of uptake to insufficient training and follow-up support from SPC staff. One man in Kiribati said, “They only came for six months. We did not have enough time to get it right.” Another respondent in Solomon Islands mentioned that he had only been visited by project staff three to four times and was expecting additional support, despite the projects having already concluded.

Despite a lack of scale-up at the four SPC sites visited, there was some evidence of limited uptake in all four communities. In Kiribati, three of seventeen respondents raised their hands in FGDs when asked whether they continued using the new farming techniques. Furthermore, one bee farmer in Sepa was keeping bees in five of the eight hives SPC provided to him.

#### *National and Subnational*

The team conducted KIIs with three SPC staff as well as eight national and local government officials in Kiribati and Solomon Islands. Capacity building at this level occurred through training and the implementation of the Whole of Island (WOI) and Choiseul Integrated Climate Change Program (CHICCHAP) by SPREP and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ). The team was provided with very little information on how much training was provided, what topics were covered, and who or how many people attended capacity building activities. Furthermore, no information was provided on baseline capacity, outputs, or outcomes of SPC trainings. KIIs also revealed few findings on training activities. National and local government officials recalled working with SPC, but none remembered attending a training.

KIIs with local and national government officials did, however, reveal positive findings on the WOI and CHICCHAP approaches to which SPC contributed. One respondent in Kiribati noted that “although the outcomes of the WOI approach have not yet been evaluated, I think the approach led to greater development outcomes and improved provincial and national level capacity.” More details of this activity are described in the SPREP: National and Subnational Capacity Building section below.

## SPREP

### *National and Subnational Capacity Building*

SPREP focused on strengthening capacity by building national as well as provincial coordination, and using these systems to pilot community-based initiatives. SPREP’s main capacity building activities include:

- national capacity building and coordination through CHICCHAP, and the Kiribati WOI approach implemented through the Kiribati National Expert Group (KNEG); and
- community-based initiatives, including ecosystem-based adaptation and small water infrastructure implemented in Abaiang, Kiribati, and Choiseul Province, Solomon Islands.

The CHICCHAP and WOI approaches were innovative partnerships between multiple actors in Solomon Islands and Kiribati that aimed to improve coordination among donors and maximize development outcomes, such as increased climate resilience or food security. CHICCHAP’s partners include the Solomon Islands government, SPC, SPREP, USAID, GIZ, Australian Department of Foreign Affairs and Trade, The Nature Conservancy (TNC), and the United Nations Development Programme (UNDP), among others. The Kiribati WOI approach was a joint effort, with SPC, GIZ, and SPREP implementing USAID-funded activities.

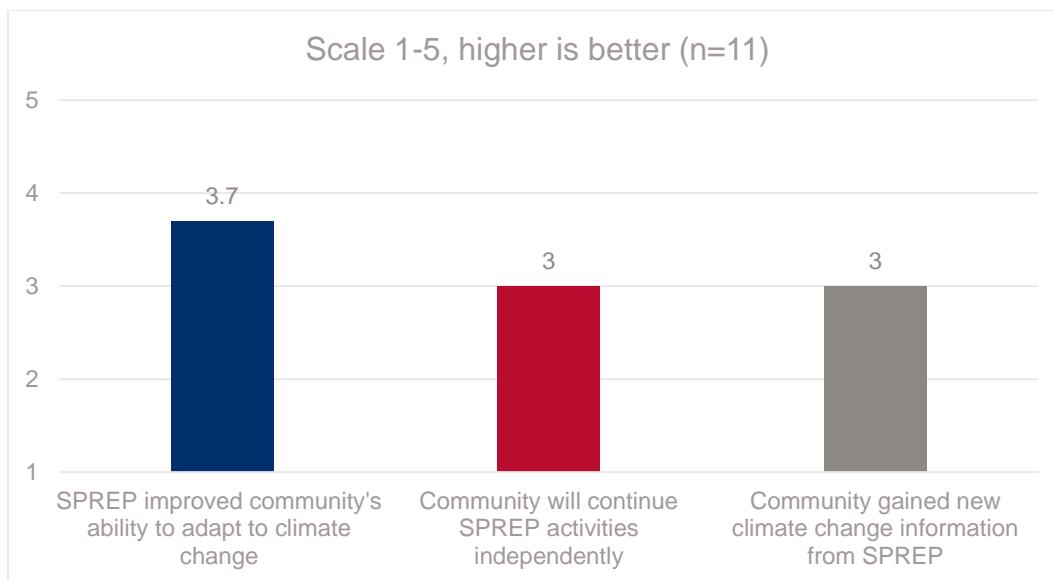
The team found positive examples of capacity building at the institutional and national levels within the CHICCHAP and WOI approaches. In Solomon Islands, the CHICCHAP program implemented a coordinated, cross-sectoral approach, which involved a Partners Advisory Implementation Group that meets quarterly to discuss work plans, resource sharing, and coordinated implementation of activities. Stakeholders familiar with CHICCHAP reported that these meetings built institutional capacity through lessons learned and knowledge sharing. Furthermore, seven national ministries signed memoranda of understanding with CHICCHAP, CHICCHAP staff are embedded in national governments, and training was provided to provincial-level government staff in a variety of CCA practices—including conducting vulnerability assessments, ecosystem-based approaches to climate adaptation, climate-smart agriculture, animal husbandry, backyard gardening, and agroforestry. In Kiribati, project documentation and KIIs confirm that SPREP sponsored monitoring and evaluation, data collection (qualitative and quantitative), water quality analysis and maintenance, and leadership and governance training for KNEG members. The team was not provided with the final count of all SPREP trainings, but based on project documentation, most training attendees were local and national government staff working in ministries implementing climate adaptation activities. One key informant involved in data collection training said that she learned a lot from the training and was using United Nations Environment Program (UNEP) guidance to complete data collection and report writing. Another key informant said, “the big success with the approach is that

the national government has already implemented lessons from the WOI approach on other islands in Kiribati, and we succeeded in leveraging additional funding from UNDP based on our experience in Abaiang.” In all four KIIs where CHICCHAP and WOI were discussed, respondents said they felt that the approaches had or would lead to improved development outcomes for communities.

### Community-based Capacity Building

SPREP conducted a wide variety of capacity building activities at the community level in Abaiang and Choiseul. FGD respondents, however, reported mixed results on the outcomes of these interventions. Four of seven community KIIs and FGDs reported positive examples of capacity building, with FGD respondents giving an average rating of 3.7/5 when asked to what degree SPREP helped their communities adapt to climate change (Figure 5).

**Figure 5: FGD responses – SPREP**



### Choiseul Community-based Activities

In Choiseul, capacity strengthening activities included the development and partial implementation of ecosystem-based adaptation management plans in three communities, with a heavy focus on training. As part of this, three people from each community were invited to a workshop in the provincial capital where they learned about the “ridge to reef” approach of natural resource management. One respondent in Sasamunga said, “We learned a lot of new things, and we are working in the schools to teach young people about it and have meetings every Sunday to raise awareness. The community was already doing some climate adaptation, but SPREP really helped us scale up and encouraged us.” Furthermore, SPREP provided Sasamunga with water storage tanks, which improved adaptive capacity during times of drought and serve as a short-term intervention while watershed rehabilitation activities take root. The FGD respondents from the community gave SPREP a 5/5 rating when asked to rate the activity’s success in preparing the community to adapt to climate change.

However, in the other two SPREP sites in Choiseul visited, the team experienced difficulty in identifying adaptation activities. For example, one tree planting activity in Taro, which was meant to improve revegetation, turned out to be just a small row of 10–15 trees. While the provincial government declared a planning scheme that protected Taro’s coastal plants and ecosystems as part of the activity, no local government respondents were able to identify either the plants or the planning scheme. Another respondent confirmed that no one in Taro was interested in the composting component of SPREP’s waste

management activities in that community.

### *Abaiang Community-based Activities*

In Kiribati, SPREP's main capacity strengthening activities included the provision of locally appropriate water pumps, water quality training, and ecosystem-based adaptation training. Community members had mixed views on these activities. One key informant in Tabontebike stated that the water pumps did not actually improve adaptive capacity because, against the advice of the community, they were installed in areas that were prone to brackish water. He said, "I do not think the households would be better prepared to cope with impacts of climate change because the water they are accessing is brackish." When asked to rate SPREP's success with enabling the community to adapt to climate change, FGD respondents gave a score of 1/5. Furthermore, in the same community, FGD respondents said they had constructed riprap, a shoreline protection measure, out of locally based materials, with the help of SPREP. However, the materials were weak, and the riprap had already washed away, so Takarano still lacked shoreline protection.

In Takarano, community members were pleased with the water pumps. One key informant reported, "the demonstration and installation workshops gave us the knowledge and skills in constructing and installing our own Tamana or Marakei pumps." Another respondent told the team that women benefitted more from these investments since they are responsible for fetching water, but that they were not invited to a training and did not know how to maintain the pumps.

There was no evidence of uptake of the ecosystem-based adaptation or water quality management measures in either community, and no FGD or KII respondent could recall attending any water quality management training, despite SPREP documentation confirming that training was provided. Furthermore, the riprap demonstration in Tabontebike was not maintained or replicated since the original construction.

## CONCLUSIONS

GCC activities strengthened PICs capacity to adapt to climate change across three major groups: communities and individuals, CSOs and NGOs, and other stakeholders—including regional organizations and national and subnational government institutions. While, as a portfolio, it is clear that GCC activities strengthened the capacity of each of these levels of stakeholders, different activities performed better at different levels.

### C-CAP

C-CAP's greatest area of capacity building was at the community level, especially through small infrastructure investments. These interventions increased resilience and adaptive capacity by providing communities with access to clean water, dry land, and storm shelters. Complications with budgets and implementation affected C-CAP's ability to invest significant time and resources to DRR and infrastructure maintenance training. Furthermore, C-CAP, by design, did not dedicate significant resources to subnational-level capacity building, as it was not specifically required by the contract. The lack of investment at the community and subnational level in training and strengthening capacity to manage and maintain infrastructure and implement DRR plans will negatively impact the sustainability of these components.

At the national level, C-CAP developed capacity building training materials, plans, and manuals, and conducted training as required by its contract. However, training was spread too thin and were not embedded in an ongoing program of institutional capacity building. In the end, C-CAP training and materials had the potential to strengthen institutional capacity but fell short because of insufficient investments in follow-up training and support for implementation of lessons learned during training.

### PACAM



Compared to the other three GCC activities, PACAM excelled in strengthening the capacity of local CSOs and NGOs—contributing significantly to the financial, managerial, and programming capacity of USAID grant recipients. Those that most benefitted from these resources were smaller, locally-based organizations—such as NRDF or the University of Fiji—who are now using their newly provided financial management and monitoring and evaluation systems to apply for more grants and funding.

Furthermore, PACAM grantees provided well-developed, in-depth training to community beneficiaries. Ongoing grantee presence and follow-up contributed to overall capacity gains at the community level, with beneficiaries reporting improved climate resilience. PACAM’s focus on capacity building in project design, monitoring, grant agreements, and financial resource allocation, paired with committed on-the-ground staff at the grantee level, enabled strengthened adaptive capacity at the community level.

### SPC

Although SPC’s program focused on community-based climate adaptation through agricultural training, there was very little evidence of strengthened capacity at the community level. Only a few farmers in each community demonstrated increased gardening or animal husbandry capacity, and SPC projects demonstrated little uptake overall. Data from community FGDs and KIIs with IPs suggest that the length of time of SPC investments, limited funding to conduct follow-up training and activities, and limited staff presence in communities inhibited community capacity building. Furthermore, because SPC training at the national and subnational levels was not evident in documentation or in KIIs, the team concludes that adaptive capacity was not strengthened through these investments. The team concludes that USAID’s approach, coupled with the expectation of specific outputs within a short time frame, resulted in SPC attempting to establish community-based activities directly as opposed to working through subnational government and line ministry staff. Capacity at this level was not sufficiently established to carry on the community-level work. SPC is better suited to doing capacity building for implementing entities rather than implementing the activities themselves.

Despite challenges with local and national government staff training and community-level activities, positive findings indicate improved institutional capacity to coordinate the implementation of CCA projects across donors through initiatives like the WOI approach and CHICCHAP. Additional conclusions on these approaches can be found in the SPREP conclusions section below.

### SPREP

SPREP’s activities in Kiribati and Solomon Islands demonstrated capacity building at the civil society, regional, national, and subnational stakeholder levels. Members of CHICCHAP and KNEG benefited from many training opportunities and participated in quarterly meetings where lessons learned and knowledge sharing occurred. Although capacity was clearly strengthened at the institutional level, these benefits did not trickle down to the community level, where capacity building results were more mixed. Based on responses from KIIs and FGDs, this is likely due to insufficient consultation, diminishing impacts of the water pumps, and an inadequate gender focus. Because SPREP is a regional organization with a focus on high-level policy making, it excelled at government-level capacity building. However, SPREP may not have been the most appropriate IP for community-based adaptation initiatives.

These project level conclusions revealed some important themes:

- The diversity of the GCC portfolio ensures that adaptive capacity is being strengthened across all actors and stakeholders. Rather than GCC activities independently focusing across all stakeholders, each activity targeted specific stakeholders.
- The presence of field-based staff affects the ability of communities to internalize and implement training and capacity building activities. Communities with less involved or present field staff were less able to apply their training and demonstrated little uptake of activities or learning outcomes.



- When implemented well, small-scale infrastructure that improves water supply has the potential to improve adaptive capacity in PICs, where droughts are a continuous challenge.
- Institutional capacity building at the local, subnational, and national levels is important to ensure the sustainability of community-based climate adaptation. Local governments currently have low financial and technical capacity and need additional support to sustain activities implemented with USAID funding.

## RECOMMENDATIONS

- USAID should ensure that all future activities have a sufficient timeline and budget to enable legitimate and sustained capacity building. Furthermore, USAID should incorporate fully developed capacity building components into future activities, with capacity objectives by target group, to ensure that baseline and monitoring data are collected to adequately measure impact.
- Implementers should ensure that they appropriately position staff at levels to facilitate regular ongoing staff engagement and achieve capacity building objectives. This should include regularly programmed visits to communities or regularly scheduled meetings with important civil society or government stakeholders.
- USAID should ensure that the GCC portfolio activities target complementary levels of capacity building. While activities may individually have a narrow focus for capacity building, the portfolio as a whole should build capacity at all relevant levels. This will contribute to sustainability by ensuring that civil society or local and national governments can continue the important community-based work initiated by USAID IPs.

## EVALUATION QUESTION 2

*What are the good practices and innovations in GCC adaptation activities at the community and national levels? What strategies are in place to help make these good practices sustainable? (SUSTAINABILITY)*

## FINDINGS

A second pillar of the GCC portfolio is the adoption of good practices in climate adaptation. The team researched definitions of good practices and innovations and chose two that are widely used and are applicable to the GCC context. The Food and Agriculture Organization defines a good practice as “a practice that has been proven to work well and produce good results, and is therefore recommended as a model. It is a successful experience, which has been tested and validated, in the broad sense, which has been repeated and deserves to be shared so that a greater number of people can adopt it” (FAO, 2014). In a United Nations (UN)-funded report titled “Innovation for International Development,” innovation is defined broadly as “the successful exploitation of new ideas that create value at scale” (Ramalingam and Bound, 2016). This is reflected in Table 5 below, which provides a few of examples of contract/agreement language requiring the application good practices to enhance adaptation to climate change.

**Table 5: Excerpts related to good practices from GCC contracts and agreements**

C-CAP	The Contractor should build on the GIZ, SPC, and SPREP Coping with Climate Change in the Pacific Island Region mainstreaming tools and best practices for integrating climate adaptation into the community planning body of expertise, and provide a plan of action to scale-up the process in island communities throughout the Pacific region.
PACAM	PACAM will support implementation of adaptation measures (such as best practices or new technologies) that reduce climate change-related vulnerabilities at the community-level.
SPC	The project, over a 36-month period, will identify and implement integrated agricultural system management approaches that increase climate resilience.
	The information generated by the project, including through socio-economic analyses, will provide best practices and models to be used in other PICs.
	Information collection and appraisals will also consider traditional/indigenous knowledge to identify practices that could be useful in managing climate change, either directly or through some modifications.
SPREP	This [project] will focus on practical community-based adaptation measures as well as efforts to share experience and best practice on CCA.
	Training will be carried out in the participating countries using tools defined by the ecosystem-based adaptation tool box, tailored specifically to the specific country concerned.

Over the course of the fieldwork, the team saw evidence of good GCC adaptation practices. In 51 of 62 (82.3 percent) of FGDs and KIIs, respondents provided an example of a good practice (Table 6).

**Table 6: Percentage of respondents providing examples of a good practice**

	C-CAP		PACAM		SPC		SPREP		TOTAL	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
No	6	24%	0	0%	3	37.5%	2	20%	11	17.7%
Yes	19	76%	19	100%	5	62.5%	8	80%	51	82.3%
Total	25	100%	19	100%	8	100%	10	100%	62	100%

Some noteworthy good practices observed by the team are highlighted below.

*Community-Level Good Practices and Innovations*

- **CLIMATE SMART GARDENING:** Participants in 14 KIIs reported that climate-smart backyard gardening was good practice and improved climate resilience. Backyard gardens, which are often managed by women, provide increased access to easy-to-grow, nutritious vegetables, such as leafy greens and beans. Furthermore, more successful gardeners in Loemuni, Solomon Islands, and Kaloapanana, PNG, reported that they were selling surplus vegetables in local markets. Farmers learned new techniques, including raised beds, seedling platforms, garden baskets that used dried coconut shells for vegetable planting, composting and mulching, agroforestry, and organic pest control methods. This good practice led to multiple benefits, including income generation, increased access to improved nutrition, increased climate resilience, and an opportunity for gender-inclusive development.
- **BEEKEEPING:** In Choiseul, Solomon Islands, NRDF used PACAM funds to create and expand a small network of beekeepers in nine communities. Additionally, SPC provided a beekeeping demonstration in one community. The team visited beekeepers in two NRDF communities and

one SPC community. Startup costs for beekeeping are high because of expensive equipment (smoker, honey extractor, and suit), but PACAM and SPC activities reduced the burden on poor farmers by providing substantial in-kind support. NRDF provided each community with one set of equipment to share among all honey farmers as well as training on beekeeping, while SPC provided equipment for one model beekeeper. Honey farmers at PACAM and SPC sites uniformly reported earnings or expected earnings from these activities; some had made up to \$1,500 per year with their hives. Additionally, the NRDF activities were designed inclusively, involving women and children in beekeeping. Finally, since the SPC-provided beekeeping equipment had to be shared, honey farmers reported that community members were working together, resulting in increased social capital.

- **SAVINGS CLUBS:** NRDF also used PACAM funds to implement a village savings and loans scheme in nine communities. The savings clubs, as NRDF calls them, were limited to women. NRDF facilitated women-to-women learning, sponsoring women from one community to travel to other communities and teach women there how to set up and manage a savings box into which members deposit funds every two weeks. FGD participants unanimously voiced satisfaction with the activity. Money earned from honey farming, which was originally spent almost immediately upon receipt, was now being saved and used for children’s school fees and other household needs. Women said, “we feel safer with our savings, if something bad happens, we have the money there and we know we can be okay.” Across the nine communities, women reportedly saved a cumulative sum of about \$13,000. New to community members, these savings practices improved both climate resilience and financial literacy.
- **WATER SUPPLY INFRASTRUCTURE:** Privately and publicly installed RWHTs, water storage tanks, and water pumps are commonplace in the South Pacific, which is a testament to their utility and benefits. The majority of the RWHT under the GCC portfolio were installed by C-CAP (38 communities in total). The team also observed additional tanks installed by SPC in



**Figure 6: NRDF honey farmer in Choiseul, Solomon Islands**

KAREN AZEEZ

Loemuni and by SPREP in Sasamunga, Solomon Islands. SPREP also provided low-tech water pumps in five communities in Kiribati. These supply water for three to fourteen days after a heavy rain, depending on the number of households using the tanks. There were no limits on how much water could be taken. The water pumps and storage tanks that were observed by the team harvested groundwater from wells, so their supply was continuous, although the drought had caused some water to become brackish in Kiribati. Respondents in every community visited by the team in PNG, Kiribati, and the Malaita province in Solomon Islands reported that drought was a serious climate impact and that improving water supply was a priority for them. GCC water supply investments were small in scale and did not fully address water

supply challenges. However, they built climate resilience and provided beneficiary communities with improved access to clean, safe drinking water.

- **TIDE FLEX FLOOD GATES (INNOVATION)** The team observed tide flex flood gates that C-CAP installed in Vunisinu and Daku, Fiji, the only two communities to receive this infrastructure. While they are widely used in US and worldwide, they are relatively rare in the South Pacific and thus are considered innovative. Made of industrial thickness elastomer, they are an

improvement over traditional steel flap gate valves in terms of leakage inflow and debris entrapment and are more durable—requiring less maintenance. Female FGD respondents in both communities reported improved health among children and family members and felt that this might be because they were no longer consistently wading through flooded land. They also commented that they began gardening in their backyards because the soil was now dry enough for plants. This is an example of a win-win activity that contributes to climate resilience as well as other development goals.

#### *National and Subnational Good Practices and Innovations*

**CHICCHAP AND KIRIBATI WOI APPROACH THROUGH KNEG (INNOVATION):** The SPREP and SPC activities provided substantial support to CHICCHAP and the WOI approach. CHICCHAP is a promising approach that links national, subnational, and community-based CCA work. It began in 2013 and involves a dozen partner organizations, including the Solomon Islands government at the national and provincial levels, USAID, GIZ, UNDP, several CSOs and NGOs, the Lauru Land Conference of Tribal Community (a provincial community-based leadership organization), SPC, and SPREP. Provincial CHICCHAP members meet quarterly under the auspices of the Provincial Permanent Secretary to discuss and coordinate activities. There is also a national-level working group of government and donors that have loose oversight of the program and link it with national plans and priorities.

CHICCHAP does not control the activities of the partner organizations but provides coordination and shared resources (e.g., transport) and organizes some shared activities, such as training and work planning.

Community vulnerability assessments were conducted to choose eight priority communities for Choiseul Province. After demonstrated success, the CHICCHAP model was replicated in Abaiang, Kiribati. SPREP worked with SPC, GIZ, and Kiribati’s Office of the President to establish KNEG, comprised of about a dozen partners, including national and subnational ministries, donors and IPs, and CSOs. The approach was very similar, involving a coordinated consultation, needs assessment and baseline establishment process, and integrated development planning and implementation of services in target communities. The Kiribati government already garnered additional support from UNDP to scale up the approach to additional outer islands, and commitment to continue the partnership is clear.

CHICCHAP and WOI/KNEG succeeded in coordination and focusing partner efforts on complementary activities in the target villages. There are still lessons to be learned and necessary improvements, including increasing effectiveness of provincial level staff, additional coordination of non-network donors and implementers, and better management of community expectations. However, the approach has improved coordination and resource sharing. According to SPREP staff and one national government official—but not yet substantiated through post-intervention data collection—these improved partnerships contributed to increased program effectiveness and improved development outcomes.



**Figure 7: ChildFund Farmer in Rigo, PNG**

KAREN AZEEZ

#### *Sustainability*

While the team identified several good practices, the prospective sustainability of these practices varied.

In many cases, it was unclear to the team that activities would be continued after the life of a GCC grant or contract because beneficiaries did not have enough support to continue implementing activities.

Data from KIIs and FGDs suggest mixed results. In 76.6 percent of KIIs and FGDs, respondents thought that GCC activities were not likely, or only somewhat likely, to be sustained as implemented (Table 7).

- Although most of the activities show negative findings on sustainability, confidence was greatest that PACAM projects would be continued, with 36.8 percent of KIIs or FGDs reporting a high likelihood of sustainability.
- Respondents’ impressions of the likelihood of sustainability were only slightly lower for C-CAP, with about 23 percent of meetings responding that activities were very likely to be sustained.
- About 18 percent of KIIs and FGDs focused on SPREP reported a high likelihood of sustainability.
- Responses were negative across the board for SPC, with respondents in 100 percent of SPC-focused KIIs or FGDs confirming that sustainability is unlikely.

**Table 7: Is the activity likely to be sustained as implemented?**

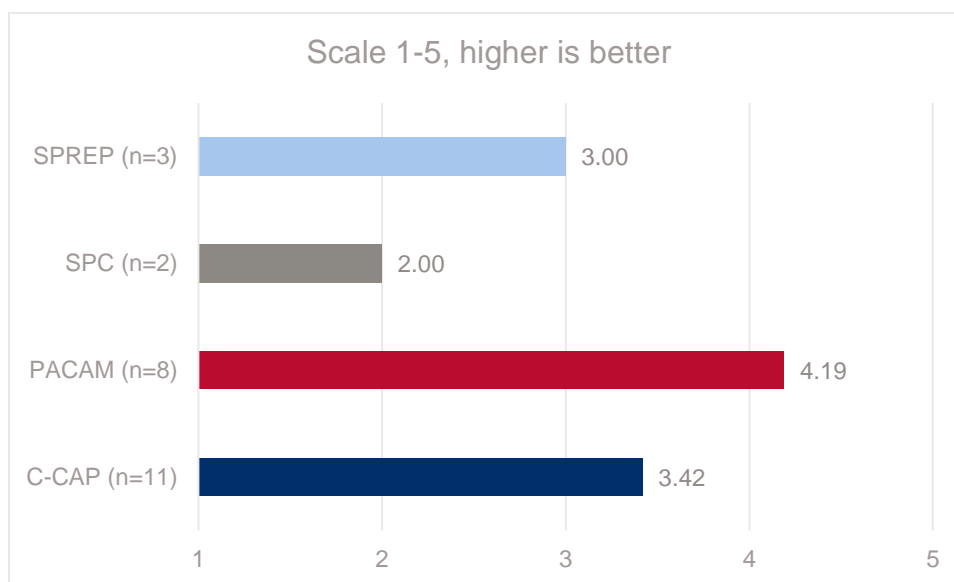
	C-CAP		PACAM		SPC		SPREP		TOTAL	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Not likely	9	35%	2	10%	8	100%	3	27%	22	34%
Somewhat likely	11	42%	10	53%	0	0%	6	55%	27	42%
Very likely	6	23%	7	37%	0	0%	2	18%	15	2%
Total	26	100%	19	100%	8	100%	11	100%	64	100%

At the beneficiary level, results were more positive (Figure 8).

- In six of eight (75 percent) of FGDs in communities benefiting from PACAM grants, participants rated their ability to continue activities a four or five out of five.
- In five of 11 (45 percent) of FGDs in communities benefiting from C-CAP infrastructure, participants rated their ability to continue activities a four or five out of five.
- In one of three FGDs in communities benefiting from SPREP investments, participants rated their ability to continue activities a five out of five. This community also stated they had not continued the activities on their own.
- No SPC FGD participants responded positively to the sustainability question.



**Figure 8: FGD responses – Community ability to continue implementation after activity ends**



It is impossible to determine the exact cause of respondents’ perceptions of sustainability, given the vastly complex cultural context, varying nature of activities, and different points along the completion timeline of the GCC activities. However, the findings suggest a few trends that are likely correlated to the likelihood of sustainability at the activity level. Primarily, FGD and KII responses on the quality of consultation demonstrated similar trends as sustainability. For example, PACAM grants, for which respondents reported the highest likelihood of sustainability, also had more KII and FGD participants confirming high quality consultation (60 percent). C-CAP and SPREP fell in the middle, and in 86 percent of SPC KIIs and FGDs, respondents reported low quality consultation (Table 8). Poor consultation is directly related to buy-in, and when a community or government does not feel ownership over a project, it is less likely to continue activities in the absence of donor funding. One government respondent commenting on C-CAP said, “If [the country mobilizer] had involved us from the beginning, C-CAP would have had more buy-in and the government would have prioritized the project. They cannot blame us for not working with them if they are not working within our priorities.”

**Table 8: FGD and KII responses on quality of consultation**

	C-CAP		PACAM		SPC		SPREP		TOTAL	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
High Quality	3	13%	9	60%	1	14.3%	2	40%	15	30%
Low Quality	9	39%	3	20%	6	85.7%	2	40%	20	40%
Medium Quality	11	48%	3	20%	0	0%	1	20%	15	30%
Total	23	100%	15	100%	7	100%	5	100%	50	100%

Community respondents also lacked a sense of ownership over projects. One key informant in Solomon Islands said he was waiting for SPC’s field agent to give him permission to continue livestock activities, despite the project having ended over 10 months prior. Functional water use committees were managing water tank usage in only two of nine C-CAP communities with RWHTs. In Loemuni, Solomon Islands and Tabontebike, Kiribati, SPC used private land for its demonstration plots, and, once the project withdrew, neither the landowner nor community members had any interest in continuing. One farmer said, “We did

not have a feeling of ownership. The [implementers] made all of the decisions for us, and we did not have any say in who was employed. We do not want any more projects that are not sustainable.”

Another factor affecting sustainability is the continued presence of a long-term relationship between the IP and the community. Four out of five PACAM grantees consulted during this evaluation had ongoing relationships with the communities in which they were working. Long-term relationship building contributed to a high level of trust and implied commitment between implementers and community members. One respondent in PNG said, “We as a community have to show that we are worthy of these projects. If we are not committed to [keeping up with the] agriculture, why would they give us water? We know they will help us if we do a good job.” Furthermore, continued field presence also enabled IPs to continue follow-up training and provide additional support to community members as needed, which was observed with PACAM grantees, NRDF in Solomon Islands, and ChildFund in PNG.

Conversely, the team spoke with beneficiaries in four communities that received support from SPC. Only one of these communities had previously worked with the implementer or had any relationship with its staff. Furthermore, SPC does not have permanent staff in their field sites and only operated in each site for a period of about six months to one year. In two out of four SPC sites, community members reported that SPC staff had not spent long enough in their communities and that they did not feel they were able to continue gardening practices without much-needed follow-up training.

Four of five SPREP sites visited also had very minimal staff presence. In these communities, respondents gave low or neutral marks for likelihood of sustainability. SPREP’s activities in Sasamunga, Choiseul, however, demonstrated sustainability, with community members actively maintaining a watershed protected area and tree nursery. SPREP’s field staff in Choiseul is from Sasamunga, and he returns to the community regularly for follow-up activities. Furthermore, SPREP has ongoing ecosystem-based adaptation activities in Choiseul through its Pacific Ecosystem-based Adaptation to Climate Change project, which may lead to greater sustainability of USAID-funded activities over the long term.

## CONCLUSIONS

The USAID/Pacific Islands GCC portfolio promoted several good technical practices. There was strong evidence of quality implementation, and beneficiaries seemed satisfied with the results. Highlights of good practices observed by the team include small-scale climate-resilient community infrastructure, backyard gardens, beekeeping, and women’s savings clubs. At the national level, convening partnerships, such as CHICCHAP and WOI/KNEG, demonstrated notable success.

However, the sustainability of these practices has room for improvement. USAID allowed C-CAP, SPREP, and SPC to extend their agreement end dates multiple times at least in part to ensure a higher likelihood of overall sustainability and achievement of long-term outcomes. However, it is not clear to the team that this was achieved. Because of deficiencies in the consultation process as well as insufficient continued support from implementers to conduct follow-up training and demonstrate commitment, communities felt a lack of ownership over projects and did not have the capacity to ensure sustained impacts.

- At C-CAP sites, the lack of follow-up training, although not contractually required, led to deficiencies in operations and maintenance capabilities and poor buy-in at the national and subnational levels. This ultimately jeopardized the long-term continued operation of infrastructure. Although C-CAP went above and beyond its contractual obligations to provide operations and maintenance refresher courses in some communities and facilitated Road to Resilience Workshops with community members, NGOs, and local government, technical and budget constraints prevented the activity from achieving full sustainability.
- SPC’s weaknesses in sustainability are largely because of poor community engagement and consultation, leading to a lack of community ownership over implementation activities and culturally inappropriate interventions that had no chance for adoption. SPC’s collaboration with



provincial technical officers did not prove sufficient to carry on SPC pilot activities.

- Evidence suggests that PACAM investments generally have a higher likelihood of sustainability, given grantees' ongoing commitment to the communities in which they were working. This commitment leads to a better understanding of the social structure, needs, and capabilities of communities as well as greater mutual trust. This is a costlier process than C-CAP could afford and was slower than SPC and SPREP had time in their grants to pursue. However, it ultimately led to a higher likelihood of overall sustainability and achievement of long-term outcomes.

## RECOMMENDATIONS

- USAID should ensure that all future community-based activities with training or behavior change components have a sufficient timeline and budget to engage in meaningful follow-up activities.
- If USAID continues supporting SPREP and SPC in community-based CCA, it should draw on the comparative advantages of these organizations in developing good practices and conducting training in partnership with locally based CSOs and NGOs that have long-term relationships with communities and community-based implementation experience.
- IPs should ensure that they engage field-based staff or send staff to field sites very frequently in all community-based climate adaptation activities.

## EVALUATION QUESTION 3

*What is the extent to which the portfolio has changed behaviors of key stakeholders to address climate change priorities of PICs, due in part to increased understanding of relevant issues? (RELEVANCE)*

## FINDINGS

For the purposes of this evaluation, the team defined behavior change as the sustained adoption of new and recommended good practices. Behavior change results from increased knowledge and awareness as well as positive change in attitudes. Sustained behavior change can be viewed as one of the primary desired outcomes of capacity building in GCC activities. As such, the response to this EQ is closely related to and builds on EQs 1 (capacity building) and 2 (sustainability). The team assessed behavior change in FGD and KII meetings by asking beneficiaries whether they had changed climate adaptation behaviors as a result of GCC activities and asking non-beneficiaries the extent to which they thought behavior change could be achieved.

None of the GCC activity SOWs or project descriptions specifically mentioned behavior change as a desired result or an expected performance measure. Furthermore, USAID's principal guidance for GCC does not specifically mention behavior change (USAID, 2012; USAID, 2007). USAID's GCC Indicator Handbook, on the other hand, closely links capacity building and behavior change, treating them as synonyms.

Data show that behavior change, like capacity building, differed between activities.

- C-CAP's behavior change activities focused on response to acute weather-related hazards, achieved through DRR training.
- SPC activities encouraged community members to adopt backyard gardens and to grow more nutritious and climate-resilient crops.
- SPREP promoted climate adaptation behaviors by training community members in ecosystem-based adaptation (natural shoreline and watershed protection) as well as water use management.
- PACAM activities were diverse, combining elements of the other three GCC activities, including ecosystem-based adaptation, backyard gardening, and natural resource management.

The team counted the number of KIIs and FGDs where a respondent was able to provide an example of

behavior change. The results suggest that GCC investments contributed moderately to behavior change and the adoption of climate adaptation practices. Across the portfolio, 27 of 50 (54 percent) of KII and FGD respondents provided examples of positive behavior change at the community level (Table 9). However, SPC and SPREP counts are misleading, as many of these KIIs reported sustained behavior change in only one or two individuals.

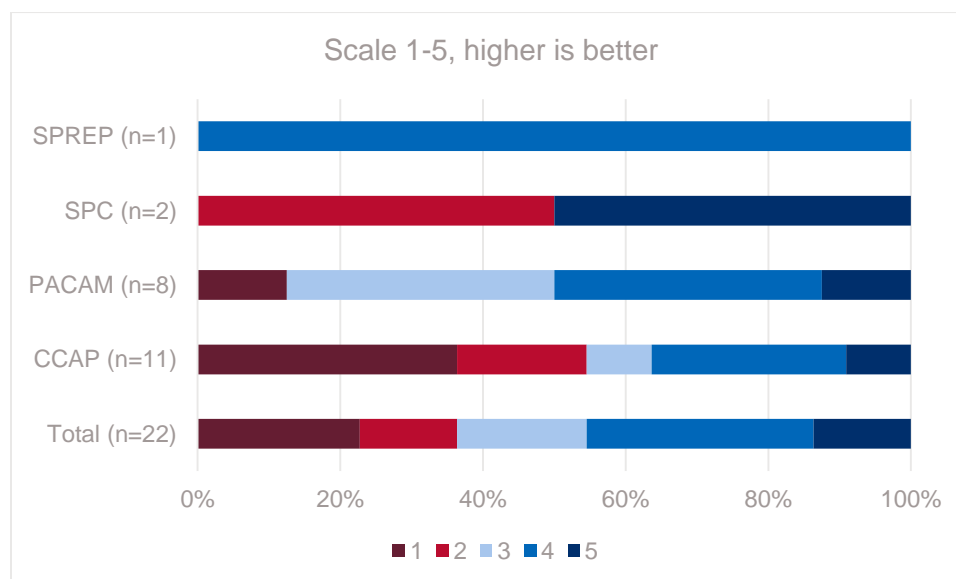
**Table 9: KII and FGD responses to behavior change at the community level**

	C-CAP		PACAM		SPC		SPREP		TOTAL	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
No	14	64%	2	17%	5	56%	3	43%	23	46%
Yes	8	36%	10	83%	4	44%	4	57%	27	54%
Total	22	100%	12	100%	9	100%	7	100%	50	100%

In addition to behavior change, FGD respondents were asked whether their level of understanding of climate change increased as a result of GCC activities. Findings demonstrate moderate levels of learning at the community level, with 45.8 percent of FGDs reporting scores of four or more (Figure 9), suggesting that behavior change was not likely to result from learning. Rather, data from FGDs indicates that motivators for climate resilience behavior change might include:

- prospects for increased income generation (e.g., surplus crops or beekeeping),
- perceived improvement in household food or water security,
- protection from extreme weather events (e.g., shoreline protection), and
- promise of in-kind benefits (e.g. farming or beekeeping equipment).

**Figure 9: FGD responses – Level of understanding of climate change due to GCC**



### C-CAP

Eight of 11 C-CAP communities visited displayed little to no evidence that DRR activities led to behavior change. FGD and KII respondents in three communities (Vunisinu and Daku, Fiji, and Nonovaul, PNG) recalled attending DRR training but said they were only provided with one training session and could not

articulate the major elements of the plan. Only two communities confirmed that they completed a simulation exercise. In Daku, C-CAP DRR posters adorned the walls of their community hall and community leaders were able to produce a recently delivered C-CAP disaster management manual. Female respondents in Fiji said their communities did not put the system to use during a recent cyclone. In Daku, some women reported that they were not allowed to attend the training, although C-CAP confirmed that 13 of 40 (32.5 percent) of DRR training attendees were women.

## PACAM

The team held FGDs in six PACAM-funded sites: two NRDF sites in Solomon Islands and four ChildFund sites in PNG. FGD respondents described examples of positive behavior change in all but one community. All FGD and KII respondents reported positive behavior change resulting from NRDF support. New behaviors included beekeeping, increased savings, and increased community organization (social capital). Women were also beginning to formulate ideas for small business ventures and cooperative activities, which they had not previously undertaken. Importantly, NRDF activities were gender inclusive, and female respondents reported more examples of behavior change than men.

PACAM's grant to ChildFund also supported climate resilient agriculture in 12 communities in Rigo, PNG. In three of the four communities visited by the team, FGD respondents reported positive behavior change, stating that new gardening techniques were improving yields and contributing to better access to nutrition. An ongoing severe drought adversely affected the success of the backyard gardening techniques, but respondents were still hopeful that once the rain returned, they would renew their efforts. Commitment to the new techniques was strong. One community member said, "when ChildFund leaves, they will not take this knowledge away from us."

## SPC

None of the four SPC sites visited exhibited examples of scaled behavior change. In Solomon Islands, only three individual model farmers in two villages were continuing SPC-promoted practices: one pig keeper, one beekeeper, and one backyard gardener. In the two SPC-supported communities in Kiribati, a very limited number of farmers (two to three per community) continued using techniques learned in training, such as pruning trees. Gender balance was not enforced in agriculture training, and women reported that they did not learn any new techniques, so achieving behavior change was not possible for them.

## SPREP

SPREP findings on behavior change were mixed. The activity progress reports provided to the team did not document baseline behavior change outcomes. Instead, the team relied on field observations. In community FGDs, respondents were neutral on whether they learned anything new about climate change as a result of SPREP activities. In all three FGDs, respondents ranked their learning a three out of five.

In both Takarano and Tabontebike, Abiang, there was no evidence of sustained behavior change for any of the trainees. Community members were provided with only one training session per topic: ecosystem-based adaptation and construction of riprap, water pump construction and maintenance, and water quality management. In Tabontebike, riprap already began to rot and fall away. Community members did not replace any of the rotting materials to maintain the riprap, given the lack of flooding. In addition, the team found no signs of uptake of water quality maintenance, which would have been evidenced by water bottles lining tin roofs, in either community. Water pumps were not maintained because they were still fully functional, so the team was not able to assess behavior change on this component.

In Solomon Islands, however, SPREP staff reported that behavior change was one of the big successes of SPREP's work. FGD respondents in Sasamunga demonstrated significant and lasting behavior change after attending training on climate impacts, tree nurseries, and watershed protection. The community enforced the watershed protected area designated in partnership with SPREP and moved agricultural practices to

locations outside of the watershed boundary. Furthermore, training was carried on independently by the community, which was conducting knowledge sharing exercises at weekly community meetings and in schools. Community members reported that they intended to continue climate adaptation practices long after the life of the SPREP activity. IP staff also reported that they continued working with Sasamunga and conducted weekly visits to the community. They conducted additional follow-up and spot training as necessary and were implementing additional non-USAID-funded activities in the community.

## SUMMARY

It is important to note that the team only reported findings on behavior change at one specific point in time, and behavior change is a constantly evolving outcome. Therefore, the following caveats apply to findings and conclusions from this evaluation section:

- All PACAM projects visited were still being implemented. It is likely that additional positive behavior change will accrue before the completion of USAID funding.
- The nature of the fieldwork (one day per site) did not facilitate sufficient investigation to determine the degree of behavior change or how actual behavior change compared against expected targets.
- It is possible that behavior change will not be sustained. As time goes on and recall is diminished, community members may choose not to maintain infrastructure or continue gardening practices.

This EQ should be understood as a snapshot of behaviors reported during the Fall of 2016, and interpretations as to the validity of these findings into the future should be investigated thoroughly.

## CONCLUSIONS

The primary portfolio-level conclusion for EQ 3 is that sustainable community-level behavior change is time intensive. PACAM grantee projects demonstrated the most success in achieving meaningful, sustained change in climate adaptation behaviors—most likely because PACAM grantees have ongoing relationships with communities and beneficiaries (Figure 10).

C-CAP's DRR training was not sufficient to lead to sustained behavior change because of insufficient training and follow up. Substantially greater technical support and training would be required to achieve sustained DRR behavior change. The cost for doing this would mean reducing the number of communities or countries with C-CAP investments or reducing the amount of infrastructure installations per community.

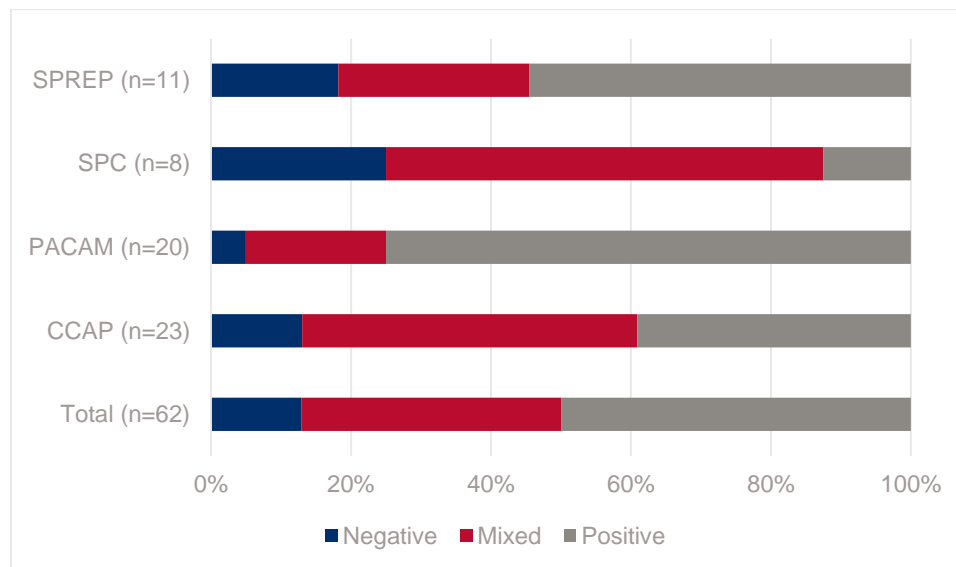
SPC activities also failed to lead to meaningful behavior change. While a few individual farmers continued using selected techniques, such as beekeeping or pruning trees, the short implementation timeline, lack of inclusion of women, and lack of follow-up support diminished buy-in from communities. They did not feel that the long-term benefits of climate-smart agriculture were worth the additional investment and, therefore, continued using traditional farming methods.

SPREP had mixed results with behavior change that are most likely reflective of the amount of follow-up activities and staff presence in their field sites. In Kiribati, behavior change was not observed, and communities did not maintain any of the infrastructure or water quality materials provided to them. In Solomon Islands, however, Sasamunga community members had ongoing support from IP staff and were very committed to continuing watershed management and shoreline protection.

Climate resilient behavior change for community-based activities promoted by PACAM, SPC, and SPREP are very difficult to achieve at scale. Nevertheless, the success of PACAM communities in Solomon Islands and PNG as well as that of SPREP in Solomon Islands demonstrates that gender-inclusive activities, sustained community presence, and more intensive capacity building can lead to positive behavior change

outcomes.

**Figure 10: FGD and KII responses – Examples of capacity building**



USAID GCC strategy and guidelines are not clear about behavior change. Additional guidance on behavior change and articulation of behavior change as a desired outcome of GCC activities may have improved GCC activities' results and performance in this area. While evidence indicates that in general, IPs did not succeed in substantively building CCA capacity of communities, a review of programmatic documents (contractual agreements, work plans, etc.) makes it clear that the activities were not explicitly designed or mandated to carry out this work.

## RECOMMENDATIONS

- If USAID desires specific behavior change outcomes for its activities, or even the measurement of an activity's impact on behavior change, then it should clearly state the expectation or requirements in its agreements and contracts and enforce compliance with IPs.
- As mentioned in EQ 2 above, capacity building takes time and, as behavior change is a result of effective capacity building, sustained behavior change is a necessarily time-consuming process. USAID should plan for ensuring the long-term interventions directly, through its own resources, or indirectly, through well-established channels of alternate funding for community-based climate adaptation activities to achieve sustained behavior change.

## EVALUATION QUESTION 4

*To what extent do the four activities included in the evaluation contribute to the US government's overall focus on public diplomacy in the region? (CO-BENEFITS)*

## FINDINGS

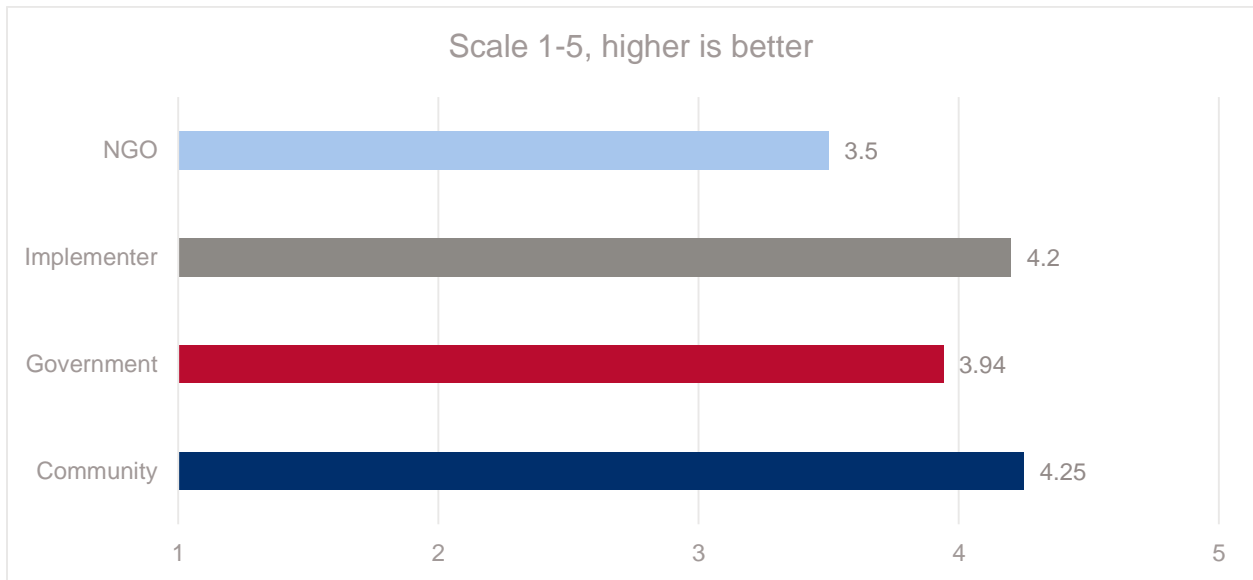
The USAID/Pacific Islands program began in 2011 amidst the US government's "pivot to Asia" during the Obama administration. The GCC portfolio is an important investment for the US government in PICs. While GCC activities aim to improve climate resilience in a very vulnerable region, the portfolio's activities were conceived, at least partly, in response to the need to support diplomatic ties in the region due to increasingly urgent and challenging climate negotiations (Annex I). All five US government key informants interviewed agreed that supporting diplomatic ties with PICs was an important goal of the GCC portfolio. The same key informants identified specific diplomatic goals, including raising the profile

of the US as a major climate donor in the region and strengthening relationships with national governments and regional actors (i.e., Council of Regional Organizations in the Pacific [CROP] agencies). The USAID April 2016 Pacific Environment Project Appraisal Document also states that “the US is enhancing and deepening its strategic engagement and leadership role to both influence, and benefit from a more prosperous, stable, and secure Asia-Pacific.”

In addition to high level diplomatic goals, the GCC activities were meant to raise the profile of USAID and the US government at the community level through branding and marking at project sites and during activities. Contract branding, marking, and packaging documents for C-CAP and PACAM were not provided to the team. However, the team assumes that USAID contracts for C-CAP and PACAM included standard branding and marking requirements. PACAM also provided each grantee with a tailored and specific branding and marking plan as an attachment to all grant agreements. As public international organizations (PIOs), SPREP and SPC were not required to brand or mark their USAID-funded activities and deliverables.

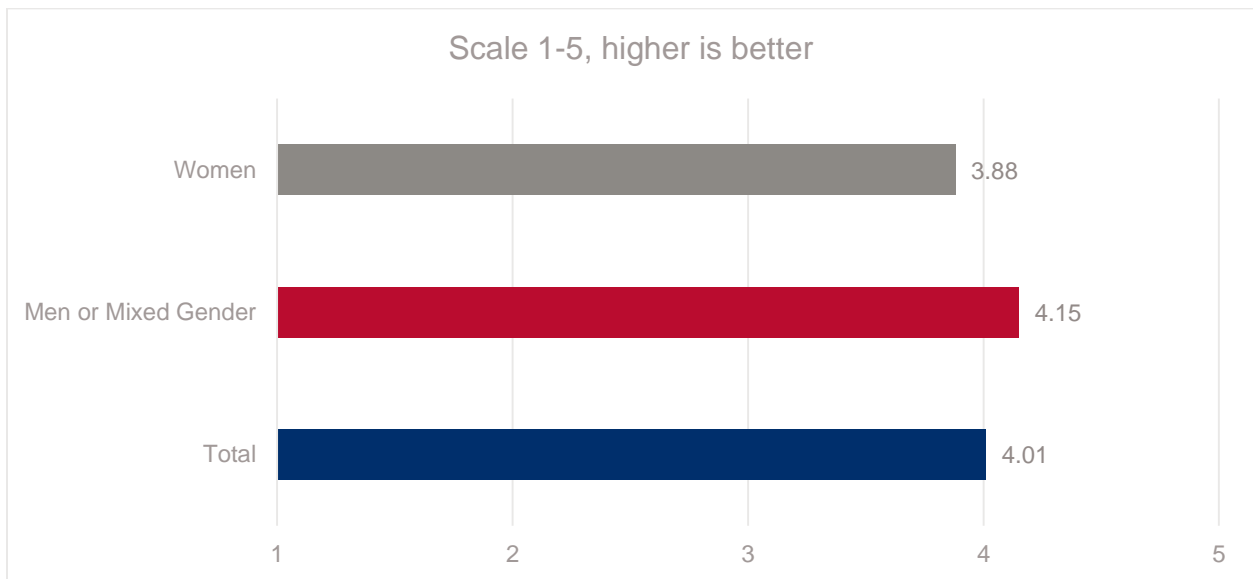
In all five US government KIIs, respondents agreed that improving diplomatic ties with regional and national stakeholders in the Pacific Small Island Developing States was an important goal of the GCC portfolio. All five US government respondents also believed that the portfolio improved global climate negotiations, especially with the Alliance of Small Island States. One respondent said “GCC has gone a long way in building political currency with the Pacific Island states. There have been big diplomatic gains.” Another informant remarked that “climate change is front and center for the region, and these projects helped to pave the way for the Paris and the UN Framework Convention on Climate Change talks. The projects have made a good reputation for the US, and they are one of the big talking points when we attend regional climate meetings.” National and local government respondents also had a high opinion of the GCC contributions; Pacific government-level key informants ranked their opinion of the “effectiveness of portfolio activities in contributing to US public diplomacy objectives” a 3.94/5 (Figure 11). In particular, US government respondents were impressed with C-CAP’s branding and marking and appreciated the opportunity for ribbon-cuttings and other photo opportunities provided by inaugurating small infrastructure investments. Two respondents remarked that in Fiji, Kiribati, and Tuvalu, “The projects have made a good reputation for the US, and the community-level aspect resonates well with people. We’re on equal footing with the European Union [EU] in terms of media coverage, even though we are spending so much less. C-CAP has been the most tangible project.” One US Embassy officer said that the diplomatic gains from C-CAP and PACAM were “huge, simply put.”

**Figure 11: KII responses – Program contribution to public diplomacy objectives**



At the community level, findings also demonstrated positive gains for US diplomacy objectives. FGD respondents demonstrated a positive opinion of USAID, ranking the agency at an average of 4.01 out of five (Figure 12).

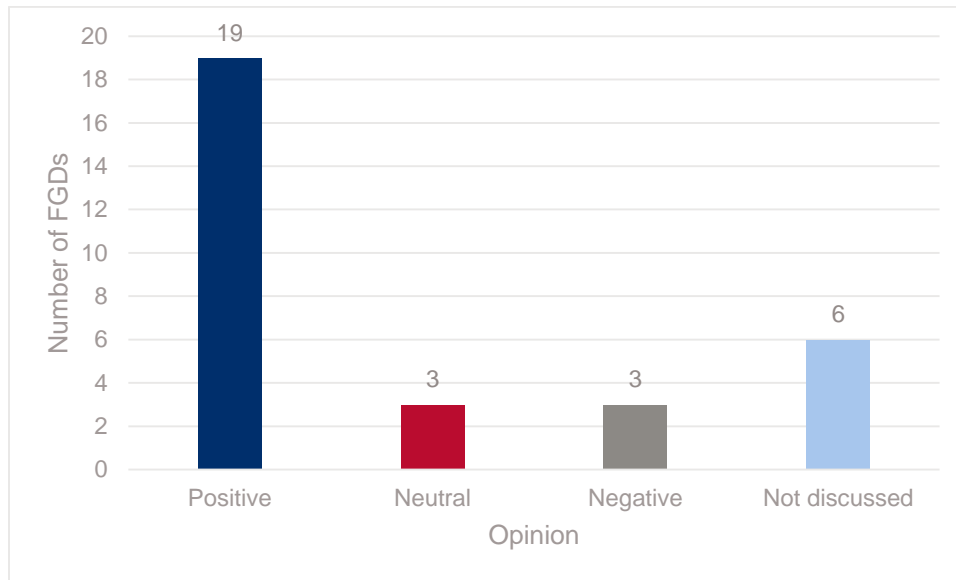
**Figure 12: FGD responses – Average opinions of USAID**



Furthermore, in 76 percent of FGDs during which USAID was discussed, respondents had a positive opinion of the agency (Figure 13).



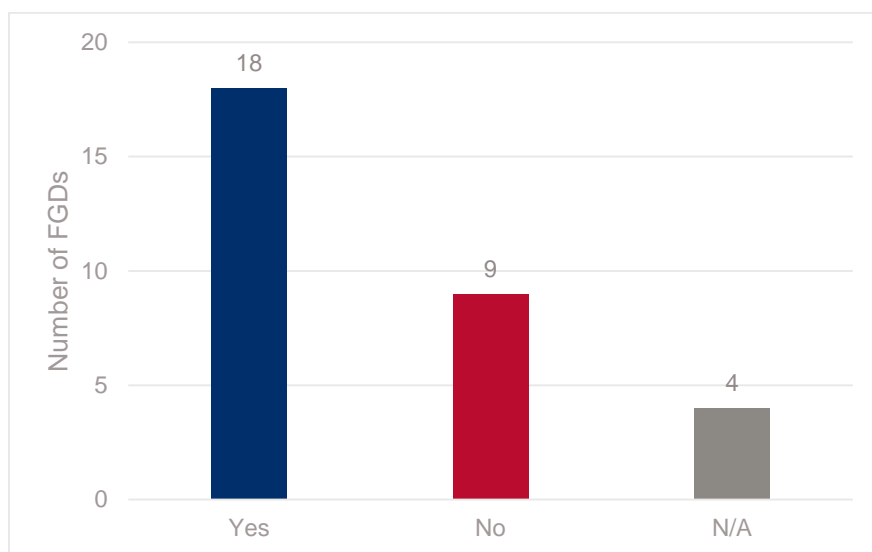
**Figure 13: FGD responses – Opinions of USAID**



Despite gains in achieving public diplomacy objectives, findings also indicated some areas for improvement. For example, while national governments were generally satisfied with an increased US government presence and thereby more climate and development funding in their countries, four of seven national government respondents were unhappy that funding was not channeled to direct budget support. One respondent said, “USAID funding is not transparent; since the US only works through contractors, it is not clear to us how much of the money they have committed is actually being spent on our people, rather than paying for flights and hotels for project staff to fly all over the Pacific.” Another three national government respondents felt that their offices were not sufficiently consulted on the activities; one respondent said, “I never even knew C-CAP was working here until a contractor who was bidding on a job for them came to me to ask for help. How can we help USAID do a good job if they do not even tell us that they are here? These projects will be left with us when [the implementers] are gone, and if they do not do a good job of involving us from the beginning, they will have no sustainability.” Five of nine local-level government officials also felt that they were not adequately consulted, some of whom were not even aware that there were projects in their provinces or communities. One provincial administrator expressed surprise that C-CAP installed RWHTs in his province, though USAID confirmed that they had met with someone in his office.

Furthermore, although community members showed a high opinion of the sponsor of their activities, only 66.7 percent of them recognized USAID as the donor of their specific USAID-funded intervention (Figure 14). While branding was very good at C-CAP and SPREP sites, it was poor in others. Specifically, two PACAM grantees admitted that they were weak on branding and did not do sufficient marking. In particular, the team found no evidence of branding at NRDF sites. The team also found no evidence of USAID signage at any of the SPC sites. It is important to note that branding and marking was not required for the SPC or SPREP activities.

**Figure 14: FGD responses – Recognizing USAID as donor**



Related to branding, partnership programs like the CHICCHAP and KNEG on Climate Change and Disaster Risk Management, which involve multiple actors working on climate change at various levels, seem to dilute the US government profile at a local level. USAID funded these partnerships through the SPREP and SPC activities, bringing together climate change stakeholders, such as implementers, donors, beneficiaries, local government, and CSOs, to coordinate climate change initiatives on their respective islands. In Solomon Islands, the national government implemented CHICCHAP, a coordinated, cross-sectoral, and integrated approach to CCA with provincial and national governments along with the following development partners:

- GIZ,
- SPREP,
- The Pacific Community (SPC),
- UNDP,
- Ecological Solutions, and
- TNC.

In Kiribati, a regional support team made up of SPREP, SPC, and GIZ supported an initiative through the Office of Te Beretitenti (Office of the President) to create KNEG, a climate adaptation committee comprised of representatives from government ministries and the Abaiang Island Development Committee. KNEG developed and implemented a WOI approach to CCA and disaster risk management to address water scarcity and climate vulnerability in an integrated fashion across all socioeconomic sectors in Abaiang.

The team found it challenging to determine which activities were implemented in which communities, and by which donors, in Choiseul and Abaiang. Local government and community respondents were less able to differentiate between funding partners working in their area. One SPREP staff member was not even sure who had been funding the activities he was currently implementing, and a respondent in Abaiang confused SPC’s food security projects with other agriculture projects funded by the International Fund for Agricultural Development. Community members in Tabontebike, Abaiang, thought that C-CAP and GIZ staff were part of the same organization because they always came to the community together.

## CONCLUSIONS

Based on findings from fieldwork, especially key informant responses at the US and national/local

government levels, the team concludes that the GCC portfolio contributed to improved diplomacy between the US and PICs. The portfolio also likely contributed to improved climate negotiations and relationship building at the regional and international levels. However, better local and national government consultation could advance the US government's good reputation and further improve diplomatic relations. Furthermore, regional partnerships, like CHICCHAP and KNEG, represent an opportunity to build and harness relationships at the more strategic donor and national government levels.

In terms of raising the profile of the US government as a climate donor in the region, the portfolio had mixed results. Community-level activities, especially small infrastructure investments like C-CAP, lend themselves to ribbon-cuttings that garner media coverage and were the biggest opportunity for building the USAID and US government brand in the portfolio. However, weaker branding at PACAM and SPC sites diminished the potential for this. Furthermore, while the CHICCHAP and KNEG approaches have an important potential for strategic high-level relationship management, they dilute the US profile in the media and at the local level.

Overall, the GCC portfolio activities serve as a good example of win-win solutions that both achieve development outcomes and contribute to national diplomacy.

## RECOMMENDATIONS

- USAID and DOS should seek opportunities to create positive media coverage, such as that from launch ceremonies from C-CAP small-scale infrastructure.
- USAID should encourage and facilitate PACAM grantee compliance with their branding and marking plans by providing USAID logo stickers and other materials.
- USAID should use regional partnerships as a vehicle for building high-level strategic relationships with regional organizations, like CROP agencies and multilateral donors.

## EVALUATION QUESTION 5

*What is USAID's comparative advantage among donors, the private sector and civil society, and governments in climate change adaptation in the Pacific Islands? (EFFICIENCY)*

## FINDINGS

PICs are among the most vulnerable countries in the world to the impacts of climate change, a major priority for them. As such, donors in the region focus much of their funding around climate adaptation and mitigation, readiness, and education. As a result, the climate change donor space in the South Pacific is crowded, with many bilateral, multilateral, and regional agencies engaging in overlapping and complementary work.

The most important players in the climate change space in the region are the intergovernmental organizations working under CROP, known as the CROP agencies. CROP functions as a coordination mechanism between the heads of the regional organizations in the Pacific and as a high-level advisory body, which facilitates policy formulation at the national, regional, and international levels. The Pacific Islands Forum Secretariat chairs all the CROP agencies and is the main decision making body for the region. In particular, SPC and SPREP were tasked with designing the institutional architecture, strengthening institutional capacity for climate change project implementation, and coordinating and monitoring efforts to combat climate change in the region (GIZ 2010). While these institutions are the most important climate change bodies in the Pacific, they still rely heavily on donor funding. SPREP and SPC pilot community-based climate adaptation projects work closely with and build the capacity of national and local government agencies and staff. As a result, they are constrained in implementing community-based work not only by their own funding challenges but also by the limited capacity of their member countries' governments.

The team used a combination of key informant responses and internet research to determine the main climate change donors in the Pacific. As discussed with USAID during the evaluation in-brief and preliminary findings presentation, this section does not provide a thorough analysis of sector actors, needs, or gaps. Rather, the team relied on feedback about the climate change landscape from KIIs and complemented it with additional background research to build a general picture of climate funding in the Pacific. While the list below is not comprehensive and, because of limited information, lacks comparison of financial investments across donors, it provides a useful overview of climate funding in the region.

**Table 10: Major non-USAID/US government climate change funders in the South Pacific**

ORGANIZATION	BASIC DESCRIPTION OF PUBLICLY AVAILABLE INFORMATION
Australian Aid/Australian Department of Foreign Affairs and Trade	<ul style="list-style-type: none"> <li>• Largely focuses on institutional and human capacity building at the national level as well as strategy development and science-based policy analysis.</li> <li>• Likely the largest bilateral donor in the South Pacific.</li> <li>• Has a secondary focus on community-based investments, especially in the water and sanitation and small grants arenas.</li> </ul>
UN	<ul style="list-style-type: none"> <li>• UN's largest climate program in the region is the Pacific Adaptation to Climate Change program.</li> <li>• It is funded through the Global Environment Facility and implemented through the UNDP.</li> <li>• Pacific Adaptation to Climate Change piloted on-the-ground adaptation strategies across fourteen countries and is perhaps most akin to the GCC portfolio.</li> </ul>
EU	<ul style="list-style-type: none"> <li>• Funds multiple projects at the regional and national levels.</li> <li>• Its main activity in the South Pacific is the Investment Facility for the Pacific, which is not specifically focused on climate change or climate adaptation but rather seeks to target these issues through poverty reduction and economic growth.</li> <li>• Has major programs on sustainable fishing and water and sanitation, which both have activities in communities, and capacity building at the national and institutional level to prepare agencies for managing additional climate funding.</li> </ul>
New Zealand Ministry of Foreign Affairs and Trade	<ul style="list-style-type: none"> <li>• New Zealand's activities in the South Pacific are centered around flagship priorities, which include renewable energy, agriculture, resilience, and fisheries, and generally lend themselves to regional or multi-country delivery.</li> </ul>
GIZ <sup>7</sup>	<ul style="list-style-type: none"> <li>• Manages four climate change projects in the Pacific, all focused on institutional capacity building at the CROP agency, national, or subnational levels.</li> <li>• USAID partnered with GIZ to implement components of CHICCHAP and KNEG.</li> </ul>
Japan International Cooperation Agency	<ul style="list-style-type: none"> <li>• Committed substantial funding to the Pacific for a number of priority areas.</li> <li>• Most of its climate change funding is focused in PNG and Solomon Islands, and is concentrated on disaster risk management and eco-technological research.</li> </ul>
Asian Development Bank	<ul style="list-style-type: none"> <li>• Has worked on climate change in the Pacific since 1992.</li> <li>• Conducted a wide range of activities at various levels of engagement but focuses on work with multilateral and bilateral partners to mobilize and channel international climate financing.</li> </ul>

As detailed in Table 10 above, few bilateral, multilateral, or regional organizations invest in community-based climate adaptation. The EU and UN are the only donors that have substantial community-based

<sup>7</sup> Key informants noted that some GIZ work occurred at the community level, but the team could not substantiate this through internet research or documentation.

climate adaptation activities, and both have narrow focuses; the EU works in water and sanitation, and the UN's Pacific Adaptation to Climate Change program focuses on piloting coastal zone management, food security, food production, and water resources management. In general, local-level work is undertaken by CSOs and NGOs, which have greater flexibility and a comparative advantage in reaching remote locations. They are smaller, more mobile, and are often staffed with nationals who have a stronger understanding of local contexts. While civil society capacity is low, it has improved, and the network of organizations has expanded (GIZ 2010).

Key informants were asked to compare USAID to other donors in the Pacific within this complex web of climate activities and actors. In particular, the team focused on this question with USAID staff as well as local stakeholders at the national and regional levels. IPs also commented on this to the extent possible. Not all key informants were able to provide data on this question, as they were not all familiar with the donor landscape. In about 12 out of 40 KIs, respondents provided substantial information on this topic. After analyzing responses across participants, some themes emerged:

- **USAID IS ONE OF VERY FEW DONORS FOCUSED ON COMMUNITY-BASED CLIMATE ADAPTATION.** In six KIs, respondents pointed out that USAID is filling a gap in the donor landscape. This was confirmed by online research on climate change projects in the region. As noted above, only the EU and UN have significant community-based climate-based adaptation programs, but both are narrowly focused. Most donors are currently investing in institutional capacity and high-level research. Community-based projects are often a secondary consideration or are omitted altogether. One key informant remarked, "The ministry actors are asking, 'why is USAID leaving communities?' Community-level work is what is currently lacking and needed. National-level actors are often political appointments, but the subnational and local levels have more continuity and potential for sustainability." A US government official stated that "currently, there are a lot of donors in national- and regional-level climate work, but governments have very limited capacity; we may overwhelm countries with all of these resources if they are not spread around to other actors," and another said that "there will be a gap in community-based work in the absence of C-CAP and PACAM." One donor official noted that it would be "a pity" if USAID did not continue its community-based CCA work. He also said that the regional and national policy and capacity building space "is crowded, yes. But the needs are great, and it is not a problem in terms of space, as long as they work together with a collaborative approach."
- **USAID IS "ACTUALLY GETTING THE WORK DONE."** In nine out of 12 KIs where data was collected on USAID's comparative advantage, respondents commented on the efficiency and effectiveness of USAID program implementation compared to other donors. In particular, technical expertise and commitment to "making good on promises" arose as strengths. One informant was adamant that "USAID programs show Pacific countries that [the US] puts [its] money where [its] mouth is. USAID has the capacity and the people who can actually do the work. They can make things happen in a way that multilaterals cannot. USAID has more, and better, technical expertise." A national government staff member also stated that "The US is a comparatively easy donor to work with because they are much more straightforward than others. We consider them an 'honest broker' in the region. They make a promise and they deliver."

## CONCLUSIONS

Within the broader context of climate funding in the Pacific and with an understanding of the USAID/Pacific GCC portfolio activities' design and implementation, the team concludes that USAID has two comparative advantages:

- **COMMUNITY-LEVEL CLIMATE ADAPTATION FUNDING:** The US is one of the only donors working in the community-based climate adaptation space in the Pacific. It is also the only funder with a broad focus on CCA, implementing activities that cut across many sectors. As

previously described, subnational and national capacity building is important and complementary to community-based initiatives. However, communities are already facing climate impacts and cannot afford to wait until their governments have the technical and financial capacity to conduct adaptation without international assistance. If USAID declines to continue funding community work, it would leave a gap at a level where immediate action is needed.

- **ENGAGEMENT AND HIGH CAPACITY OF USAID STAFF:** This comparative advantage highlights the high praise that was reported from beneficiaries, grantees, local and national government, and regional agencies. Success with implementing GCC portfolio activities contributed to improved partnerships with Pacific climate change actors and increased the profile of USAID in the region. Generally, USAID has a reputation as a “good faith” partner, in large part because of committed, high capacity agency staff and IPs, as well as impressive and tangible project implementation. It is likely that these achievements will contribute to the US’ diplomacy goals in the region and enable good working relationships with regional government counterparts.

Furthermore, although USAID has a limited number of on-the-ground staff who support the GCC portfolio, through PACAM, USAID established a network of 24 NGOs and CSOs with institutional capacity for managing community-based climate adaptation projects that is not evident among other donors or implementers. Specifically, PACAM’s intensive capacity building component created systems within grantee organizations that improve compliance with USAID quality standards and enable improved implementation. Some of these systems include monitoring and evaluation, gender action plan development and tracking, and improved financial management (EQ I Findings and Conclusions). To abandon community-based climate activities altogether would be a missed opportunity to make full use of the significant resources already invested in building local level institutional capacity.

## RECOMMENDATIONS

- USAID should continue to fund CSO-implemented community-based climate adaptation activities in the Pacific region and should continue its work in building the capacity of NGOs and CSOs. As part of its ongoing program, USAID should proactively facilitate NGOs and CSOs to access other donor funding and link them with subnational government agencies.
- USAID should invest in building subnational capacity in sync with the national capacity and readiness activities that are already underway through other GCC activities, including the ISACC agreement and Climate Ready, to ensure greater sustainability of community-based work.
- USAID should continue coordination with other donors and implementers in the region to ensure that national and regional level investments are complementary and collaborative, and to avoid duplication of efforts.

## EVALUATION QUESTION 6

*How effective was the portfolio in addressing relevant gender issues? (GENDER EQUALITY)*

## FINDINGS

Gender concerns are especially relevant in the PICs. Gender disparities are persistent in the region, and closing the gender gap is still an important goal in achieving inclusive development and improving effectiveness. According to the World Bank, women in Pacific countries “have a weaker voice and less influence than men, whether in household decision making, in the private sector, in civil society, or in politics,” and “women still have less access than men to a range of productive assets and services.” Most women in the PICs experience some sort of controlling behavior by their partners, and the prevalence of domestic and gender-based violence is the highest in the world, with 60–70 percent of women experiencing some form of physical or sexual violence at the hands of an intimate partner. These forms of violence are representative of extreme deprivation of voice and freedom among women and are indicative of a lack of agency in other dimensions (World Bank 2012).

Furthermore, as primary caregivers, household managers, and often as farmers and gardeners, women are disproportionately affected by climate change. Unequal access to resources and decision-making processes makes them more vulnerable to climate impacts (UN WomenWatch, 2009). For example, respondents in seven communities in PNG and Solomon Islands reported that drought conditions were especially difficult for women, who have to walk farther to fetch water for drinking and cooking. Additionally, one community in Kiribati reported that when children or parents get sick from drinking brackish water or walking in flooded areas, the burden is on women to travel to far-away clinics or pharmacies for medicine.

Given the challenging context, it was especially important for the GCC portfolio activities to implement gender-conscious programming that was inclusive and appropriate to the cultural context. It was also an opportunity to increase the likelihood of improving project impacts by targeting beneficiaries who were most likely to see positive outcomes from GCC investments. Furthermore, increasing the spread of community engagement to more stakeholders could build buy-in and improve sustainability. For C-CAP, gender and youth inclusion was expressly noted as a requirement within the contract's original SOW. However, the language in the SOW and monitoring and evaluation data is vague—only requiring the collection of gender-disaggregated data, the completion of “gender responsive consultation,” and the provision of gender awareness training for C-CAP staff. Gender inclusion was expressly delineated in PACAM's SOW, with one of the project's main goals being “to provide and monitor gender-responsive CCA programs.” PACAM also required its grantees to complete gender action plans in line with USAID policies. Table II provides a clear picture of each activity's gender requirements and accomplishments.



**Table 11: Specific contractual language regarding gender**

GCC ACTIVITY	CONTRACTUAL REQUIREMENTS	EVIDENCE OF COMPLIANCE
C-CAP	<ul style="list-style-type: none"> <li>Conduct training for the project staff, partners, and cooperators on gender awareness, gender analysis, and gender-responsive planning.</li> <li>Collect sex-disaggregated data for baselines and monitoring of all people-level indicators and use gender analysis tools to identify potential gender gaps and constraints.</li> <li>Conduct gender-responsive consultations to encourage the active participation of women and ensure that the voices of women are heard and reflected in project plans and activities.</li> </ul>	<ul style="list-style-type: none"> <li>C-CAP conducted two gender trainings for staff in 2013 and 2015.</li> <li>C-CAP collected sex-disaggregated data, although quarterly reports did not have gender sections or report on gender integration.</li> <li>C-CAP has data to show that women attended consultations (including pictures of consultation meetings and sign-in sheets), but focus group respondents almost uniformly reported that women had very little participation in decision-making (see below).</li> </ul>
PACAM	<ul style="list-style-type: none"> <li>A Gender Action Plan must be prepared, including collection of sex-disaggregated data, monitoring of all people-level indicators, and use of gender analysis tools to identify potential gender gaps and constraints.</li> </ul>	<ul style="list-style-type: none"> <li>Gender Action Plan was completed, sex-disaggregated data was collected, and monitoring of progress against plan was reported in quarterly and annual reports.</li> <li>PACAM grantees had to include gender sections in all grant applications, collect gender baseline data, and include and enforce Gender Action Plans as a milestone within their grant agreements.</li> </ul>
SPC	<ul style="list-style-type: none"> <li>No requirements</li> </ul>	<ul style="list-style-type: none"> <li>Institutional training on gender and climate change</li> <li>Conducted a Gender Impact Assessment and provided lessons learned on gender in final report</li> <li>Collected gender-disaggregated data on training. No targets are provided. However, only 15–33 percent of trainees were women across monitoring reports.</li> </ul>
SPREP	<ul style="list-style-type: none"> <li>No requirements</li> <li>Logical framework indicated that capacity building would be gender disaggregated.</li> </ul>	<ul style="list-style-type: none"> <li>No evidence of gender integration</li> <li>Reports do not consistently include gender disaggregated data or gender sections.</li> </ul>

SPC and SPREP grant agreements did not include requirements or specific activities for gender inclusion or gender-disaggregated monitoring in their agreements. The new SPC agreement, ISACC, has both and requires a gender action plan.

At the institutional level, it appears that C-CAP and PACAM complied with their contractual requirements (Table 11). C-CAP held gender training for its staff and collected gender-disaggregated monitoring data. PACAM worked closely with grantees to ensure adequate gender action plans and reported on progress on gender objectives in quarterly reports, adjusting programming when needed. SPC documentation confirms that an institution-level training was held on gender and climate change.

At the community and implementation level, however, while there were a few positive examples of women’s inclusion in project activities and decision-making, the team found insufficient gender integration in most of the GCC investment activities. For example, only 10 of 32 FGDs respondents recalled positive examples of gender inclusion. Furthermore, C-CAP annual reports confirm that disaggregated data from

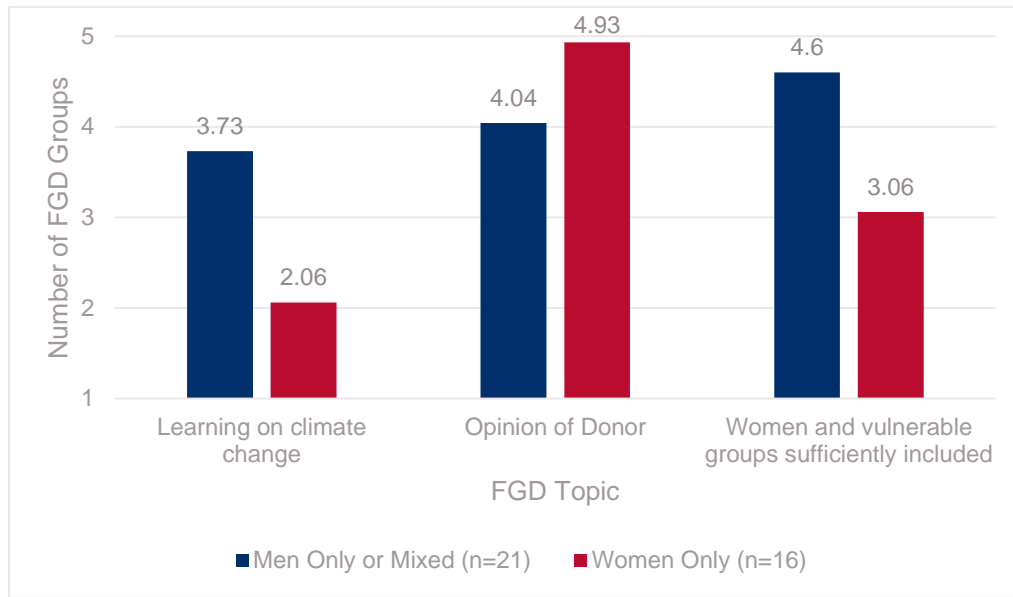
stakeholder participation in workshops—including risk mapping, infrastructure prioritization, and DRR planning activities—shows a ratio of 58 percent men to 42 percent women. It is clear that C-CAP staff and social mobilizers made a significant effort to ensure adequate representation: workshop facilitators were required to conduct gendered breakout groups. However, communities that received C-CAP investments responded overwhelmingly that there were negative or mixed successes with women’s incorporation and participation. Only one of 17 C-CAP community FGDs had a positive example of women’s inclusion in C-CAP activities. Furthermore, none of the SPC or SPREP activities in Abaiang implemented measures to ensure gender balance or women’s attendance at trainings. In fact, one respondent who was very familiar with SPREP in Abaiang said, “The water pump trainings were actually targeted at men. Women were not prevented from coming, but they were not specifically invited. In the future, I think gender integration could really improve.” SPREP staff confirmed that women were invited but that they were unlikely to participate.

The main complaint from women in beneficiary communities across all four projects was the lack of incorporation in the consultation process. One respondent in Fiji said, “it is like we call out into the air and no one hears us.” In one women’s FGD in Solomon Islands, the team was told that “when a project comes to the village in the name of the community, women are not allowed to be involved.”

IPs attributed the lack of gender-focused activities to the complexity of working within cultural norms and funding constraints. One key informant said, “Gender was not even considered in the design phase of the project, so there was no budget for it. We barely had enough time and money to finish the activities we had actually planned; there was no way we would have been able to add in a gender component.” The team found no evidence of detailed gender requirements in this IP’s agreements, work plans, or monitoring reports. Another IP staff noted that in Kiribati, only community elders, who are all men, can make community-level decisions. In his experience, women never had any say in the final decisions about how project activities were prioritized or implemented, and he was unable to describe what IP staff had done to address this challenge. A third IP noted that her project hosted several trainings where women were not invited, saying, “We had to make sure that we respected cultural norms. We did not want the communities to tell us to leave.”

Additionally, women-only FGD participants gave significantly lower responses on learning and gender inclusion in project activities (Figure 15). Women-only groups had negative opinions on whether they learned any new information about climate change (2.06 out of five) and neutral opinions on whether women and vulnerable groups (3.06 out of five) were sufficiently incorporated in the projects in their communities. These scores were lower than responses from men-only or mixed gender FGDs, where women were less likely to speak openly. In addition, key informants, including IPs and government counterparts, were only slightly positive on the effectiveness of gender inclusion, rating this as a 3.5 out of five during interviews.

**Figure 15: FGD responses – Gender disaggregation**



Despite the negative findings on gender inclusion and assertions from IPs and stakeholders to the contrary, there were a few bright examples throughout the project activities that confirm the possibility of conducting gender-conscious programming in the Pacific. Most of these (all except one) came from PACAM grantees. For example, NRDF, a PACAM grantee in Solomon Islands, worked with a consultant to improve gender inclusivity in its honey farming activities. Together, they designed a savings club activity, very similar to a village savings and loans program, where women deposit savings in a community box at regular intervals. In NRDF's nine honey farming communities, women managed to save over \$13,000 in the past year and universally reported that they improved climate resilience because of increased household savings. ChildFund's climate resilient agriculture project in Rigo, PNG, was also gender-inclusive. ChildFund staff enforced gender balance in consultation meetings, gardening trainings, and the selection of climate change champions (Figure 16). In every ChildFund community visited, the team observed functional backyard gardens managed by women. Furthermore, female beneficiaries reported improvements in family access to nutritious foods, improved knowledge of climate change impacts, and increased income from sales of surplus vegetables. These examples demonstrate that it is possible to conduct gender-responsive program consultation and implementation within the culturally complex context in the South Pacific.

In every ChildFund community visited, the team observed functional backyard gardens being managed by women. Furthermore, female beneficiaries reported improvements in family access to nutritious foods, improved knowledge of climate change impacts, and increased income from sales of surplus vegetables.

**Figure 16: ChildFund gender findings**

Interestingly, women-only FGD participants had a significantly higher opinion of USAID than men-only or mixed gender FGD respondents (Figure 15). The exact cause of this cannot be definitively determined, but data from site visits suggests that this is likely because women generally benefitted from project activities more than men. For example, respondents confirmed that C-CAP investments in floodgates in Fiji enabled women to establish small gardens near their homes where they are able to manage them while also accomplishing home duties and have contributed to a reduction in water-borne diseases among children. C-CAP water tanks in PNG significantly shortened the distance women must walk to fetch water for their cooking and drinking.

Vulnerable people, including the disabled, elderly, children, and the poor, are also differentially affected by



**Figure 17: Women farmers in Rigo**

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redesigned a home gardening activity to ensure that disabled persons would not have to walk as far to tend their plants. Additionally, the C-CAP DRR training included specific measures for disabled persons during disasters, but the training was not practiced or applied consistently across field sites (EQ I Findings and Conclusions for more details).

## CONCLUSIONS

Based on the findings, it is clear that gender was not integrated consistently across the four GCC investments, despite the 2012 publication of USAID’s Gender Equality and Female Empowerment Policy and USAID’s confirmation that the policy applies to all community-based activities in the Pacific. This likely led to the differential application of gender-responsive and gender-specific project components. The SPC and SPREP agreements were signed in September of 2011, and their status as PIOs contributed to the lack of gender considerations in their agreements and poor gender inclusion in implementation. Given that these contracts originated through the DOS, they did not include standard USAID gender requirements. As such, USAID had little leverage over these IPs with regards to improving their gender programming.

However, PACAM and C-CAP were subject to the Gender Policy and both had standard USAID gender requirements in their contracts. While C-CAP made legitimate efforts to enforce gender balance during the consultation phase, field data demonstrate that full gender participation was not achieved. PACAM grantees were the highest performers in terms of gender integration and demonstrated enough positive examples of women’s participation to prove that gender-conscious programming is possible in the complex cultural environment of the PICs.

Implementation in the South Pacific is costly and time-consuming, and IP respondents almost uniformly confirmed that merely completing contractual requirements was challenging because of the complexity of working across 12 countries in remote locations. Therefore, if specific gender objectives were not expressly required and funded in an activity’s SOW and Work Plan, the likelihood of achieving high quality gender-responsive programming was diminished. Consequently, the GCC portfolio missed an opportunity to increase the likelihood of achieving positive activity outcomes. If gender was better incorporated into the consultation and implementation phases, the activities might have had a higher chance of achieving buy-in and ownership from community members and, hence, better long-term sustainability. Additionally, improved consultation with women and vulnerable people could have improved program design. Findings suggested that women were more impacted by project activities, so they likely had better information on how to most effectively implement programs within their communities. For example, in one community in Fiji, female respondents said they were not included in a needs mapping activity and would have prioritized different activities than the ones that were ultimately chosen without their input.

climate change. While not expressly denoted as contract deliverables in any of the four GCC investments, findings from field visits indicate that, overall, these groups were largely excluded from portfolio activities at the community level. In one instance, a community leader said, “The disabled people requested that we build the project near them so that they could access it more easily, but I rejected their request. Normal human beings can fetch water and food for them, so why should we move it closer?” In another case, a woman noted that “if you do not go to the same church as [the community leader], he will not choose you to go for training, and you cannot get any seeds. You have to be part of his church, and you have to be able to read.” One positive example of the inclusion of vulnerable people came from a PACAM grantee, CARE PNG, who

Finally, there were enough positive examples of gender incorporation to show that it is indeed possible to be gender-sensitive when implementing climate change activities in the South Pacific. The projects with specific gender components were well received by communities and showed promise in achieving sustainability. In six out of 13 women’s FGDs, women requested gender-specific project components that were specifically targeted at and for women, without being prompted. As one respondent in PNG astutely noted, “We women need to stand up for our own rights. Who else is going to take care of us?”

Ensuring clear guidance and instituting specific gender requirements on climate change programming will be important for improving future community-based programs in the Pacific Islands

## RECOMMENDATIONS

- USAID should ensure that all future USAID-funded activities mainstream gender equity. In particular, gender should be mainstreamed in activity design, including explicit participation targets and gender-specific outcomes within monitoring and evaluation requirements. Furthermore, all future activities should be designed and staffed with gender specialists who have an understanding of the local context supporting design and implementation.
- All implementers should ensure that they conduct women-only meetings during the consultation phase of any new projects and that women are fully and demonstrably included in decision-making processes. Gender integration should be conducted in a way that is culturally appropriate within the Pacific context.
- It should be considered best practice to devise a gender component for all new community-based climate change projects in the Pacific. Specifically, every new USAID-funded activity should be designed with components led by women and in which women are the main participants, where feasible.

# USAID/PACIFIC ISLANDS GCC PORTFOLIO PERFORMANCE SUMMARY

In this section, the team summarizes the portfolio performance in terms of the three evaluation purposes: 1) overall performance, and 2) design of next-generation GCC activities in the Pacific.

## OVERALL PERFORMANCE

The GCC portfolio grew organically, coming to fruition in 2011 during a period of increasing focus on Asia. The portfolio demonstrated the US commitment to addressing global climate change impacts and the increasingly urgent needs of PICs on coastal climate adaptation. While the portfolio was built around a basic results framework, it did not benefit from standard USAID operating unit strategic elements because of the special administrative status of USAID/Pacific Islands. The four activities individually had positive qualities. However, common tools and approaches, such as corresponding site selection or partner selection, were not implemented across the activities. Therefore, they did not achieve synergies. Furthermore, individual community-level interventions were spread thinly across the region, and portfolio activities struggled with daunting logistical challenges in a geographically isolated region that is characterized by great disparities in income, culture, governance, and adaptive capacity.

Nonetheless, there were significant successes throughout the portfolio:

- C-CAP small-scale, climate resilient infrastructure was serving as intended in all 11 C-CAP supported communities the team visited.
- PACAM grants were increasing the capacity of CSOs and NGOs to implement community-based CCA projects, and the community beneficiaries demonstrated sustained climate adaptation behavior change.
- CHICCHAP and the WOI/KNEG approach, implemented by SPREP and SPC, improved coordination among donors, implementers, and local stakeholders, and improved development effectiveness in Solomon Islands and Kiribati.

But the portfolio was not without weaknesses:

- C-CAP's capacity building for DRR did not succeed in eight of 11 visited communities. Furthermore, in nine of 11 communities, there was no organizational capacity to manage or maintain C-CAP infrastructure.
- PACAM grantees struggled to keep up with reporting requirements and, with only between 18 and 36 months' project durations, they were not able to scale beyond serving a limited number of communities per grantee. The hypothesis that they will be better able to secure future funding remains undemonstrated because the activity is still in the implementation phase.
- SPC and SPREP were unfamiliar with USAID development programming practices when their grants were signed in September 2011. Their unfamiliarity with USAID processes delayed their start for months, and their approach of working through national and local governments did not lend itself to positive community-based outcomes in a limited-term project context.

## DESIGN OF NEXT-GENERATION GCC ACTIVITIES IN THE PACIFIC

USAID has already embarked on a new round of project activities, both of which are aimed at building the capacity of governments to receive support from the Green Climate Fund and other multilateral and bilateral donors. While there are numerous donors and other agencies conducting readiness-related activities, and complementary and collaborative USAID support will be welcomed, as the need is great, the team found that many national offices are close to reaching their capacity to effectively partner with donors. The team also found that the need for additional capacity building is greatest at the subnational level, which currently lacks technical and financial resources to build on the community-based climate

adaptation work already completed by USAID and its IPs. The team recommends that USAID's ISACC and Climate Ready projects focus on this unserved group.

The team found that USAID's comparative advantage in the donor community was its ability to effectively work with CSOs and that the organization is one of the only donors focused on community-based CCA activities. Under PACAM, CSOs demonstrated greater success in building community CCA capacity and introducing good practices and a higher likelihood of sustainable behavior change. PACAM is scheduled to end in September 2018. The team recommends that USAID design a next-generation activity to replace or follow-on to PACAM that also focuses on achieving community climate resilience.

The team also recommends that future USAID activities be designed with longer periods of performance—five years if feasible and appropriate—and that resources are designated to implement follow-up training and spot checks in its field sites. This will ensure that long-lasting sustainable behavior change and adaptation is achieved.



# ANNEXES<sup>8</sup>

## ANNEX I: EVALUATION STATEMENT OF WORK

### SECTION C-STATEMENT OF WORK

#### Performance Evaluation of USAID/Pacific Islands Global Climate Change Portfolio

##### I. PURPOSE OF THE EVALUATION

The Contractor shall evaluate the overall performance of USAID/Pacific Islands' community-based Global Climate Change (GCC) portfolio. The portfolio consists of ongoing and completed community-based climate change activities that USAID has implemented since re-starting its operations in the Pacific in 2011.

Evaluation findings will be used to ascertain the extent to which the portfolio has increased the awareness and understanding of key stakeholders of US Government (USG) efforts to address climate change issues and priorities of Pacific Island countries (PICs). These will also inform the GCC portfolio's current and future contributions to meeting the overall USG public diplomacy objectives in the region. Results of the evaluation will be shared with the USAID/Philippines Mission and other stakeholders, e.g., partner governments, civil societies, and other donors.

##### II. PROGRAM INFORMATION

**Table 12: USAID/Pacific Islands global climate change mechanisms, 2011–2016**

Items	Activity Name	Contractor/Grantee	Contract #	TEC (in USD)	Life of Project	Active Geographic Regions	Mission DO
1*	Vegetation & Land Cover Mapping & Improving Food Security	Secretariat of the Pacific Community (SPq)	AID-ASIA-IO-11-00001	4,000,000	September 2011 - February 2016	Fiji, Kiribati, Samoa, Solomon Islands, Tonga and Vanuatu	I
2*	Climate Change Adaptation Program	Secretariat of the Pacific Regional Environment Programme (SPREP)	AID-ASIA-IO-11-00002	2,000,000	September 2011 - February 2016	Solomon Islands, Kiribati	I
3*	Coastal Community Adaptation Project (C-CAP)	Development Alternatives, Inc. (DAI)	AID-492-C-12-00010	23,674,578	October 2012 - September 2017	Fiji, Kiribati, PNG, Nauru, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu	I
4*	Pacific-American Climate Fund (PACAM)	Partners for Global Research and Development	AID-492-C-13-00017	23,991,293	October 2013 - October 2018	Pacific Regional	I

<sup>8</sup> Annexes with specific names have been deleted to protect anonymity of respondents.

Items	Activity Name	Contractor/ Grantee	Contract #	TEC (in USD)	Life of Project/ t/	Active Geographic Regions	Mission DO
5	Choiseul Integrated Climate Change Programme (CHICHAP)	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ)	879-GIZ-14-001	1,000,000	March 2014 - March 2017	Solomon Islands	I
6	Mangrove Rehabilitation for Sustainability-Managed, Healthy Forests (MARSH)	International Union for the Conservation of Nature and Natural Resources (IUCN)	492-A-12-00010	3,701,000	October 2012 - September 2015	PNG	I
7	Pacific Islands Renewable Energy Technical and Vocational Educational and Training Project (VOCTEC)	Arizona State University (ASU)	492-LA-12-00002	1,393,532	August 2012 - January 2015	Pacific Regional	I
8	US Peace Corps Small Project Assistance (SPA) for Adaptation	US Peace Corps	AID-PPL-T-12-00002	3,090,000	October 2012 - September 2020	Federated States of Micronesia, Fiji, Samoa, Tonga, Vanuatu	I
9	Kiribati Solid Waste Management Initiative	New Zealand Ministry of Foreign Affairs and Trade	492-NZGA-12-001	500,000	June 2012 - June 2015	Kiribati	I
10	Pacific Adaptation to Climate Change	National Oceanic and Atmospheric Administration (NOAA)	AEG-T-00-07-0005	2,000,000	September 2012 - September 2014	Pacific Regional	I
11*	Institutional Strengthening in PICs to Adapt to Climate Change (GSACC)	Secretariat of the Pacific Community (SPC)	AID-492-10-15-00004	5,000,000	September 2015 - September 2020	Pacific Regional	I
<b>Total (#1,2,3,4,11) Grand Total</b>				<b>58,665,871 70,350,403</b>			
*Activity included in performance evaluation							

### III. BACKGROUND

The GCC performance evaluation will cover five activities being supported in the Pacific Islands region

by USAID/Philippines:

1. Vegetation & Land Cover Mapping & Improving Food Security (SPC)
2. Climate Change Adaptation Program (SPREP)
3. Coastal Community Adaptation Project (C-CAP)
4. Pacific-American Climate Fund (PACAM)
5. Institutional Strengthening in Pacific Island Countries to Adapt to Climate Change (ISACC)

While the portfolio has included 11 GCC activities active since USAID re-engaged in the region in 2011 (Table 12), the performance evaluation will only focus on the five largest activities. Additionally, it will focus on activities in only four countries, namely: PNG (PNG), Fiji, Kiribati, and the Solomon Islands.

### Primary activities

The USAID/Pacific Islands climate change portfolio has included activities on climate change mitigation, clean energy and adaptation. Under Intermediate Result 1.1 "Resilience in Communities Strengthened," USAID has been supporting activities that increase the resilience of Pacific Islanders, their communities, and livelihoods through investments in adaptation assistance. The five longest running and most substantive climate change adaptation activities to date are the following:

- The Secretariat of the Pacific Community's (SPC) **Vegetation & Land Cover Mapping & Improving Food Security** activity strengthens food security among farming communities by: (1) building scientific and technical capacity to apply Geographic Information Systems (GIS) in land use, forestry and soil- mapping techniques; and (2) implementing innovative techniques and management approaches to increase the climate resilience of terrestrial food production systems.
- The Secretariat of the Regional Environment Programme's (SPREP) **Climate Change Adaptation Program** activity (1) improves the resilience of Kiribati's outer island communities by increasing their capacity for rainwater harvesting and storage, and enhancing existing groundwater wells; and (2) promotes healthy ecosystems in the Solomon Islands that can form natural barriers against extreme weather events by building capacity for ecosystem-based adaptation.
- The **Coastal Community Adaptation Project (C-CAP)** builds the resilience of vulnerable coastal communities in the Pacific region to withstand more intense and frequent weather events and ecosystem degradation in the short-term, and sea level rise in the long-term. It rehabilitates or constructs new, small-scale community infrastructure and builds capacity for community engagement for disaster prevention and preparedness.
- The **Pacific-American Climate Fund (PACAM)** provides grants to civil society organizations (CSOs) for projects that help communities adapt to the impacts of climate change. At the same time, these grants are expected to generate additional benefits for communities, such as improved livelihoods, health, food and water security, and better governance. Resources for managerial and financial capacity- building will also be provided to CSO grantees to ensure sustainability of efforts.
- SPC's **Institutional Strengthening in Pacific Island countries to Adapt to Climate Change (ISACC)** activity strengthens the national institutional capacity of Pacific Island countries to effectively plan, coordinate and respond to the adverse impacts of climate change. The activity focuses on three key result areas: (1) integrated institutional frameworks and national capacity strengthened to support multi-sectoral approaches to climate change and disaster risks; (2) access to new climate change finance enhanced through improved capacity, systems and tools; and, (3) regional cooperation and coordination strengthened through augmented national capacity and shared learning to support Pacific Island countries

address climate and disaster risks.

## **Challenges and Lessons Learned**

Implementing development programs in the Pacific Islands region is extremely challenging. The 12 PICs are spread out over a vast area of the Pacific Ocean that is equal to the African continent. Transportation is difficult because flights are limited, and travel between each country routinely requires a full day or more. Infrastructure for communications and information technology is underdeveloped and often unreliable. Weak governance and technical capability among counterparts are also major constraints.

Since launching the Pacific Islands program in 2011, USAID has learned a great deal about the challenges of working in the region. The PICs have diverse cultural, demographic, operational and political conditions, which require varied and tailored implementation approaches. More than 1,000 languages are spoken and national populations range from less than 10,000 to more than seven million. In addition, the PICs vary widely in their stages of development. Each country has its own distinct set of traditional customs and institutional arrangements, and it is challenging to cater to each country's specific development needs, institutions and policies, and key actors. Compounding these challenges is the fact that USAID is implementing this program with relatively limited financial resources.

The above challenges can, at times, complicate effective project implementation across the region particularly complicated. Implementation is often delayed, and monitoring and evaluating of projects is difficult, especially in the more remote communities. In addition, community-level activities tend to increase USAID's performance and financial risk without significantly raising awareness of USG support at national levels, which is where most policy decisions are made.

Furthermore, the 2014 findings from both the Regional Inspector General's (RIG) audit of the community-level Mangrove Rehabilitation for Sustainably-Managed Healthy Forests (MARSH) project and the mid-term assessment of the Coastal Community Adaptation Project (C-CAP) noted the high cost of operating in the Pacific, as well as limited capacity, security, logistical, travel and internet challenges. The C-CAP mid-term assessment also made recommendations to increase interaction with host country counterparts in order to increase potential for sustainable results.

## **Guiding Principles**

USAID is broadening its development assistance approach for the Pacific Islands beyond the community-level to include engagement at the national and regional levels. This shift will enhance public diplomacy and better align costs with available resources. Future programming will better support US foreign policy objectives, increase policy engagement and support GCC strategies of the 12 national governments.

The following principles will guide USAID's climate change adaptation programs within the Pacific Islands portfolio:

- **Policy Alignment:** Projects will support alignment of host country policy objectives with US Foreign Policy objectives, particularly those related to climate change.
- **National Government Buy-in and Coordination:** Activities will align with the PICs' national climate change objectives to ensure strong buy-in from the appropriate national agencies, at

the policy decision-making level and the technical/ working levels.<sup>9</sup>

- **Public Diplomacy:** Projects will raise the profile of USG engagement at national and regional levels.
- **Local Stakeholder Engagement:** Stakeholder involvement will be emphasized to ensure local ownership and contribute local knowledge to project design and implementation.
- **Interagency Coordination:** Design and implementation of the portfolio will be closely coordinated between USAID and the Department of State - both in the field among the US Embassies, as well as with headquarters in Washington, DC.
- **Donor Coordination:** Project activities will be coordinated with other donor agencies that have greater resources to avoid duplication, enhance development outcomes, and facilitate project replication. Major donors include Australia, New Zealand, GIZ, Japan, China, Korea, Taiwan, the European Union, UNEP, and the Asian Development Bank.
- **Development Co-benefits:** Climate change adaptation activities will be integrated with other sectors (e.g. tourism, fisheries, forestry, agriculture, health, and urban infrastructure) to reduce their vulnerabilities to climate change impacts, while supporting economic growth and reducing poverty.
- **Innovation:** In light of limited funding, activities will support development innovations that can be scaled-up and replicated. Activities that advance science and technology will be encouraged.
- **Regional Platforms:** Activities will make use of regional platforms to improve performance, increase outreach, and be more cost effective.<sup>10</sup>
- **Sustainability:** Project activities will include sustainability plans that ensure development outcomes are continued when USAID funding ends. Annual government budget allocations to sustain activities will be encouraged, which may require policy reforms.
- **Gender:** Project activities will promote gender equality and reduce gender inequities. Women are especially vulnerable to climate change impacts in the PICs largely due to their dependence on natural resources, their responsibility for water and food procurement, and their increased risk of exposure during natural disasters.
- **Activity monitoring:** Activities will be designed in a manner that ensures that they can be effectively monitored, both by implementing partners and USAID.

#### IV. EVALUATION QUESTIONS

This portfolio-level performance evaluation will answer the following six key evaluation questions:

1. How effective are/were the activities in strengthening the capacity of key stakeholders and institutions to adapt to the impacts of climate change? What are the significant and emerging outcomes-intended or unintended-from the activity outputs? **(EFFECTIVENESS)**
2. What are the good practices and innovations in GCC adaptation activities at the community and national levels? What strategies are in place to help make these good practices sustainable? **(SUSTAINABILITY)**
3. What is the extent to which the portfolio has changed behaviors of key stakeholders to address climate change priorities of PICs, due in part to increased understanding of relevant

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<sup>9</sup> Project-level interventions will be coordinated with national governments, and local-level activities linked to national policy outcomes. The relevant government officials should be invited to outreach events and regularly receive progress briefings. Government coordination will promote ownership and sustainability of the project.

<sup>10</sup> Regional platforms often have local offices, contacts with government officials and other stakeholders, knowledge of local conditions, and technical expertise in climate change and other related areas. They are well positioned to support outreach efforts and disseminate best practices.

issues? **(RELEVANCE)**

4. To what extent do the five activities included in the evaluation contribute to the USG's overall focus on public diplomacy in the region? **(CO-BENEFITS)**
5. What is USAID's comparative advantage among donors, the private sector and civil society, and governments in climate change adaptation in the Pacific Islands? **(EFFICIENCY)**
6. How effective was the portfolio in addressing relevant gender issues? **(GENDER EQUALITY)**

## **V. EVALUATION DESIGN AND METHODOLOGY**

The Evaluation Team is expected to utilize qualitative and, as practicable, quantitative methods to analyze data obtained, most preferably, through triangulation of multiple information sources. USAID will assist the team as much as possible to ensure that all the appropriate and necessary data and other inputs are obtained to maximize the results of this engagement. To the extent possible, the evaluation approach should be participatory.

## **VI. KEY PERSONNEL**

Team Leader/Climate Change Expert - John Michael Kramer

Evaluation Specialist/ Capacity Bldg. Expert - K. Azeez

The key personnel identified above are considered essential to the work being performed under this contract. No replacement of key personnel must be made by the Contractor without the written approval of the Task Order Contracting Officer.

## **VII. EVALUATION SCHEDULE**

The estimated timeframe for the evaluation to be conducted with a team as described above is five months, starting on or about October 1, 2016. While USAID's regional program covers 12 Pacific Island countries, the evaluation team will only be expected to evaluate activities in the sites stated in Attachment I (Sites for Evaluation).

## **VIII. FINAL REPORT FORMAT**

The evaluation final report should include an executive summary; introduction; background of the local context and the projects being evaluated; the main evaluation questions; the methodology or methodologies; the limitations to the evaluation; findings, conclusions, and recommendations; and lessons learned (if applicable) as described.

The executive summary should be 3-5 pages in length and summarize the purpose, background of the project being evaluated, main evaluation questions, methods, findings, conclusions, and recommendations and lessons learned (if applicable).

The evaluation methodology shall be explained in the report in detail. Limitations to the evaluation shall be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (e.g., selection bias, recall bias, unobservable differences between comparator groups, etc.).

The annexes to the report shall include:

- The Evaluation SOW;
- Any statements of difference regarding significant unresolved differences of opinion by funders, implementers, and/ or members of the evaluation team;
- All tools used in conducting the evaluation, such as questionnaires, checklists, and discussion

- guides;
- Sources of information, properly identified and listed; and
- Disclosure of conflict of interest forms for all evaluation team members, either attesting to a lack of conflicts of interest or describing existing conflicts of interest.

The contractor will make the final evaluation reports publicly available through the USAID Development Experience Clearinghouse within 30 days of final approval of the formatted report.

## **IX. CRITERIA TO ENSURE THE QUALITY OF THE EVALUATION REPORT**

Per the USAID Evaluation Policy, draft and final evaluation reports will be evaluated against the following criteria to ensure the quality of the evaluation report:

- The evaluation report should represent a thoughtful, well-researched, and well-organized effort to objectively evaluate what worked in the project, what did not, and why.
- Evaluation reports shall address all evaluation questions included in the SOW.
- The evaluation report should include the SOW as an annex. All modifications to the SOW-whether in technical requirements, evaluation questions, evaluation team composition, methodology, or timeline-requires approval of the Contracting Officer.
- The evaluation methodology shall be explained in detail. All tools used in conducting the evaluation- such as questionnaires, checklists, and discussion guides-will be included in an annex in the final report.
- Evaluation findings will assess outcomes and impact on males and females.
- Limitations to the evaluation shall be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (selection bias, recall bias, unobservable differences between comparator groups, etc.).
- Evaluation findings should be presented as analyzed facts, evidence, and data and not based on anecdotes, hearsay, or the compilation of people's opinions. Findings should be specific, concise, and supported by strong quantitative or qualitative evidence.
- Sources of information need to be properly identified and listed in an annex.
- Recommendations need to be supported by a specific set of findings.
- Recommendations should be action-oriented, practical, and specific, with defined responsibility for the action.

## **X. OTHER REQUIREMENTS**

All quantitative data collected by the evaluation team must be provided in an electronic file in easily readable format agreed upon with the Contracting Officer's Representative (COR). The data should be organized and fully documented for use by those not fully familiar with the project or the evaluation. USAID will retain ownership of the survey and all datasets developed.

USAID contractors must submit any Dataset created or collected with USAID funding to the DDL in accordance with the terms and conditions of their awards. This is in keeping with Executive Order 13642 and the OMB Open Data Policy (M-13-13) which states that an agency's "public data listing may also include, to the extent permitted by law and existing terms and conditions, datasets that were produced through agency-funded grants, contracts, and cooperative agreements."

All modifications to the SOW, whether in technical requirements, evaluation questions, evaluation team composition, methodology, or timeline, require the approval of the Task Order Contracting Officer.

## **END OF SECTION C**



## ANNEX II: DATA COLLECTION INSTRUMENTS

### USAID Pacific Island Global Climate Change Project Evaluation Interview Guides

This document outlines the qualitative instruments for the Performance Evaluation of USAID’s Pacific Global Climate Change (GCC) Portfolio. For more details on the approach and scope of the evaluation, please refer to the Evaluation Design and Work Plan.

The contents of this document include:

- An informed consent statement, which must be presented to all respondent prior to beginning an interview
- A KII guide for high level actors, including, but not limited to, USAID and IP staff
- A FGD guide for project beneficiaries at the local level, including, but not limited to, councils of elders, farmers, fishermen and women’s groups

The qualitative instruments outlined herein have been prepared to evaluate the overall effectiveness, sustainability, relevance, and efficiency of the implementation of the four main GCC activities. This document provides guidelines for the KIIs and FGDs expected to take place among national level, provincial, district, sub-district and community level actors in government, civil society, and the private sector. By no means is this guide intended to include all questions to be asked of currently or yet-to-be selected respondents. Rather, the team views the qualitative evaluation approach as a reflexive one in which interview guides will continue to be tailored to respondents’ experience with and knowledge of GCC activities, as well as the fact-finding that occurs throughout the evaluation.

Below are the specific EQs, which are discussed in greater detail (including subcomponents and EQs) in the Evaluation Work Plan and Design:

1. How effective are/were the activities in strengthening the capacity of key stakeholders and institutions to adapt to the impacts of climate change? What are the significant and emerging outcomes—intended or unintended—from the activity outputs? (EFFECTIVENESS)
2. What are the good practices and innovations in GCC adaptation activities at the community and national levels? What strategies are in place to help make these good practices sustainable? (SUSTAINABILITY)
3. What is the extent to which the portfolio has changed behaviors of key stakeholders to address climate change priorities of PICs, due in part to increase understanding of relevant issues? (RELEVANCE)
4. To what extent do the five activities included in the evaluation contribute to the US government’s overall focus on public diplomacy in the region? (CO-BENEFITS)
5. What is USAID’s comparative advantage among donors, the private sector and civil society, and governments in climate change adaptation in the Pacific Islands? (EFFICIENCY)
6. How effective was the portfolio in addressing relevant gender issues? (GENDER EQUALITY)

Data collected from these interviews will be analyzed using transcription and/or coding methods as appropriate. Major themes and conclusions drawn from qualitative data will be triangulated and verified against findings based on the desk review and direct observations. These methods shall be employed primarily to evaluate whether the portfolio helped to improve beneficiaries’ capacity to adapt to climate change.

Below are the instruments that the team plans to employ in the field.

(i) *Informed Consent Statement*

**Introduction and Purpose:** Thank you for taking the time to meet with us today. My name is \_\_\_\_\_ and I am joined by my colleagues \_\_\_\_\_. We are from a US-based consulting firm called Social Impact, and are conducting a performance evaluation of the United States Agency for International Development's (USAID) Pacific GCC Portfolio, which consists of ongoing and completed community-based climate change activities in the Pacific.

In this interview, we would like to ask you a number of questions about your involvement with the portfolio. These questions will help us determine the outcomes achieved by the project, and we will use the information we gathered today to create a set of recommendations to USAID for future climate change investments in the Pacific region. You will not receive any direct benefits for participating in this interview/focus group.

Your participation is voluntary and your identity will be kept confidential. If you have any questions about the evaluation or your participation here today, please feel free to contact Kristen Grimslund at [kgrimslund@socialimpact.com](mailto:kgrimslund@socialimpact.com).

*(\*\* Note: The informed consent should be tailored to the respondent (their involvement will be different depending on which grant mechanism they have worked with and whether they are IPs, beneficiaries, grantees, etc.).)*

**Informed consent:**

Are you willing to participate in this interview? Yes / No

(ii) *USAID, USG, Implementing Partners, Host Government, Other Donors, NGO, CSO, and Private Sector Leader and Key Informant Interview Guide*

**\*\*Note:** Try to make the interview as conversational as possible. Do not feel that you need to ask every question exactly as it is stated here. Rather, let the conversation flow. Sometimes, responses from one question will answer another. The biggest job of the interviewer is NOT asking questions, it is listening to answers. Be sure to always ask for examples to illustrate their points. Your goal for these interviews should include addressing the following broad issues:

- Awareness and understanding of project
- Benefits received from GCC investment
- Remaining obstacles to CCA (or relevant activity)
- Perceptions of US relative to GCC investments

Also, please remember that not all questions should be asked of all respondents. Tailor your questions to ensure that the interview can be completed within one hour.

<b>Date:</b>	
<b>Name of Interviewer:</b>	
<b>Location of Interview (country, province, and community):</b>	
<b>Name of Respondent:</b>	
<b>Organization:</b>	
<b>Position:</b>	
<b>Education Level:</b>	
<b>Sex:</b>	
<b>CORE QUESTIONS</b> <b>**Interviewer Note:</b> Not all questions should be asked of all respondents. Tailor questions and ensure that interview can be completed within one hour.	<b>PROBES</b> <b>*Interviewer Note:</b> Only use if issue is not addressed in response to core question
1. What can you tell me about your involvement with USAID's GCC activity(ies)? What activities have you implemented as part of the project?	a. What is your role in the activity?
	b. How did you come to be involved in the activity?
	c. How long have you been involved?
2. What was/were the activity(ies) expecting to achieve?	a. To what extent do you feel those objectives have been met?
	b. What did the activity(ies) do best?
	c. What were the weaknesses?
	d. What facilitated meeting the objectives?
	e. What hindered it?
3. Were the activity(ies)' achievement of results assessed? If so, how?	a. What baseline measures were used, if any?
	b. How was progress along the way measured?
	c. Would it be possible to get any studies that were conducted?
4. To what extent and in what ways did the activity(ies) raise awareness about	a. What specific approaches were used?
	b. To what extent were behavior change approaches included?

CCA/food security/land management/coastal management, etc.?	c. Which ones specifically?
	d. Which approaches seemed to work the best? Why?
	e. Which approaches did not seem to work? Why?
	f. How were these received?
	g. How was changed awareness and/or behavior assessed?
	h. Would it be possible to get copies of those studies?
5. What specific elements of the activity(ies) addressed capacity building?	a. What specific capacities were targeted?
	b. To what extent and in what ways were both men and women included in those capacity building activities?
	c. Which groups are most/least likely to use the new skills/abilities? Why?
	d. Was this assessed? If so, how and what were the results of the assessment?
	e. To what extent will they be able to sustain the use of these new skills in the absence of USAID?
	f. What specific evidence is there of any change in their capacity/behaviors?
6. What significant outcomes, positive or negative, have you observed from this/these activity(ies)?	a. Can you provide specific examples of this? <i>Examples of outcomes include: improved resilience to drought/extreme weather events, increased income from farming, fisheries, other livelihood practices (identify).</i>
	b. What about any unanticipated outcomes? <i>Unanticipated outcomes can be positive or negative and include problems with new crops, failure of infrastructure improvements, improved social capital.</i>
	c. How were beneficiary communities impacted by these outcomes?
	d. What groups benefited most/least? Why?
	e. To what extent were these outcomes expected/desired?
	f. Are there any limits to communities' ability to implement/sustain project activities that were not addressed?
7. To what extent do you think the communities that participated in the activity(ies) are prepared to cope with the overall impacts of global climate change?	a. How does their level of preparedness now compare with before?
	b. What specifically has changed in their level of preparedness?
	c. Did the activity have any role in this?
	d. What remains to be done to ensure they are fully prepared?
9. Have communities implemented any new practices that have improved their ability to cope with climate change? <i>(Tailor this to specific investment used by the project.)</i>	a. To what extent are these good practices new to the communities? How (from whom) did they learn them?
	b. What practices were they implementing before?
	c. How were these new practices received?
	d. To what extent are the good practices being used regularly?
	e. If they are not being used regularly – why not?
10. Have communities consistently adopted new practices? Has there been any variation in the level of adoption within particular communities, or across communities receiving the same benefits?	a. Who was most receptive to them? Why?
	b. Who was least receptive to them? Why?
11. To what extent will the communities be able to continue using these good practices into the future?	a. How will they be sustained in the absence of USAID assistance?
	b. What will enable communities to keep using them?
	c. What will prevent them from continuing to use them?

12. Did the activity include youth, the elderly, the disabled, those with minimal resources, or other vulnerable groups? If so, how?	a. Was special consideration given to vulnerable people in the program design? How were concerns around these groups incorporated, and what did the program do to ensure inclusive participation?
	b. Has the involvement of vulnerable people impacted any communities? If so, how?
13. Were gender concerns incorporated into the activity? If so, what were they and how were they incorporated into the program design and implementation?	a. In your opinion, do you feel that the activity sufficiently incorporated gender concerns? Why or why not?
	b. Were any of the program's objectives specifically focused on gender?
	c. Was implementation of these components effective? Did the project reach its objectives? Why or why not?
	d. Did the project implementation result in differential participation of men or women in agriculture/land management/CCA/etc. (i.e. did the project result in any change in the usual levels of participation of men or women in these types of activities)? If so, please describe.
	e. If there was a change, how did this impact the communities?
	f. Do you think these changes are long-term or only for the life of the project?
14. In what ways do men and women participate similarly or differently in CCA/land management/fishing/etc.? (Tailor this to participant's project/knowledge base.)	a. How has their participation changed in the past year?
	b. Has the project had any impact in changing the nature of, or their levels, of participation?
15. In what ways do men and women participate differently in agriculture?	a. Do men and women work in the same plots?
	b. Who is able to own land (formally and informally)?
	c. Who earns income from agricultural outputs?
	d. Have any of the above items changed in the past year?
	e. If so, did the project contributed to any of these changes?
16. Are you familiar with the US public diplomacy objectives for the country/region? (Interviewer to briefly describe. Note that this question may need to be re-phrased for non-USAID/Implementing Partner staff)	a. What have you heard about USG support for climate change in the region? What source did you hear it from? a. To what extent and in what ways has the activity(ies) contributed to those?
	b. Have you attended any climate change events, or seen any climate change materials (video, brochure, poster, etc.) sponsored by USAID? If so, can you please describe them?
	b. Did these activities or products have an expressed goal of contributing to diplomacy objectives? If so, what were the goals?
	c. To what extent were any diplomacy contributions intentional rather than incidental?
	d. How effective was the activity's support of US public diplomacy objectives?
	e. What else could the activity(ies) do to support US public diplomacy objectives for the country/region?
17. What are other donors, governments, the private sector, and civil society in the country/region doing to promote climate change preparedness? (Probe for details, documents, and contact information for other institutions/groups.)	a. In your opinion, which CCA projects or activities have been most/least successful and why?
	b. Has your organization engaged in any of these activities in the past two years? If so, can you please describe them in detail?
	c. How does USAID's efforts compare to those?

	d. Does USAID have a comparative advantage in promoting climate change preparedness in the country/region? If so, what is it?
18. On a scale of 1-5 (with 5 being the most successful), how would you rate the following:	a. Effectiveness of program activities in strengthening the capacity of key stakeholders and institutions to adapt to the impacts of climate change
	b. Sustainability of investment activities
	c. Improvement in stakeholders' understanding of relevant issues and subsequent behavior change
	d. Effectiveness of program activities in contributing to US public diplomacy objectives
	e. Effectiveness of program activities in ensuring gender inclusivity and addressing gender concerns
	f. Overall implementation of the program
19. In your opinion, what were the best aspects/elements of the program? Why?	
20. If you were in charge of the program, how would you change it for the better?	

(iii) *Project Beneficiaries (Council of Elders, Farmers, Fishermen and Women’s Groups) Focus Group Discussion Guide*

**\*\*Note:** Try to make the interview as conversational as possible. Do not feel that you need to ask every question exactly as it is stated here. Rather, let the conversation flow. Sometimes, responses from one question will answer another. The biggest job of the interviewer is NOT asking questions, it is listening to answers. Be sure to always ask for examples to illustrate their points. Your goal for these interviews should include addressing the following broad issues:

- Awareness and understanding of project
- Benefits received from GCC investment
- Remaining obstacles to CCA (or relevant activity)
- Perceptions of US relative to GCC investments

Also, be sure to choose the 5-6 questions that are most applicable to the focus group to ensure that it can be completed within the allotted time.

<b>Date:</b>	<b>Respondent Profile (fill out for each respondent if possible):</b>
<b>Interviewer Name:</b>	<b>Age: ___ Sex: ___ Ethnic Group: _____</b>
<b>Note-taker Name:</b>	<b>Primary language(s) used at home: _____</b>
<b>Location: Country, Province, Community:</b>	<b>Highest level of education: _____ Time lived in community: _____ (years)</b>
<b>Project, Start Date:</b>	<b>Primary Occupation: _____; Secondary Occupation: _____</b>
<b>CORE QUESTIONS</b> *Interviewer Note: Choose 5-6 questions that are most applicable to the focus group to ensure that it can be completed within the allotted time.	<b>PROBES</b> *Interviewer Note: Only use if issue is not addressed in response to core question
1. Can you please describe your understanding of climate change and your community's vulnerability to climate change? <i>If it becomes clear the respondents need more guidance, reframe the question: "Would your community be able to be safe from or recover from a storm, flooding, drought, sea level rise, etc.?"</i>	a. What are the potential impacts of climate change on your community? To what extent is your community even concerned about the impacts you've described?
	b. Which impacts do you expect to be most severe in your community?
	c. How do you expect the impacts to affect community members?
2. How would you describe your and your community's ability to address natural hazards/health crises/food security/rising sea level/etc. associated with global climate change? <i>(Tailor this question to the GCC investment in the location).</i>	a. Is your community prepared to adapt to climate change? If so, how?
	b. Has your community's ability to address climate change impacts changed in the past two years? If so, how, and what has caused this change?
	c. What are some of the major challenges your community faces in adapting to these changes?
	d. What kind of support does your community need most in order to improve your ability to adapt to climate change (or whichever subtopic is being discussed)?
3. What global climate change projects/activities are you familiar with in your community? <i>(This may need to be</i>	a. What activities were implemented?
	b. Who in this meeting was involved in the activities and what were your roles?



<p><i>tailored to the activity being implemented in the community. The interviewer should attempt to tease out whether the respondents understand their project's connection to climate change, and/or to the GCC).</i></p>	<p>c. How long have you/your community been working with the activity?</p>
<p>4. Who sponsored the activities in your community?</p>	<p>d. Have you learned any new information about climate change? If so, what did you learn? <i>(This may also need to be tailored to the specific activity).</i></p>
<p>5. Did the project/activity change your community's ability to adapt to climate change?</p>	<p>a. What was your opinion of this donor/organization before the activity was implemented?</p>
<p>6. Did you learn any good practices for CCA/agriculture/land use management/fishing/etc. through this activity? If so, what were they? <i>(Tailor this to the activity being implemented in the respondents' community)</i></p>	<p>b. Has your opinion of the sponsor changed since this activity was implemented? If so, how?</p>
<p>a. To what extent is everyone in your community able to use these practices?</p>	<p>c. Are there other similar projects being implemented in your community? What are they and who is sponsoring them?</p>
<p>b. To what extent will you and your community be able to continue using these good practices into the future?</p>	<p>d. Which projects do you feel have been most/least successful and why?</p>
<p>7. Did the activity include youth, the elderly, the disabled, those with minimal resources, or other vulnerable groups? If so, how?</p>	<p>a. What has improved in your ability to adapt to climate change?</p>
<p>8. Was there any gender focus on this activity? If yes, how was it incorporated?</p>	<p>b. What has stayed the same or worsened in your ability to adapt to climate change?</p>
<p>9. In what ways do men and women</p>	<p>c. How do you feel about those changes?</p>
	<p>d. What else do you feel you need to learn to be able to face global climate change? What could the project have done differently in order to achieve this?</p>
	<p>a. Were these practices new to your community?</p>
	<p>b. Are these practices useful for your community? Why or why not?</p>
	<p>c. To what extent do you have everything you need to use these practices regularly? If you do not feel prepared, what additional support would you need to be able to continue using them?</p>
	<p>d. Which of the practices are most important? Who thinks these practices are the most important and why?</p>
	<p>e. Which are the least important? Who thinks these practices are the least important and why?</p>
	<p>a. Which groups are more likely to use these good practices and why?</p>
	<p>b. Which groups are less likely to use them and why?</p>
	<p>a. What will enable you to keep using them?</p>
	<p>b. What will prevent you from being able to keep using them?</p>
	<p>a. Has the involvement of vulnerable people impacted your community? If so, how?</p>
	<p>b. Do you feel that vulnerable groups were sufficiently included in this activity? Why or why not?</p>
	<p>a. In your opinion, do you feel that the activity sufficiently incorporated gender concerns? Why or why not?</p>
	<p>d. Did the project implementation result in differential participation of men or women in agriculture/land management/CCA/etc. (i.e. did the project result in any change in the usual levels of participation of men or women in these types of activities)? If so, please describe.</p>
	<p>d. If there was a change, how did this impact your community?</p>
	<p>e. Do you think these changes are long-term or only for the life of the project?</p>
	<p>a. Do men and women work in the same plots?</p>

participate differently in agriculture?	b. Who is able to own land (formally and informally)?
	c. Who earns income from agricultural outputs?
	d. Have any of the above items changed in the past year?
	e. If so, did the project contributed to any of these changes?
10. Are you aware of any USAID sponsored climate change outreach efforts? If so, can you please let us know if you have participated in any events or received any materials? <i>(Interviewer may need to give examples including embassy-sponsored events, posters, videos, brochures, etc.)</i>	a. Please describe the events you attended or materials you received.
	b. Did you learn anything new, or benefit in another way, as a result of attending these events or receiving these materials? If so, please describe.
	c. Did your opinion of USAID change based on the events or materials? If so, how?
	d. Would you want to attend more events or receive more materials sponsored by USAID? Why or why not?
10. In your opinion, what were the best aspects/elements of the program? Why?	
11. If you were in charge of the program, how would you change it for the better?	
12. On a scale of 1-5 (with 5 being the highest rating), how would you rate the following:  <i>This question should be printed on paper for respondents to answer individually.</i>	a. How well the activity has helped your community improve its ability to adapt to climate change
	b. How well you will be able to continue implementing the activities when the program ends
	c. How much new information you learned about climate change/farming/fishing/land management, etc. <i>(Tailor this to the particular investment in each community)</i>
	d. Your opinion of the sponsor of the activity
	e. Whether women and vulnerable groups were sufficiently included in the activity
	f. Your overall satisfaction with the program

## ANNEX III: SUMMARY OF CAPACITY BUILDING INDICATORS FOR EVALUATED ACTIVITIES

Strengthening the capacity of key stakeholders and institutions is a major pillar for the GCC portfolio. Table 13 below provides highlights of the capacity building requirements and plans drawn from the agreements and contracts for the four activities.

**Table 13: Highlights of capacity building requirements and plans for GCC activities**

ACTIVITY	CAPACITY BUILDING REQUIREMENTS AND PLANS	LEVEL OF CAPACITY BUILDING
C-CAP	The Contractor will provide services to: rehabilitate or construct new, small-scale community infrastructure; build capacity for community engagement for disaster prevention and preparedness; and integrate climate resilient policies and practices into long-term land use plans and building standards.	Community, national
	The Contractor shall develop an institutional capacity and policy assessment for climate change governance, and design a work plan for national government engagement and capacity building.	National
	Develop a network of social mobilizers . . . provide training as needed in CCA principles and practices and capacity building in effective outreach approaches to better enable the social mobilizers to do their job.	Community
	Community education and technical training to develop and drill preparedness and response plans to designated safe/evacuation zones.	Community
PACAM	Provide . . . managerial and financial capacity-building to sub-grantees to ensure proper stewardship of funds and improve organizational capacity of civil society partners . . . including strengthening financial management and internal controls, tracking pipelines, training in conducting financial checks and audits, processing reimbursements, human resource organization, and grant proposal writing.	Civil society, international, and local
SPC	Strengthened national and community capacity to build food security and respond proactively to climate change and climate variability. Achieved through: engagement of farming communities, and national level counterparts.	National, community
	Implementation of capacity building, on-farm training, and pilot demonstration activities in selected communities in each country.	Community
	Building community awareness of the impacts of climate variability and measures to increase the agricultural resilience.	Community
SPREP	Focus on sectoral policy mainstreaming and institutional capacity building processes linked with on-the-ground demonstration activities in pilot communities, and knowledge management actions.	National, community
	Enhance relevant human and institutional capacities in targeted countries in the Pacific through the consolidated and coordinated training programs.	National and subnational

The following sections identify the capacity building indicators for each activity and their progress to date for these indicators. Following this, we provide a short summary of reported activities for each project.

### C-CAP

C-CAP's major capacity building activities and accomplishments shown in Table 14 are drawn from C-CAP's Year 4 Annual Report.

**Table 14: C-CAP capacity building indicators**

IR/INDICATOR NO.	INDICATOR	CUMULATIVE RESULTS AS OF SEPTEMBER 2016	LIFE OF PROJECT TARGET	% OF TARGET
IR 1.1.1 Coastal Zone Management Improved, IR 1.1.2 Water Resource Management Capacity Improved				
1 (4.8.2-26)	Number of stakeholders with increased capacity to adapt to the impacts of climate change as a result of US government assistance	38,251	60,000	64%
3	Number of C-CAP activities . . . that support community-level adaptation strategies and infrastructure projects with increased capacity to withstand/recover from extreme weather events . . .	49	68	72%
IR 1.1.3 Disaster Management Strengthened				
4	Number of stakeholders with improved access to disaster warnings	60,041	60,000	100%
5	Number of DRR preparedness and response plans developed and/or improved	67	67	100%
6 (4.8.2-29)	Number of person hours of training completed in climate change as a result of US government assistance	39,839	35,380	113%

### C-CAP CAPACITY BUILDING OVERVIEW

The following briefly describes the C-CAP capacity building activities as provided by C-CAP documentation:

- **INDICATOR 1: INCREASED BENEFICIARY CLIMATE CHANGE ADAPTIVE CAPACITY:** C-CAP measures the number of community members with increased adaptive capacity by estimating the “number of stakeholders benefiting from the infrastructure activity.” C-CAP has defined beneficiaries to include the entire population of communities where infrastructure and/or DRR activities have been completed. Community population estimates are triangulated from national census and informal local sources, e.g., health care workers. At the end of the C-CAP Project Year (PY) 4, September 30, 2016, C-CAP had completed infrastructure in 72 percent of the targeted communities. Infrastructure is well advanced in the remaining targeted communities, and C-CAP expects to reach the 60,000-stakeholder project target by March 2017.
- **INDICATOR 3: SMALL-SCALE CLIMATE RESILIENT INFRASTRUCTURE:** C-CAP’s central focus is the installation of small-scale, climate-resilient community infrastructure, selected in consultation with national and local government officials and community representatives. They are designed to increase community capacity to adapt to climate change. By the end of PY4, C-CAP had installed infrastructure in 49 communities. USAID extended C-CAP’s contract to May 2017, when the targeted 68 installations benefiting 77 communities in nine countries should be complete.
- **INDICATOR 3: TRAINING IN INFRASTRUCTURE OPERATIONS AND MAINTENANCE:** The C-CAP contract (p. 17) states, “depending on the infrastructure activity selected, follow-on trainings in facility or system operation and maintenance may be required.” Moreover, C-CAP’s Year 4 Annual Report (p. 7) states: “C-CAP ensures the sustainability of climate-resilient infrastructure investments through the design of Operation and Maintenance (O&M) manuals and training to build local capacity to maintain, repair, and properly use infrastructure.” To support climate resilient infrastructure activities in PY4, C-CAP designed and launched a new workshop series titled “The Road to Resilience: Sustainability and Knowledge Sharing Workshops” intended “to strengthen coordination between communities and their governments in maintaining climate-

smart infrastructure and managing CCA and disaster risk management activities.” The workshops reached 190 stakeholders from C-CAP partner communities, governments, NGOs, and Peace Corps.

- **INDICATORS 4, 5, 6: DISASTER MANAGEMENT STRENGTHENING:** The objective of IR 1.1.3 is “to increase partner communities’ adaptive capacity to address and/or cope with the impacts of climate variability—extreme weather events like storms, cyclones, floods, and droughts—and climate change.” Under this IR, C-CAP went through a multi-step DRR consultation process with government and communities and prepared written plans, conducted provincial and community-based training, conducted community simulation exercises, and prepared communications material for all 68 field sites. C-CAP reports that this component was completed in the second quarter of PY4.
- **INDICATOR 7: NATIONAL AND SUBNATIONAL INSTITUTIONAL CAPACITY BUILDING:** C-CAP also worked to strengthen institutions at national and subnational levels, including governments and civil society, to improve institutional capacity to address climate change. For example, in PY4, C-CAP conducted 14 workshops in seven countries attended by 225 participants. Institutional capacity strengthening was measured in terms of the institutions’ ability to create and maintain climate-smart land use maps.

## PACAM

PACAM’s monitoring plan has three indicators that focus on capacity building (Table 15).

**Table 15: PACAM capacity building indicators**

RESULT/INDICATOR NO.	INDICATOR	CUMULATIVE RESULTS AS OF SEPTEMBER 2015	LIFE OF PROJECT TARGET	% OF TARGET
Result 3: Financial and managerial capacity of CSOs implementing adaptation measures increased				
3	Number of CSOs with increased financial and managerial capacity as a result of US government assistance	9	24	38%
Result 1: Fund-supported adaptations measures implemented				
I (4.8.2-26)	Number of stakeholders [individuals] with increased capacity to adapt to impacts of variability and change as a result of US government assistance	163	29,923	1%

## PACAM CAPACITY BUILDING OVERVIEW

While PACAM’s ultimate goal is to strengthen climate resilience in communities, PACAM’s more immediate objective (Result 1) is “to establish a transparent grant-making facility to provide and monitor CCA grants to CSOs.” USAID designed PACAM to fill the gap in Pacific community-based climate resilience program implementation (Result 2) and CSO implementing capacity (Result 3). By building CSO capacity and giving qualified CSOs funding and technical assistance to implement community-based CCA activities, PACAM was intended to enable organizations to qualify for ongoing grants from a wide variety of sources and catalyze impact (Table 16).

By the end of FY16, PACAM’s PY3, three cycles of grants awarding \$9.6 million to 23 grantees had been

processed.<sup>11</sup> PACAM is conducting a fourth cycle of grants in FY17. The relatively low level of accomplishment, considering that PACAM has already completed 60 percent of its period of performance, is misleading because the most recent annual reports for grantees were not included in this table. PACAM confirmed that they achieved their Year 3 target of 10,363 stakeholders and are on track to meet the overall life of project target of about 30,000 stakeholders by the end of the contract. PACAM’s main target is the number of CSOs with increased financial and managerial capacity, which is expected to pay dividends through increased stakeholder capacity for years to come, as CSOs continue to build the capacity of community stakeholders.

**Table 16: Grant facility access status**

CYCLE	YEAR OF AWARDS	CONCEPT PAPERS RECEIVED	INVITED TO SUBMIT PROPOSALS	PROPOSALS RECEIVED	RECOMMENDED TO USAID
1	FY14	55	17	14	9
2	FY15	179	32	23	6
3	FY16	130	29	27	9

The following briefly describes PACAM capacity building activities as provided by PACAM documentation:

- **INDICATOR 3: INCREASED CSO FINANCIAL AND MANAGERIAL CAPACITY:** PACAM uses a fixed amount, performance-based grant that is well-suited for recipients with minimal experience receiving and implementing US government grants. While PACAM has awarded larger grants to experienced international NGOs, it has over the course of the project increasingly focused its grant making activities on national NGOs and local CSOs. These organizations typically do not have the financial and managerial systems and procedures in place to meet USAID requirements for the \$150,000 grant ceiling. PACAM works closely with grantees to ensure that during the development of the grant proposals and in the initial award stages grantees develop and implement appropriate financial and management systems. PACAM also provides some of the larger international NGOs with technical assistance, including improvements to monitoring and evaluation systems and support for gender integration.
- **INDICATORS 1 AND 2: INDIVIDUALS AND INSTITUTIONS WITH INCREASED/IMPROVED CAPACITY TO ADAPT TO/ADDRESS CLIMATE CHANGE IMPACTS:** PACAM’s goal is to strengthen community climate resilience. All PACAM grants have a community CCA component, and most are primarily dedicated to this objective. Some of the grantees work directly with communities (Indicator 1) and/or with building capacity of smaller primarily community-based organizations (Indicator 2). Indicators 1 and 2 reflect the work being done by grantee results, but indicators for FY16 were not available in the PACAM PY3 Annual Report.

### **SPC: FOOD SECURITY PROGRAM**

SPC implemented activities in 19 pilot sites across six countries. SPC’s monitoring plan has two objectives and four results focused on capacity building (Table 17).

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<sup>11</sup> Fixed amount awards are a type of grant agreement under which the Federal awarding agency or pass-through entity provides a specific level of support without regard to actual costs incurred under the Federal award. This type of Federal award reduces some of the administrative burden and record-keeping requirements for both the non-Federal entity and Federal awarding agency or pass-through entity. Accountability is based primarily on performance and results.

**Table 17: SPC capacity building objectives and results**

OBJECTIVE 2	STRENGTHENED NATIONAL AND COMMUNITY CAPACITY TO BUILD FOOD SECURITY AND RESPOND PROACTIVELY TO CLIMATE CHANGE
Result	Increased capacity to implement participatory approaches for managing climate-related risks to food security
Result	Pilot Climate Field School established in eight provinces in Solomon Islands
Result	Improved capacity in developing and implementing adaptation responses
Objective 3	Improved integration of successful approaches into national and sector-wide climate change adaptation strategies
Result	Improved capacity to develop, integrate, and implement adaptation responses including through the use of GIS-based information systems, and cost-benefit analyses and socio-economic impact assessments

## SPC CAPACITY BUILDING OVERVIEW

The following briefly describes SPC’s capacity building activities:

- **NATIONAL CAPACITY BUILDING:** SPC used USAID funds to work with national ministries for its national-level work, which included a suite of trainings and implementation of the Choiseul Integrated CHICCHAP and the Kiribati WOI approach. SPC reported on training it had conducted in the monitoring reports, the most recent of which can be found in Table 18.

**Table 18: SPC-reported national capacity building activities**

SOLOMON ISLANDS	# TRAINED
Participatory Rural Appraisal Training	9
Executive First Policy Training	13
Cost Benefit Analysis Training	21
GIS Training	2
Biogas Digester Training	11
Total	46
KIRIBATI	# TRAINED
Cost Benefit Analysis Training	25
Integrated Vulnerability Assessment Training on Tools	26
Monitoring and Evaluation Training	40
Coconut Inventory Assessment Field Surveying Training	4
Fiji Relocation Guideline Workshop	47
Leadership and Governance Training for Climate Change and Disaster Risk Management	39
GIS Training	5
TOTAL	186



- **COMMUNITY CAPACITY BUILDING:** At the community level, SPC started with vulnerability assessments, conducted training on climate change, and facilitated, through in-kind contributions and technical assistance, hands-on experience to give communities the skills necessary to prepare and adapt to climate change. Community trainings ranged from nursery and livestock management (piggery, poultry, goat and bee farming) to plant propagation, composting, farming techniques to protect and increase soil fertility, and crop production.

## SPREP: C-CAP

In September 2011, USAID awarded SPREP a \$2.0 million grant to conduct capacity building activities for food production, food security, and coastal and water resources. SPREP originally planned to work in five countries: Kiribati and Solomon Islands in 2011–2012, extending to Vanuatu, Tuvalu, and Samoa in 2012–2013. SPREP did not extend its work to the latter three countries. In its logical framework, SPREP identified the following goal, outcome, and indicators (Table 19).

**Table 19: SPREP capacity building goal, outcome, and indicators**

GOAL	TO REDUCE VULNERABILITY AND TO INCREASE ADAPTIVE CAPACITY TO THE ADVERSE EFFECTS OF CLIMATE CHANGE IN KEY DEVELOPMENT SECTORS IDENTIFIED
Indicator	Number of targeted institutions in the agriculture, water and coastal management sectors in the project countries with increased capacity.
Outcome 2	Capacity to plan for and respond to changes in climate-related risks improved.
Indicator	Number of people with increased capacity to adapt to the impact of climate variability and climate as a result of US government assistance, disaggregated by gender.
Indicator	Number of people receiving US government-supported training in global climate change.
Indicator	Number of institutions with improved capacity to address climate change issues as a result of US government assistance

## SPREP CAPACITY BUILDING OVERVIEW

### NATIONAL AND SUBNATIONAL

SPREP focused on strengthening capacity by building national and provincial coordination then using these systems to pilot community-based initiatives. SPREP’s main capacity building activities include:

1. National capacity building and coordination through the CHICCHAP, and the Kiribati WOI approach implemented through the KNEG; and
2. Community-based initiatives, including ecosystem-based adaptation, solid waste management, and small water infrastructure implemented in Abaiang, Kiribati, and Choiseul Province, Solomon Islands.

SPREP did not systematically report on its capacity building activities. Its progress reporting identified numerous trainings conducted (Table 20) but only occasionally included number and type (e.g., community, national, or subnational government) of participants and very rarely disaggregated training participation by gender.

**Table 20: SPREP-reported capacity building activities**

SOLOMON ISLANDS
Training for Local Counterparts in all Ecosystem-based Adaptation Activities
Legal Education Materials to be Published for Training
Integrated Solid Waste Management Training
Invasive Species Training
Conservation Action Planning Training
KIRIBATI
Island Development Committee’s Leadership and Human Rights
Water Quality Training
Solar Water Disinfection Training
Leadership, Human Rights, and Good Governance Training
Ecosystem-based Adaptation Coastal Rehabilitation Demonstrations and Trainings
Tamana Pump System Installation and Maintenance Training
Climate Change Awareness and Adaptation Training
Participatory Planning Workshop

## ANNEX IV: PROJECT SITES VISITED

COUNTRY	COMMUNITY	PROJECT	DATA COLLECTED
Fiji	Daku	C-CAP	FGDs, KIIs, Direct observation
	Vunisinu/Nalase	C-CAP	FGDs, KIIs, Direct observation
	Lautoka	PACAM- University of Fiji	KII
	Nailaga/Suva	PACAM- World Wildlife Fund Pacific	KII, Direct observation
Kiribati	Buariki	C-CAP	FGDs, KIIs, Direct observation
	Tabontebike	SPC, SPREP	FGDs, KIIs, Direct observation
	Takarano	SPC, SPREP	FGDs, KIIs, Direct observation
	Taniau	SPREP	KII
Solomon Islands	Buma	C-CAP	FGDs, KIIs, Direct observation
	Radefasu	C-CAP	FGDs, KIIs, Direct observation
	Gizo	PACAM- NRDF	KII
	Taro	SPREP, SPC	KII, Direct observation
	Choiseul Bay	SPREP	Direct observation
	Sasamunga	SPREP, PACAM-NRDF	FGDs, KIIs, Direct observation
	Voza	PACAM- NRDF	FGDs, KIIs, Direct observation
	Sepa	SPC	FGDs, KIIs, Direct observation
PNG	Loemuni	SPC	FGDs, KIIs, Direct observation
	Karaifaira	PACAM- ChildFund	FGDs, KIIs, Direct observation
	Kaloapanana	PACAM- ChildFund	FGDs, KIIs, Direct observation
	Kore	PACAM- ChildFund	FGDs, KIIs, Direct observation
	Daroakamana	PACAM- ChildFund	FGDs, KIIs, Direct observation
	Tubusereia	C-CAP	FGDs, KIIs, Direct observation
	Lealea	C-CAP	KII, Direct observation
	Nonvaul	C-CAP	FGDs, KIIs, Direct observation
	Lossu	C-CAP	FGDs, KIIs, Direct observation
Bol	C-CAP	FGDs, KIIs, Direct observation	

\* Please note that the team also met with stakeholders and IPs in national and provincial headquarters in the Philippines, Fiji, Kiribati, Solomon Islands, and PNG.

## ANNEX V: C-CAP SITES

C-CAP SITES	NAME OF SITE	INFRASTRUCTURE TYPE	INITIATED	CONSTRUCTION COMPLETED
PNG (Year 1)				
1	Gabagaba	Rainwater catchment / tanks	17-Nov-12	30-May-16
2	Tubusereia	Rainwater catchment / tanks	5-Feb-13	30-May-16
3	Boera	Rainwater catchment / tanks	10-Jan-13	18-Nov-16
4	Lealea	Rainwater catchment / tanks	8-Dec-12	30-May-16
5	Pari	Rainwater catchment / tanks	15-Jan-13	30-May-16
PNG (Year 2)				
6	Bol/Lamalawa	Rainwater catchment / tanks	12-Mar-14	25-Aug-16
7	Panabeli	Rainwater catchment / tanks	13-Mar-14	25-Aug-16
8	Lossu	Rainwater catchment / tanks	12-Mar-14	25-Aug-16
9	Ungakum	Rainwater catchment / tanks	11-Mar-14	30-May-16
10	Nonovaul	Rainwater catchment / tanks	11-Mar-14	25-Aug-16
Fiji (Year 1)				
11	Buretu	River bank protection	11-Dec-12	10-Jun-15
12	Daku	Flood gate / Drainage	10-Dec-12	19-Jun-15
13	Vunisinu/Nalase	Flood gate / Drainage	30-Jan-13	19-Jun-15
14	Karoko	Coastal protection	10-Feb-13	30-Apr-16
15	Vunisavisavi	Climate proof houses	10-Feb-13	15-Dec-15
	Vunisavisavi - Post Winston/Zena Restoration Works	Drainage		4-Nov-16
Fiji (Year 2)				
16	Vusasivo	Coastal protection	12-Nov-13	30-Jul-16
17	Korotasere	River bank protection	13-Nov-13	21-Oct-16
18	Yaqaga	Evacuation Center / Classroom	14-Nov-13	26-Sep-16

C-CAP SITES	NAME OF SITE	INFRASTRUCTURE TYPE	INITIATED	CONSTRUCTION COMPLETED
19	Nakasaleka	Evacuation center	20-Feb-14	30-Oct-16
20	Nasegai	Evacuation center	18-Feb-14	26-Sep-16
Tonga (Year 1)				
21	Popua	Mixed use Shelter / Hall	15-Jan-13	29-Jan-16
22	Sopu	Water tanks	15-Jan-13	26-Jun-15
23	Tatakamotonga	Upgrade Evacuation Center	10-Jan-13	30-Jun-15
24	Nukuleka	Upgrade Evacuation Center	16-Jan-13	26-Jun-15
25	Ahau	Water tanks	18-Jan-13	26-Jun-15
Tonga (Year 2)				
26	Tefisi	Water tanks	21-Jan-14	30-May-16
27	Utulei	Water tanks	22-Jan-14	30-Jun-16
28	Hunga	Water tanks	23-Jan-14	30-May-16
29	Okoa	Water tanks	14-May-14	30-Jun-16
30	Makave	Water tanks	15-May-14	30-Jun-16
Samoa (Year 1)				
31	Falealupo	Rainwater catchment / tanks	9-Jan-13	6-Mar-14
32	Auala	Rainwater catchment / tanks	10-Jan-13	6-Mar-14
33	Asau	Rainwater catchment / tanks	10-Jan-13	6-Mar-14
34	Manase	Coastal protection	11-Jan-13	30-Apr-15
	Manase - Storm Surge Restoration	Coastal protection		2-Dec-16
35	Sapapalii	Rainwater catchment / tanks	11-Jan-13	6-Mar-14
Samoa (Year 2)				
36	Taga	Rainwater catchment / tanks	24-Mar-14	30-Jun-16
37	Sala'ilua	Waterworks rehabilitation	5-Mar-14	15-Dec-16
38	Taelefaga	Waterworks rehabilitation	19-Mar-14	15-Dec-16

C-CAP SITES	NAME OF SITE	INFRASTRUCTURE TYPE	INITIATED	CONSTRUCTION COMPLETED
39	Lauli'i	Upgrade community hall	11-Apr-14	30-May-16
40	Leusoalii	Waterworks rehabilitation	12-Jun-14	15-Dec-16
Vanuatu (Year 1)				
41	Pele	Rainwater catchment / tanks	11-Jan-13	10-Dec-15
42	Tassariki	Evacuation Center / Classroom	20-Sep-13	30-Oct-16
43	Wiana	Evacuation Center / Community hall	16-May-14	30-Oct-16
44	Nekapa	Rainwater catchment / tanks	12-May-14	10-Dec-15
45	Unakapu	Rainwater catchment / tanks	13-May-14	10-Dec-15
Vanuatu (Year 2)				
46	Loanialu	Water	23-Feb-14	4-Nov-16
47	Launapikruan	Water	24-Feb-14	4-Nov-16
48	Lamanaura	Water	25-Feb-14	4-Nov-16
49	Lanamilo	Evacuation Center / Classroom	26-Feb-14	20-Sep-16
50	Iru	Evacuation center	27-Feb-14	20-Sep-16
Kiribati (Year 2)				
51	Borotiam	Rainwater catchment / tanks	30-Jan-14	16-Dec-16
52	Evena	Rainwater catchment / tanks	30-Jan-14	30-May-16
53	Taniau	Rainwater catchment / tanks	31-Jan-14	16-Dec-16
54	Buariki	Medical aid post	31-Jan-14	30-May-16
55	Noto	Medical aid post	1-Feb-14	4-Nov-16
Tuvalu (Year 2)				
56	Kavatoetoe	Kindergarten/cyclone shelter	18-Feb-14	31-Oct-16
57	Funafuti	Water storage	10-Jun-14	15-Jul-16
Solomon Islands (Year 2)				
58	South Dala	Sanitation	3-Feb-14	25-Aug-16
59	New Kaloka	Sanitation	4-Feb-14	28-Oct-16

C-CAP SITES	NAME OF SITE	INFRASTRUCTURE TYPE	INITIATED	CONSTRUCTION COMPLETED
60	Lilisiana	Sanitation	5-Feb-14	25-Aug-16
61	Ngongosila	Water	15-Apr-14	28-Oct-16
62	North Dala	Water	16-Apr-14	28-Oct-16
Solomon Islands (Year 3)				
63	Oibola	Water/sanitation	9-Sep-14	25-Aug-16
64	Fiu	Water/sanitation	9-Sep-14	25-Aug-16
65	Buma	Water	10-Sep-14	25-Aug-16
66	Radefasu	Sanitation	10-Sep-14	25-Aug-16
67	Kwai	Water	11-Sep-14	20-Sep-16
Nauru (Year 3)				
68	Nauru Utilities Corporations	Water tankers	21-Feb-14	10-Nov-16



## ANNEX VI: DOCUMENTS REVIEWED

1. CARE. Final evaluation of the project “Community-based adaptation to climate change in Nissan district (CBA CC)” in PNG. Australian Aid.
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## ANNEX VII: PERSONS INTERVIEWED

AFFILIATION	GENDER	TOTAL
<b>US Government</b>		
US Embassy Fiji	Female: 2	4
	Male: 2	
USAID Pacific Islands	Female: 0	1
	Male: 1	
Subtotal		5
<b>IPs</b>		
PACAM	Female: 2	3
	Male: 1	
C-CAP	Female: 1	8
	Male: 7	
University of Fiji	Female: 2	3
	Male: 1	
SPC	Female: 3	4
	Male: 1	
GIZ	Female: 0	1
	Male: 1	
World Wildlife Fund Pacific	Female: 3	4
	Male: 1	
ChildFund PNG	Female: 0	1
	Male: 1	
SPREP	Female: 0	2
	Male: 2	
NRDF	Female: 0	3
	Male: 3	
CARE International	Female: 2	2
	Male: 0	
Subtotal		31
<b>Host Country Government</b>		
Solomon Islands	Female: 5	17
	Male: 12	
Kiribati	Female: 2	5
	Male: 3	
PNG	Female: 1	4
	Male: 3	
Subtotal		26
<b>Other</b>		
University of the South Pacific, Pacific Centre for Environment and Sustainable Development, EU's Pacific Technical and Vocational Education and Training Project	Female: 1	1
	Male: 0	
PFIS	Female: 0	2
	Male: 2	
GIZ	Female: 0	1
	Male: 1	
Lauru Land Conference of Tribal Communities (Choiseul,	Female: 0	1

AFFILIATION	GENDER	TOTAL
Solomon Islands)	Male: 1	
UNDP SISWAP Project	Female: 1	1
	Male: 0	
Wildlife Conservation Society	Female: 0	1
	Male: 1	
Ueantabo Mackenzie	Female: 0	1
	Male: 1	
Subtotal		8
USAID Staff Consulted but not Interviewed		
USAID Pacific Islands	Female: 2	4
	Male: 2	
USAID Philippines	Female: 1	3
	Male: 2	
US Embassy PNG	Female: 1	2
	Male: 1	
Subtotal		9
Total		79

## ANNEX VIII: DISCLOSURE OF ANY CONFLICTS OF INTEREST

Disclosure of Conflict of Interest for USAID Evaluation Team Members

<b>Name</b>	Karen Azeez
<b>Title</b>	Program Manager/Evaluation Specialist
<b>Organization</b>	Social Impact
<b>Evaluation Position?</b>	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
<b>Evaluation Award Number (contract or other instrument)</b>	AID-492-TO-16-00003
<b>USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)</b>	USAID/Pacific Islands Global Climate Change Portfolio
<b>I have real or potential conflicts of interest to disclose.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>If yes answered above, I disclose the following facts:</b> <i>Real or potential conflicts of interest may include, but are not limited to:</i> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	

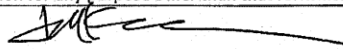
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

<b>Signature</b>	<i>Karen Azeez</i>
<b>Date</b>	10/1/16

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	JOHN MICHAEL KRAMER
Title	TEAM LEADER
Organization	SOCIAL IMPACT
Evaluation Position?	<input checked="" type="checkbox"/> Team Leader <input type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	AID-486-I-14-0001 / AID-492-TO-16-00003
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	SPC-FSP ID-ASIA-10-11-00001 SPREP-CCAP ID-ASIA-10-11-00002 CCAP-DAL AID-492-C-12-00010 PACAM-PGRD AID-492-C-13-00017
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p>If yes answered above, I disclose the following facts:</p> <p>Real or potential conflicts of interest may include, but are not limited to:</p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	


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Signature	
Date	March 21, 2017

Disclosure of Conflict of Interest for USAID Evaluation Team Members

<b>Name</b>	Sally Pita
<b>Title</b>	Local Evaluation Specialist (Solomon Islands)
<b>Organization</b>	Social Impact
<b>Evaluation Position?</b>	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
<b>Evaluation Award Number (contract or other instrument)</b>	AID-492-TD-16-00003
<b>USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)</b>	Pacific Global Climate Change Performance Evaluation Proect, Social Impact, Q015-492-16-00003
<b>I have real or potential conflicts of interest to disclose.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	

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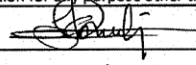
<b>Signature</b>	
<b>Date</b>	5/12/2016



Disclosure of Conflict of Interest for USAID Evaluation Team Members

<b>Name</b>	Gareth Ellison QUILTY
<b>Title</b>	Local Evaluation Specialist
<b>Organization</b>	Social Impact
<b>Evaluation Position?</b>	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
<b>Evaluation Award Number (contract or other instrument)</b>	AW-492-16-00003 / Quity-2016-666
<b>USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)</b>	Pacific Islands Global Climate Change Portfolio, Q015-492-16-00003
<b>I have real or potential conflicts of interest to disclose.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>If yes answered above, I disclose the following facts:</b> <i>Real or potential conflicts of interest may include, but are not limited to:</i> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	


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<b>Signature</b>	
<b>Date</b>	06/12/2016

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Luke Petai
Title	Local Evaluation Specialist
Organization	
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	AID-492-TO-16-0003
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	USAID/Pacific Islands Global Climate Change Portfolio
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p>If yes answered above, I disclose the following facts:</p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	

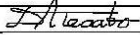
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Signature	
Date	December 2nd 2016

Disclosure of Conflict of Interest for USAID Evaluation Team Members

<b>Name</b>	David A. Teababo
<b>Title</b>	Local Evaluation Specialist
<b>Organization</b>	Social Impact, Inc.
<b>Evaluation Position?</b>	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
<b>Evaluation Award Number(contract or other instrument)</b>	Contract # AID-486-I-14-00001 Task Order # AID-492-TO-16-00003
<b>USAID Project(s) Evaluated(Include project name(s), implementer name(s) and award number(s), if applicable)</b>	USAID/Pacific Islands Global Climate Change Portfolio Performance Evaluation
<b>I have real or potential conflicts of interest to disclose.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>If yes answered above, I disclose the following facts:</b> <i>Real or potential conflicts of interest may include, but are not limited to:</i> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

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<b>Signature</b>	
<b>Date</b>	November 5, 2016