



Independent project evaluation of the

**Development Account Project 1415 O
Climate change impacts on coastal
transport infrastructure in the Caribbean:
enhancing the adaptive capacity of Small
Island Developing States**

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List of acronyms

CCCCC	Caribbean Community Climate Change Centre
DA	Development Account
DESA	United Nations Department of Economic and Social Affairs
DTL	Division on Technology and Logistics
EA	Expected Accomplishment
EC	European Commission
ECLAC	United Nations Economic Commission for Latin America and the Caribbean
GA	General Assembly
GCF	Green Climate Fund
GTA	General Temporary Assistance
JRC	Joint Research Centre
OECS	Organization of Eastern Caribbean States
RBM	Results-Based Management
SDG	Sustainable Development Goal
SIDS	Small Islands Development States
UN	United Nations
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNECE	United Nations Economic Commission for Europe
UNEG	United Nations Evaluation Group
UNEP	United Nations Environment

EXECUTIVE SUMMARY

The project ‘Climate change impacts on coastal transport infrastructure in the Caribbean: enhancing the adaptive capacity of Small Island Developing States’ was financed under the Development Account (DA) 9th Tranche with 595,000 USD. It was implemented under the coordination of the Policy and Legislation Section (PLS) of UNCTAD’s Division on Technology and Logistics (DTL) between June 2014 and December 2017 in Jamaica, Saint Lucia and other Small Islands Development States (SIDS) in the Caribbean.

The DA fund finances capacity development projects of the economic and social entities of the United Nations (UN). It is intended to be a supportive vehicle for advancing the implementation of internationally agreed development goals and the outcomes of the UN conferences and summits by building capacity at three levels: individual, organizational and (enabling) environment.

The project aimed at strengthening the capacity of policy makers, transport planners and transport infrastructure managers in Caribbean SIDS to take appropriate adaptation response measures to climate change impacts on seaports and airports. This objective was to be achieved through two intermediate expected accomplishments. The implementation involved original research, two substantive national case studies in (Jamaica, Saint Lucia) and development of a methodology for assessing climate-related impacts and adaptation options in coastal transport infrastructure (ports and, as appropriate, airports) as a tool for use in other SIDS, as well as three training and capacity building workshops (2 national; 1 regional).

The evaluation was carried out by an external evaluator during the period December 2017 - July 2018 in line with the norms, standards and ethical principles of the United Nations Evaluation Group as well as UNCTAD’s Evaluation Policy. It was retrospective and summative in nature and the information was triangulated at different levels. Some of the main findings and conclusions were:

(a) All sources of information (documents, survey and interviews) confirmed that the potential impact of climate change on transportation systems had not been sufficiently addressed before the project. Therefore, all stakeholders considered that the project was pertinent both from a technical and political point of view. It was highlighted that only UNCTAD had engaged the region in the kind of research and analysis related to climate change impacts and coastal transportation infrastructure. The project as well as its activities and products (workshops and publications) were well suited to address the different regional priorities, including some important bottlenecks identified during the design at national level but also within the region. Many participants reckoned that they would not have been able to hold these discussions without the DA supported-project; from UNCTAD’s side, it would not have been possible to do the additional work without the DA support. The project also contributed to promoting regional cooperation in the Caribbean.

(b) The project was built upon UNCTAD’s experience and it was fully aligned with its mandate by identifying capacity-building needs and promoting sustainable and resilient transport systems and climate change adaptation for transport infrastructure and operations, particularly in SIDS. All sources of information indicated that the project contributed to several UN Conferences and Summits and directly contributed to the achievement of the SDGs. It directly contributed to

several targets of SDG 9 by promoting resilient infrastructure and SDG 13 by taking action to combat climate change and its impacts.

(c) The project design benefitted from a thorough analysis of both country and region specificities. It directly targeted two SIDS (Saint Lucia and Jamaica) but all stakeholders reckoned that the design responded to a research logic at a regional (and global) level. The project implementation – participation in the events (i.e. direct beneficiaries) – was coherent with its design and the thorough stakeholder analysis that complied with DESA guidelines, to some extent, allowed to distinguish between different levels (individual, organizational and enabling environment).

(d) Although important cause-effect assumptions and potential risks were made explicit during the design, the project could have been underpinned by a more comprehensive logic in order to demonstrate that the results were realistic. In particular, the three dimensions of capacity development (individual, institutional, and external enabling environment) could have been addressed by a more robust theory of change. It should nevertheless be noted that, the project addressed the enhancement of knowledge of individuals and to some extent the other two dimensions mainly by (i) aligning with the existing institutional frameworks in order to maximize the effects at organizational level and (ii) collaborating with regional partners that could promote the project results. The implementation strategy was well described in the Project Document.

(e) The project – particularly through the workshops and three substantive reports – contributed to enhance the capacity of policy makers, transport planners and transport infrastructure managers to effectively plan and develop adaptation measures that enhance the resilience of coastal transport infrastructure; i.e. knowledge, awareness and understanding increased at individual level (EA1). Most beneficiaries highlighted that (i) the workshops provided crucial information that could be used in their daily work; (ii) the case studies were seen as eyeopeners and; (iii) the methodology was an excellent, useful and practical tool that filled an existing gap and could be easily applied in similar contexts.

(f) The project, particularly through dissemination of substantive findings, tools and guidance at the workshops, contributed to enhance the knowledge of policy makers, transport planners and transport infrastructure managers about climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations (EA2). In particular, the regional workshop was considered by many stakeholders as (i) an eyeopener (by addressing a topic that was not at the forefront of regional discussions); (ii) particularly timely (in the light of the devastating hurricane season of 2017) and; (iii) a networking opportunity that was particularly appreciated by participants (by bringing together representatives of 21 Caribbean islands/territories). The methodology was considered innovative and practical. In addition, regional workshop participants considered the demonstration of the methodology excellent or very good.

(g) Despite numerous external difficulties, the project was implemented on time and within budget. Project funds were properly allocated to their expected allotment areas. The project benefitted from UNCTAD's comparative advantages in terms of: (i) long-standing expertise and knowledge in the fields of maritime transport and environmental sustainability; (ii) work ahead of curve on climate change impacts and adaption in maritime transport; (iii) established and wide network of world renown transport and climate experts; (iv) access to unique and specialized maritime transport data; and (v) strong capabilities in terms of research and analytical work, consensus building, advisory services and training. There existed an outstanding collaboration between UNCTAD and the different counterparts. UNCTAD was able to draw extensively on multidisciplinary expertise through its informal network of leading researchers and experts in the field of climate change adaptation for transport that added value to the project and helped ensure quality control throughout. All sources of information confirmed that the project was implemented as planned and responded efficiently to the difficulties and changing needs. The evaluation can

affirm that the activities were complementary and reinforced the internal coherence of the project. The majority of beneficiaries thought that the workshops were implemented in an efficient manner and they were satisfied or very satisfied with UNCTAD's logistical support. The level of satisfaction with the quality of the workshops was very high. The workshops included some of the world's leading experts in their respective fields, something that rarely comes together. All the contacted stakeholders considered that the quality of the technical presentations was very high. Most stakeholders highlighted the high quality of the publications. The workshops were also seen as a unique opportunity towards building or strengthening networks of policymakers, experts, researchers and the like.

(h) The logical framework, with indicators agreed with DESA, was useful at the project proposal stage but less so as an effective management tool due, among other things, to the lack of specific disaggregated indicators that comprehensively capture the project's performance.

(i) Due to the recent finalisation of the project, it was too early to draw any conclusions about the project's sustainability, but it was confirmed that the implemented activities contributed to generate interest and increase awareness on climate change impacts. The project results were broadly perceived as important. Local ownership was ensured by involving and consulting stakeholders and the methodology would allow mainstreaming climate change considerations into long-term planning and investment in the transport sector. The project also facilitated the establishment and strengthening of networks within the Caribbean region.

(j) Project findings led to the publication of a research paper in *Regional Environmental Change* (May 2018), a highly respected international journal, presenting key results and some technical elements of the methodology. The methodology and results applied in the case studies were therefore validated by an independent scientific peer-review process. The original research reflected in this paper also advanced current scientific knowledge in the area. In addition, project's findings have informed and will continue to inform UNCTAD's work; synergies are also envisaged at a broader level (e.g. funding proposals by OECS Member States under the Green Climate Fund). It is important to continue to give further publicity to the work done and to broadly disseminate the publications. At the time of the evaluation, DTL PLS was implementing a thorough strategy in this direction under its regular work, including peer-reviewed papers in academic publications and a comprehensive web-platform and forum (SIDSport-ClimateAdapt.unctad.org). This should result in increased political support and appropriation by beneficiaries. Most respondents were of the view that the activities under the project should be replicated in other SIDS in the Caribbean.

(k) Despite the recent finalisation of the project, the evaluation found evidence of its contribution to long-term processes that were triggered as a consequence of the mentality changes influenced by the activities. There is evidence that the project – and in particular the two case studies – contributed to improve decision-making and coastal transport infrastructure planning and operation in the beneficiary countries. The achievement of “concrete development impacts” was particularly interesting in the framework of a project with strong focus on research (regional and global level).

(l) The project did not incorporate a thorough gender perspective either in its design or during its implementation. The fact that gender considerations were not at the forefront of the project is in part explained by the technical nature of the subject matter. Nevertheless, an effort was made to ensure women participation during implementation and many of the three workshop participants as well as the contributing experts were women. With few exceptions, all UNCTAD staff involved in the design and implementation of the project as well as project consultants were women.

(m) The project was implemented in an excellent collaboration with numerous partners (international, regional organizations, academic and research institutions etc.) In particular,

strategic collaborations with non-UN partners allowed to create important synergies and added significant value to the project such as leveraging financial resources in the form of in-kind contributions or facilitating dissemination and sustainability. In addition, a significant effort was made to include a core of key stakeholders at the regional and sub-regional levels in the activities.

Based on these findings and conclusions, the evaluation recommends the following:

(1) To facilitate results based management, UNCTAD should systematically develop a more comprehensive theory of change at the project design phase that better explains the causality chain to achieve the objectives and results. The theory of change should identify intermediate effects and assumptions that are not necessarily under the control of the project. A possible outcome for DESA (and UNCTAD) could be to include one expected accomplishment for each dimension of capacity-building. Different stakeholders should be involved or, where possible, their role in solving the problem should be identified during the design. *[Based on conclusions d and h]*

(2) DESA should consider greater flexibility to allow for UNDA funds to assist with administrative issues, given that regular staff movements cannot be avoided or planned. In addition, it is suggested that DESA and UNCTAD review their practices, so that regional consultants can be employed (while UNDA values involvement of regional consultants, UNCTAD rules allow only recruitment of national or international consultants). *[Based on conclusion g]*

(3) UNCTAD and DESA should review their procedures and develop guidelines and tools to ensure gender equality is mainstreamed into planning, monitoring and reporting mechanisms. As appropriate, project design could include positive actions to (i) ensure equal and active participation of women in the activities; (ii) promote the added value of incorporating gender issues into the beneficiaries' work; and (iii) include gender-sensitive indicators and targets. Gender experts or representatives may be invited to the activities to ensure ongoing focus on gender issues. *[Based on conclusion l]*

(4) UNCTAD should enhance its “dissemination strategy” at project outset and/or during its implementation in order to maximize the project’s sustainability. This could also (i) include targeted activities and; (ii) identify opportunities to link the project results and methodology with UNCTAD’s regular work. It could involve (i) continue partnering with regional actors (e.g. focusing on reaching policy makers at senior level and also involving civil society if possible) and; (ii) continue to encourage active participation of users of the web-based platform (e.g. including a feature on “who to speak with” if there are questions after reading the available documents, organizing webinars and/or moderated e-discussions on the use of the methodology, etc.) *[Based on conclusions i and j]*

(5) UNCTAD/DTL should continue to promote the replication of the activities and UNDA follow-up funding could be offered for projects with meaningful follow-up. In particular, UNCTAD/DTL should continue to ensure coordination with regional and national partners that are currently seeking funds to implement actions on the basis of the project findings and methodology. *[Based on conclusions k and m]*

Finally, the following lessons were learned during the evaluation:

(a) UNCTAD is an excellence-driven organisation with a strong record and reputation in all regions. Its involvement has the potential to bring about significant efficiency gains by catalyzing

dialogue, facilitating access to cutting-edge knowledge and attracting additional contributions into the projects (in-kind or others). In line with its mandate, UNCTAD promotes multilateral dialogue, knowledge sharing and networking at the regional level, and works together to promote intra- and inter- regional cooperation.

(b) The role of the DA as a vehicle for member countries to tap into the normative and analytical expertise of the UN Secretariat was evident throughout the project. By offering distinctive knowledge and skills that are rarely dealt with by other development partners, the DA is well placed to play a game changer role in terms of promoting exchange of knowledge and transferring skills among countries.

(c) The DA and UNCTAD have been significant gap-fillers as, without the DA support and without the work guided by UNCTAD, the particular issues addressed by the project would not have been examined in many countries and these type of discussions would not have taken place.

(d) The project clearly illustrates the benefits of the strategy of working at national and regional level. In particular, it achieved concrete results by including specific case studies. It also demonstrated that working closely with regional partners is an effective way to promote a common vision that, in turn, is able to strengthen the project's results, broaden the dissemination of products and enhance sustainability.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings: problems and issues identified	Evidence (sources that substantiate findings)	Recommendations
Key recommendations		
<p>(d) Although important cause-effect assumptions and potential risks were made explicit during the design, the project could have been underpinned by a more comprehensive logic in order to demonstrate that the results were realistic. In particular, the three dimensions of capacity development (individual, institutional, and external enabling environment) could have been addressed by a more robust theory of change. It should nevertheless be noted that, the project addressed the enhancement of knowledge of individuals and to some extent the other two dimensions mainly by (i) aligning with the existing institutional frameworks in order to maximize the effects at organizational level and (ii) collaborating with regional partners that could promote the project results. The implementation strategy was well described in the Project Document.</p> <p>(h) The logical framework, with indicators agreed with DESA, was useful at the project proposal stage but less so as an effective management tool due, among other things, to the lack of specific disaggregated indicators that comprehensively capture the project's performance.</p>	<p>Documents, interviews and survey</p>	<p>(1) To facilitate results based management, UNCTAD should systematically develop a more comprehensive theory of change at the project design phase that better explains the causality chain to achieve the objectives and results.</p> <p>The theory of change should identify intermediate effects and assumptions that are not necessarily under the control of the project. A possible outcome for DESA (and UNCTAD) could be to include one expected accomplishment for each dimension of capacity-building. Different stakeholders should be involved or, where possible, their role in solving the problem should be identified during the design.</p>

<p>(g) Despite numerous external difficulties, the project was implemented on time and within budget. Project funds were properly allocated to their expected allotment areas. The project benefited from UNCTAD's comparative advantages in terms of: (i) long-standing expertise and knowledge in the fields of maritime transport and environmental sustainability; (ii) work ahead of curve on climate change impacts and adaption in maritime transport; (iii) established and wide network of world renown transport and climate experts; (iv) access to unique and specialized maritime transport data; and (v) strong capabilities in terms of research and analytical work, consensus building, advisory services and training. There existed an outstanding collaboration between UNCTAD and the different counterparts. UNCTAD was able to draw extensively on multidisciplinary expertise through its informal network of leading researchers and experts in the field of climate change adaptation for transport that added value to the project and helped ensure quality control throughout. All sources of information confirmed that the project was implemented as planned and responded efficiently to the difficulties and changing needs. The evaluation can affirm that the activities were complementary and reinforced the internal coherence of the project. The majority of beneficiaries thought that the workshops were implemented in an efficient manner and they were satisfied or very satisfied with UNCTAD's logistical support. The level of satisfaction with the quality of the workshops was very high. The workshops included some of the world's leading experts in their respective fields, something that rarely comes together. All the contacted stakeholders considered that the quality of the technical presentations was very high. Most stakeholders highlighted the high quality of the publications. The workshops were also seen as a unique opportunity towards building or strengthening networks of policymakers, experts, researchers and the like.</p>	<p>Documents, interviews and survey</p>	<p>(2) DESA should consider greater flexibility to allow for UNDA funds to assist with administrative issues, given that regular staff movements cannot be avoided or planned. In addition, it is suggested that DESA and UNCTAD review their practices, so that regional consultants can be employed (while UNDA values involvement of regional consultants, UNCTAD rules allow only recruitment of national or international consultants).</p>
<p>(l) The project did not incorporate a thorough gender perspective either in its design or during its implementation. The fact that gender considerations were not at the forefront of the project is in part explained by the technical nature of the subject matter. Nevertheless, an effort was made to ensure women participation during implementation and many of the three workshop participants as well as the contributing experts were women. With few exceptions, all UNCTAD staff involved in the design and implementation of the project as well as project consultants were women.</p>	<p>Documents, interviews and survey</p>	<p>(3) UNCTAD and DESA should review their procedures and develop guidelines and tools to ensure gender equality is mainstreamed into planning, monitoring and reporting mechanisms. As appropriate, project design could include positive actions to (i) ensure</p>

		<p>equal and active participation of women in the activities; (ii) promote the added value of incorporating gender issues into the beneficiaries' work; and (iii) include gender-sensitive indicators and targets. Gender experts or representatives may be invited to the activities to ensure ongoing focus on gender issues.</p>
<p>(i) Due to the recent finalisation of the project, it was too early to draw any conclusions about the project's sustainability, but it was confirmed that the implemented activities contributed to generate interest and increase awareness on climate change impacts. The project results were broadly perceived as important. Local ownership was ensured by involving and consulting stakeholders and the methodology would allow mainstreaming climate change considerations into long-term planning and investment in the transport sector. The project also facilitated the establishment and strengthening of networks within the Caribbean region.</p> <p>(j) Project findings led to the publication of a research paper in <i>Regional Environmental Change</i> (May 2018), a highly respected international journal, presenting key results and some technical elements of the methodology. The methodology and results applied in the case studies were therefore validated by an independent scientific peer-review process. The original research reflected in this paper also advanced current scientific knowledge in the area. In addition, project's findings have informed and will continue to inform UNCTAD's work; synergies are also envisaged at a broader level (e.g. funding proposals by OECS Member States under the Green Climate Fund). It is important to continue to give further publicity to the work done and to broadly disseminate the publications. At the time of the evaluation, DTL PLS was implementing a thorough strategy in this direction under its regular work, including peer-reviewed papers in academic publications and a comprehensive web-platform and forum (SIDSport-ClimateAdapt.unctad.org). This should result in increased political support and appropriation by beneficiaries. Most respondents were of the view that the activities under the project should be replicated in other SIDS in the Caribbean.</p>	<p>Documents, interviews and survey</p>	<p>(4) UNCTAD should enhance its "dissemination strategy" at project outset and/or during its implementation in order to maximize the project's sustainability. This could also (i) include targeted activities and; (ii) identify opportunities to link the project results and methodology with UNCTAD's regular work. It could involve (i) continue partnering with regional actors (e.g. focusing on reaching policy makers at senior level and also involving civil society if possible) and; (ii) continue to encourage active participation of users of the web-based platform (e.g. including a feature on "who to speak with" if there are questions after reading the available documents, organizing webinars and/or moderated e-</p>

		discussions on the use of the methodology, etc.)
<p>(k) Despite the recent finalisation of the project, the evaluation found evidence of its contribution to long-term processes that were triggered as a consequence of the mentality changes influenced by the activities. There is evidence that the project – and in particular the two case studies – contributed to improve decision-making and coastal transport infrastructure planning and operation in the beneficiary countries. The achievement of “concrete development impacts” was particularly interesting in the framework of a project with strong focus on research (regional and global level).</p> <p>(m) The project was implemented in an excellent collaboration with numerous partners (international, regional organizations, academic and research institutions etc.) In particular, strategic collaborations with non-UN partners allowed to create important synergies and added significant value to the project such as leveraging financial resources in the form of in-kind contributions or facilitating dissemination and sustainability. In addition, a significant effort was made to include a core of key stakeholders at the regional and sub-regional levels in the activities.</p>	Documents, interviews and survey	<p>(5) UNCTAD/DTL should continue to promote the replication of the activities and UNDA follow-up funding could be offered for projects with meaningful follow-up. In particular, UNCTAD/DTL should continue to ensure coordination with regional and national partners that are currently seeking funds to implement actions on the basis of the project findings and methodology.</p>
General recommendations		
To undertake an evaluation at a more strategic level and with a more comprehensive methodology to thoroughly investigate contribution and/or attribution of the DA projects and how to maximise their impact and sustainability.		

I. INTRODUCTION

Background and context

This report presents the final evaluation of the Development Account (DA) financed project ‘Climate change impacts on coastal transport infrastructure in the Caribbean: enhancing the adaptive capacity of Small Island Developing States’ (herein referred to as the project). The evaluation was carried out by Raul Guerrero (herein referred to as the Evaluator) as commissioned by the United Nations Conference on Trade and Development (UNCTAD). See the terms of reference in Annex I.

Development Account

The DA was established by the General Assembly (GA) in 1997, as a mechanism to fund capacity development projects of the economic and social entities of the United Nations (UN). It is intended to be a supportive vehicle for advancing the implementation of internationally agreed development goals and the outcomes of the UN conferences and summits by **building capacity at three levels: individual, organizational and (enabling) environment**. The DA adopts a medium to long-term approach in helping countries to better integrate social, economic and environmental policies and strategies in order to achieve inclusive and sustained economic growth, poverty eradication, and sustainable development.

DA projects are implemented by global and regional entities, cover all regions of the globe and focus on five thematic clusters. Projects are programmed in tranches, which represent the Account's programming cycle. The DA is funded from the Secretariat's regular budget and UNCTAD is one of its 10 implementing entities. The UN Department of Economic and Social Affairs (DESA) provides overall management of the DA portfolio.

DA projects aim at achieving development impact through building the socio-economic capacity of developing countries through collaboration at the national, sub-regional, regional and inter-regional levels. The DA provides a mechanism for promoting the exchange and transfer of skills, knowledge and good practices among target countries within and between different geographic regions, and through the cooperation with a wide range of partners in the broader development assistance community. It provides a bridge between in-country capacity development actors, on the one hand, and UN Secretariat entities, on the other. The latter offers distinctive skills and competencies in a broad range of economic and social issues that are often only marginally dealt with by other development partners at country level.

For target countries, the DA provides a vehicle to tap into the normative and analytical expertise of the UN Secretariat and receive on-going policy support in the economic and social area, particularly in areas where such expertise does not reside in the capacities of the UN country teams. The DA's operational profile is further reinforced by the adoption of pilot approaches that test new ideas and eventually scale them up through supplementary funding, and the emphasis on integration of national expertise in the projects to ensure national ownership and sustainability of project outcomes.

Project description

The project was financed under the DA's 9th Tranche (2014-2015) and implemented under the coordination of the Policy and Legislation Section (PLS) of UNCTAD's Division on Technology and Logistics (DTL). As foreseen in the Project Document, it was implemented during the period June 2014 - December 2017 for a total budget of USD 595,000 in Jamaica, Saint Lucia and other Small Islands Development States (SIDS) in the Caribbean.

It aimed at strengthening the capacity of policy makers, transport planners and transport infrastructure managers in Caribbean SIDS to take appropriate adaptation response measures to climate change impacts on seaports and airports. This objective was to be achieved through two intermediate expected accomplishments (EAs):

- Enhanced capacity of policy makers, transport planners and transport infrastructure managers in select Caribbean SIDS to effectively plan and develop requisite adaptation measures that enhance the resilience of coastal transport infrastructure (EA1).
- Enhanced knowledge among policy makers, transport planners and transport infrastructure managers in Caribbean SIDS of climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations (EA2).

The table below summarises the intervention logic in relation to its EAs, main activities and indicators as described in the Project Document.

Table 1 – Intervention logic

EXPECTED ACCOMPLISHMENTS	MAIN ACTIVITIES
EA1 Enhanced capacity of policy makers, transport planners and transport infrastructure managers in select Caribbean SIDS to effectively plan and develop requisite adaptation measures that enhance the resilience of coastal transport infrastructure.	A1.1 Carry out a case-study A1.2 Organize an expert group meeting A1.3 Develop guidance and training material A1.4 Organize two national capacity-building workshops A1.5 Organize a follow-up technical meeting
EA2 Enhanced knowledge among policy makers, transport planners and transport infrastructure managers in Caribbean SIDS of climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations.	A2.1 Finalize the guidance and training material (consolidate input and feedback gathered at the national workshops) A2.2 Organize a regional capacity-building workshop A2.3 Establish a web-based platform

Source: Project Document

Implementation

The Project Document also described the mechanisms to deliver the activities (theory of action). It was noted that one given activity could help achieve more than one single EA and therefore create synergies and ensure an optimal use of resources. The first project component involved original research and three substantive studies - developing a methodology using a case study approach whereby two substantive national case studies were carried out:

- two case studies, including (i) assessment of vulnerability of critical ports and airports in Jamaica and in Saint Lucia, respectively, to marine flooding and certain other climate factors (thresholds method) that may lead to operational disruptions; and (ii) assessment of options for adaptation in Jamaica and Saint Lucia in response to the potential impacts;
- methodology for assessing climate-related impacts and adaptation options in coastal transport infrastructure (ports and, as appropriate, airports) as a tool for use in other SIDS.

The methodology was further refined during subsequent activities that involved:

- preparation of guidance and training material;
- a technical Expert Meeting held in June 2016 in Geneva;
- two national capacity-building workshops in Jamaica and Saint Lucia¹;
- a regional capacity-building workshop²; and
- a web-based platform.

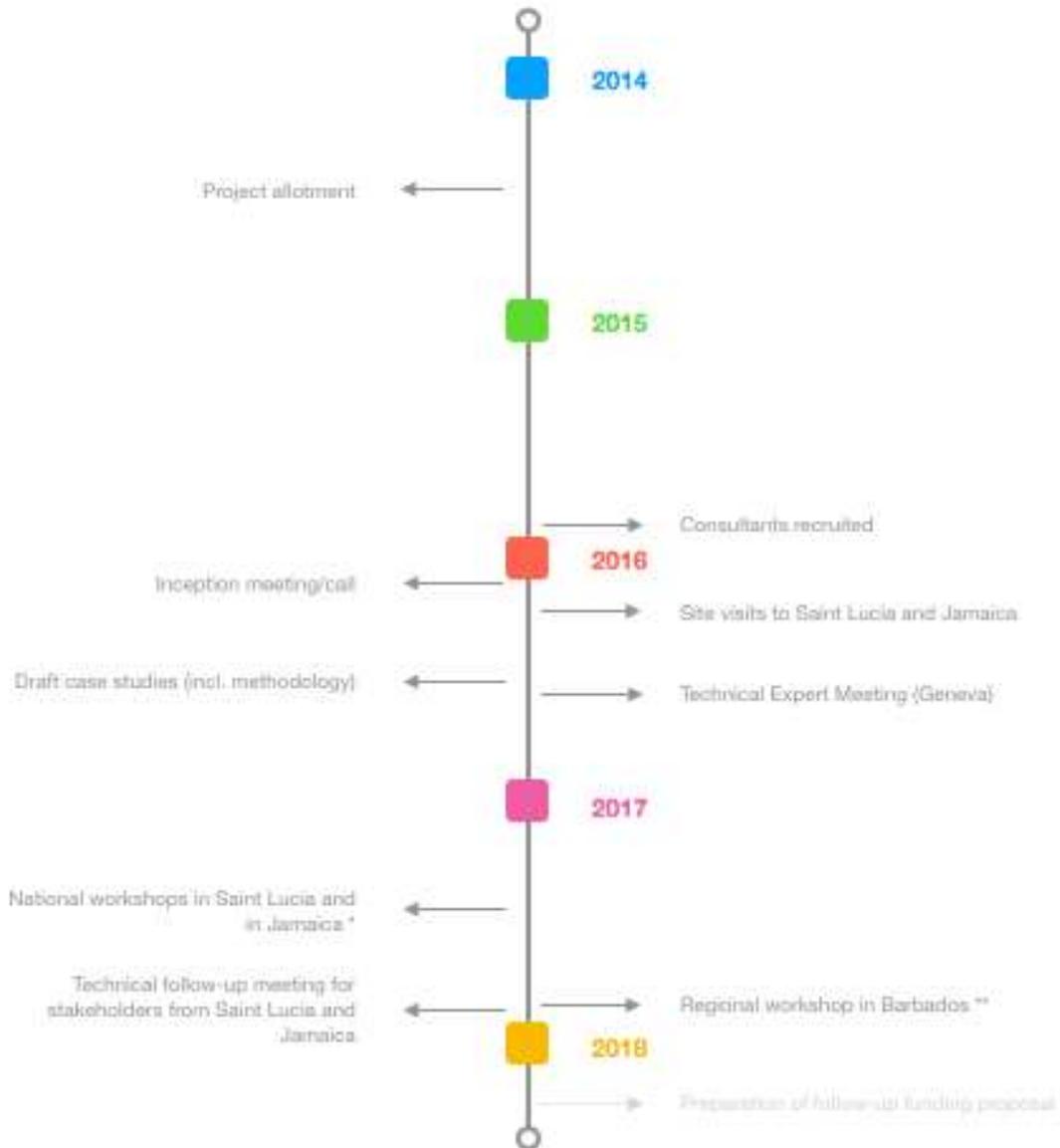
UNCTAD DTL PLS led the implementation of the project with the collaboration in some activities of UN Economic Commission for Latin America and the Caribbean (ECLAC) sub-regional headquarters for the Caribbean, Trinidad, UN Development Programme (UNDP), UN Environment (UNEP), UN Economic Commission for Europe (UNECE) Expert Group Climate Change Impacts and Adaptation for International Transport Networks and Nodes, Caribbean Community Climate Change Centre (CCCCC), Organization of Eastern Caribbean States (OECS), European Commission's Joint Research Centre (JRC) and academic experts (implementing partners such as the University of the West Indies, University of Rhode Island and University of Tokyo). The graphic below summarises the activities implemented by the project.

¹ The project organised two national workshops:

- UNCTAD National workshop "Climate change impacts and adaptation for coastal transport infrastructure in Caribbean SIDS", 24-26 May 2017, Rodney Bay, Saint Lucia
- UNCTAD National workshop "Climate change impacts and adaptation for coastal transport infrastructure in Caribbean SIDS", 30 May-1 June 2017, Kingston, Jamaica

² UNCTAD Regional Workshop "Climate change impacts and adaptation for coastal transport infrastructure in the Caribbean", 5-7 December 2017, Bridgetown, Barbados

Figure 1 – Timeline of the project



* The national workshops in Saint Lucia and in Jamaica (May-June 2017) allowed to:

- present and discuss the draft case studies and methodology and provide relevant demonstration/training and related expert information; and
- gather input and feedback from stakeholders.

** The regional workshop in Barbados (December 2017) allowed to:

- present and discuss the case studies and methodology and provide relevant demonstration/training and related expert information;
- gather input and feedback from stakeholders across the region (21 countries and territories); and
- consider of follow-up and areas for concerted action.

Source: Elaborated by the evaluator

Stakeholders

The Project Document identified the relevant stakeholders to develop capacities to address climate change impacts on coastal transport infrastructure, services and operations in SIDS. It highlighted that an overriding gap affecting all stakeholders was the need for more knowledge, information and understanding of developments in transport and trade as well as in climate data.

The participants in the different events were selected for their competencies, technical skills, and decision-making role at the policy-making, operational, financial as well as research and analytical level. In this line, the Project Document analyzed the roles of the different stakeholders, including:

- nature of involvement in the project;
- capacities and related needs for supporting the project objective; and
- desired future outcomes as well as the level of influence on the successful achievement of the overall objective of the project.

The main (direct) beneficiaries of the project were the participants in the workshops: National workshop in Saint Lucia (34), National workshop in Jamaica (47) and Regional workshop in Barbados (64). The total number of direct beneficiaries is 142 and not 145 as three participants in the Regional workshops had also participated in their respective National workshops.

A quick analysis of the participant lists show that the project mainly targeted: (i) government officials from relevant ministries including transport, planning, infrastructure, environment and other policy-makers (approx. 40%); and (ii) representatives from seaport and airport authorities (approx. 35%). Nevertheless, a broader spectrum of stakeholders participated in the activities, including: (i) representatives from the academia and researchers (approx. 13%); (ii) intergovernmental and non-governmental organizations (e.g. financial institutions, development banks, global trade representatives, etc.) (approx. 8%) and (iii) private sector representatives (e.g. shipping, aviation, tourism, insurance etc.) (approx. 4%).

The participants in the two national workshops focused more on a broad spectrum of national stakeholders (private entities, government, authorities) while the regional workshop primarily targeted seaports and airports authorities from 21 countries and territories.³ The table below illustrates the main beneficiary groups that participated in the events.

³ In addition to Saint Lucia and Jamaica, the following Caribbean countries/territories benefited from the regional workshop and from the transferable methodology prepared under the project: Anguilla, Antigua & Barbuda, Bahamas, Barbados, Belize, Bermuda, British Virgin Islands, Cayman Islands, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Montserrat, St Kitts & Nevis, Saint Vincent and the Grenadines, Suriname, Trinidad & Tobago and Turks & Caicos. A representative of the African, Caribbean and Pacific (ACP) Group of States also participated in the regional workshop, with a view to facilitating dissemination of project outputs in other geographical regions.

Table 2 – Main beneficiaries of the project

		National workshop in Saint Lucia	National workshop in Jamaica	Regional workshop in Barbados	TOTAL
Government officials from relevant ministries	High level decision makers	6 (18%)	8 (17%)	3 (5%)	17 (12%)
	Officials/working level	23 (68%)	10 (21%)	7 (11%)	40 (28%)
Seaport and airports authorities	High level decision makers *	2 (6%)	3 (6%)	8 (12%)	13 (9%)
	Officials/working level **	2 (6%)	14 (30%)	22 (34%)	38 (26%)
Other stakeholders whose activities intersect with seaports and airport (e.g. insurance industry, fisheries, tourism)		-	2 (4%)	4 (6%)	6 (4%)
Academia and research institutions		-	9 (19%)	10 (16%)	19 (13%)
Intergovernmental and regional development cooperation partners and non-governmental organizations (such as ACI)		1 (3%)	1 (2%)	10 (16%)	12 (8%)
TOTAL		34 (23%)	47 (32%)	64 *** (44%)	145

* Presidents, vice-presidents, chief executive officers, managing directors, chairpersons, superintendents, directors, etc.

** Transport planners, operators, infrastructure managers, etc.

*** It does not include two UNCTAD staff and three project consultants that appear in the list of participants.

Source: Elaborated by the evaluator

Evaluation Purpose and Scope

This final evaluation was carried out during the period December 2017 - July 2018 in accordance with the GA resolutions 54/236 of December 1999 and 54/474 of April 2000, which endorsed the Regulations and Rules Governing Programme Planning, Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME).⁴

The evaluation was conducted in line with the norms, standards and ethical principles of the United Nations Evaluation Group (UNEG)⁵ as well as UNCTAD's Evaluation Policy. The information was triangulated at different levels (including sources and methods). To the extent possible, the evaluator ensured a cross-checking of all findings through each line of inquiry with one another

⁴ All programmes are to be evaluated on a regular, periodic basis, covering all areas of work under their purview.

⁵ Standards for Evaluation, UNEG, April 2005: <http://www.unevaluation.org/document/detail/22>

Norms for Evaluation, UNEG, April 2005: <http://www.uneval.org/document/detail/21>

Ethical Guidelines for Evaluation, UNEG, March 2008: <http://www.unevaluation.org/document/detail/102>

(e.g. desk research, interviews, survey, beneficiaries, project managers, etc.) in order to credibly and comprehensively answer the evaluation questions.

In addition, an effort was dedicated to assess the extent to which UNCTAD's activities and products incorporated gender concerns and human rights considerations. The evaluation process itself (including its design, data collection and dissemination of results) was carried out in alignment with these principles. In particular, the evaluator ensured the right conditions for the participation of all beneficiaries without distinction of their sex or ethnic group.

Evaluation Methodology

The evaluation (retrospective and summative in nature) was structured around four UNEG standard evaluation criteria (relevance, efficiency, effectiveness and sustainability, the impact of the project was addressed as a proxy for sustainability) and two additional UNCTAD criteria (gender and human rights and partnerships). The analysis of each criteria was guided by a set of evaluation questions to explain “the extent to which”, “why”, and “how” specific outcomes were attained; both anticipated and unanticipated results were considered.

Figure 2 – Evaluation criteria

RELEVANCE	The extent to which the project and its activities were suited to the priorities and policies of the region and countries at the time of formulation and to what extent they were linked or related to UNCTAD’s mandate and programme of work. The extent to the project was based on a system approach that took into account the three dimensions of capacity development (individual, institutional, and enabling environment).
EFFICIENCY	Measurement of the outputs (qualitative and quantitative) in relation to the inputs, including complementarity (the extent to which the activities and the outcomes of the project have been able to establish and/or exploit synergies with other actions implemented by UNCTAD, other UN bodies or local organisations) and value added (the extent to which the project’s activities and outcomes have confirmed the advantages of UNCTAD’s involvement).
EFFECTIVENESS	The extent to which the activities attained its objectives and expected accomplishments. The extent to which the project was based on a system approach that took into account the three dimensions of capacity development (individual, institutional, and enabling environment); and two components (demand and supply). To what extent the project contributed to create the right incentives for capacity development processes.
SUSTAINABILITY	The extent to which the benefits of the project are likely to continue after funding has been withdrawn, including long-term impact (e.g. contribution to the SDGs), dissemination and replication. To what extent are the capacity development processes owned by those who developed their capacity.
GENDER AND HUMAN RIGHTS	The extent to which gender mainstreaming considerations were incorporated into the project design and the implementation of activities. The extent to which the project promoted human rights and gender equality. To what extent the project and its activities contributed towards long-term impact, including the achievement of the SDGs, and advanced UNCTAD's efforts to promote equitable transport and trade.
PARTNERSHIPS AND SYNERGIES	The extent to which the project advanced partnerships with national and regional counterparts, the civil society and/or the private sector. The extent to which collaboration brought additional value added into the project. The extent to which complementarities were identified and synergies created.

Source: *Elaborated by the evaluator*

The evaluation has been undertaken as a desk study and organized in three phases:

Inception

This phase started with the Document Review. The purpose during this phase was to get familiar with the project, context, main stakeholders (partners, beneficiaries, etc.) and results (intended and achieved). This entailed reviewing relevant documentation (see the full list in Annex III), identifying key stakeholders and a very comprehensive presentation made by DTL PLS (project manager) during the mission to Geneva.

This phase concluded with the elaboration of the Inception Report that described the overall evaluation approach, including an evaluation matrix. The evaluation matrix served as an overarching tool to guide the preparation of the data collection tools and efforts to implement them. It also presented how the evaluation criteria and key questions had been organized (e.g. in order to avoid repetition and lengthiness by using encapsulating questions).

Data collection

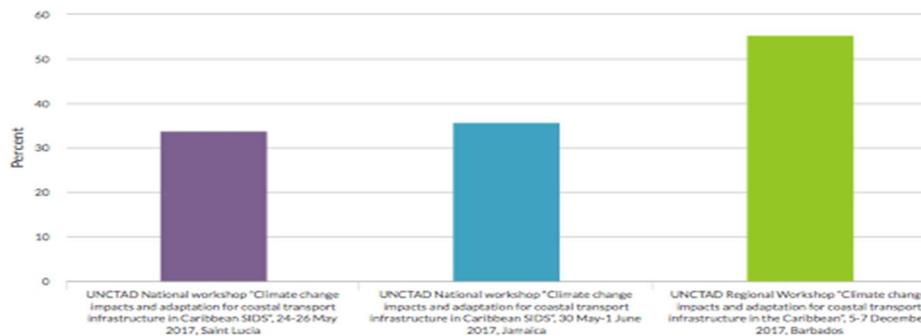
To the extent possible, data was collected and analysed through a mixed method approach. On the basis of the evaluation matrix, several tools were developed to gather primary data, including specific interview protocol and a survey questionnaire.

In order to probe different hypothesis, a survey was conducted among all the (main) project beneficiaries (i.e. 142 participants in the events organised by the project: National workshop in Saint Lucia, National workshop in Jamaica and Regional workshop in Barbados). The survey was administered online (using SurveyGyzmo) and it was designed to be completed in 20-30 minutes. The survey questionnaire is included in Annex II.

The survey yielded 56 replies (44 complete and 12 partial) that approximately represents 40% of the total participants. These include 34 men (61%) and 22 women (39%). The response rate was approximately 50% (non-working emails are not counted in the survey universe).

34% of the respondents participated in the national workshop organised in Saint Lucia (19 responses), 36% in the one in Jamaica (20 responses) and 55% in the regional workshop in Barbados (31 responses). Out of these, five participated in the three workshops, two in Jamaica and Barbados and two in Saint Lucia and Barbados.

Figure 3 – Survey question 5: In what workshop(s) did you participate?



Compared with the figures shown in table 2, the survey responses distribution quite match the total participants. The participants in the national workshop in Saint Lucia are slightly over represented and the participants in the regional workshop (Barbados) are slightly under represented.

16 respondents worked at ministries (29%), 12 at airport authorities (21%), nine at seaport authorities (16%), seven at academia or research institutions (12%), five at other government institution (9%), four at intergovernmental organisations (7%), two at the UN system (4%) and one at the military (2%). Approximately 35% occupied positions at the level of manager/director and the same percentage worked at technical level; the rest include researchers (17%), administrative

personnel (9%), consultants (2%) and police officers (2%). 27% worked in Saint Lucia and the same percentage in Jamaica; the rest worked in 13 different countries.⁶

In addition, the evaluator carried out (i) in-person semi-structured interviews with three UNCTAD staff (two women) during a mission to Geneva and (ii) remote (video-conference) with a sample of eight beneficiaries (four women). The later included three participants in the Saint Lucia workshop (two of them also participated in the regional one), two in the Jamaica workshop (one also attended the regional one) and three in the renal workshop in Barbados. See the full list of interviewees in Annex IV.

Table 3 – Interviews with the beneficiaries of the project

Workshop	Governments	Transport authorities	Intergovernmental and regional partners	TOTAL
Saint Lucia	1	1	1	3
Jamaica	-	2	1	3
Barbados	1	1	4	6
TOTAL	2	4	6	

Source: Elaborated by the evaluator

Analysis and reporting

The evaluator utilized the data collected to (i) make judgments on whether meanings and assertions from the different data sources were trustworthy and (ii) identify patterns in the data, be it consistencies or co-variations⁷. The evaluation included a content analysis of findings from the document review to the furthest extent that they provided answers to the evaluation questions.

In addition, the interview responses were analyzed to tease out any details, gaps and uncertainties to questions that were not clarified by the documentary evidence. For those questions that were answered through the documents, these responses were cross-checked with the responses from interviewees for convergence. Finally, the evaluator reviewed the results of the survey to check (i) internal consistency between the different respondents and (ii) external consistency among the survey results and the findings from the other sources.

Limitations

Complex systems present a serious challenge for attribution and his end-of-project evaluation should be seen as a quick review through an expedited process. In this regard, most stakeholders

⁶ Anguilla, Antigua & Barbuda, Barbados, Belgium, Belize, British Virgin Islands, Cayman Islands, Dominica, Montserrat, Saint Kitts & Nevis, Suriname, Trinidad & Tobago and United States of America.

⁷ An effect is attributed to the one of its possible causes with which, over time, it co-varies (Kelley, 1973).

only knew one specific activity and very few were able to identify the project as a whole. The evaluability⁸ of the project was also limited due to the absence of baseline and monitoring data. Therefore, the findings should be taken with caution, in particular those related to the project's effects at policy level. As discussed earlier, the impact of the project has only been slightly tackled by this evaluation.

To some extent, the evaluation relied on the memories of project participants and, despite the triangulation foreseen by the methodology, the evaluation might contain biases of various kinds. In this regard, it should be noted that (i) the reformulation of hypotheses has been very limited; (ii) the limited number of actors consulted poses a risk of inconclusive findings and; (iii) the methodology did not foresee (intentionally) to investigate power relationships, possible conflicts and the boundaries of the system⁹ (this means that the evaluation did not seek to answer why some aspects were prioritized over others).

⁸ The extent to which an activity or project can be evaluated in a reliable and credible fashion (OECD-DAC, 2010).

⁹ The boundaries of the system define what is inside and what is outside.

II. EVALUATION FINDINGS

Relevance

Relevance to the national and regional needs

All sources of information (documents, survey and interviews) confirmed that the potential impact of climate change on transportation systems had not been sufficiently addressed before the project. Therefore, all stakeholders considered that the project was pertinent both from a technical and political point of view. It was highlighted that only UNCTAD had engaged the region in the kind of research and analysis related to climate change impacts and coastal transportation infrastructure. The project as well as its activities and products (workshops and publications) were well suited to address the different regional priorities, including some important bottlenecks identified during the design at national level but also within the region. The project also contributed to promoting regional cooperation in the Caribbean.

The Project Document highlighted that SIDS (i) shared a number of environmental vulnerabilities such as sea-level rise and extreme weather events and (ii) crucially depended on well-functioning and reliable access to transportation services, in particular to service their highly strategic tourism industry. Underpinning the logic of the intervention, it was assumed that SIDS capacity to adapt and build the resilience of their coastal transport infrastructure was constrained due to (i) their limited capacity to conduct targeted vulnerability studies, (ii) carry out cost assessments and (iii) identify and prioritize requisite adaptation options.

During the last decades, different initiatives have been initiated to advance towards climate change adaptation in the Caribbean (e.g. Caribbean Planning for Adaptation to Climate Change, CCCCC, Adapting to Climate Change in the Caribbean Project, Mainstreaming Adaptation to Climate Change Project, Special Pilot Adaptation to Climate Change Project, etc.) These initiatives built the capacity of the Caribbean SIDS to address climate change by helping them assess vulnerability and mainstream adaptation planning into the decision-making and planning processes at the national and regional levels. However, they did not specifically address the transportation sector.

In this context, it was considered fundamental that SIDS improved their understanding of the implications of climate change for their seaports and airports in order to be able to integrate relevant climate change considerations into their transport-related decision-making processes. The intention was therefore to implement a well-targeted capacity building action with a view to assessing local vulnerability and risks, determining impacts and costs as well as identifying adaptation needs and prioritizing adequate response measures.

The technical assistance requirements of SIDS in terms of transport infrastructure adaptation to climate change were highlighted at a number of UNCTAD expert meetings in 2009, 2010, 2011

and 2014.¹⁰ The design hypothesis were supported by relevant references that demonstrated their credibility and all the assumed causal relationships seemed plausible. In this sense, all beneficiaries confirmed during the interviews and survey that the project was pertinent from both a technical and a political point of view. Some of their statements to the evaluation confirmed the existence of the demand that had been identified by UNCTAD:

- *Transportation infrastructure (particularly airports and seaports) are critical for Caribbean SIDS in meeting the social and economic needs of its peoples. It is also important for tourism which is key for these economies.*
- *Climate change and sea-level rise is highly relevant to all islands countries.*
- *We must prepare our airport master plan with sea level rise in mind.*
- *My company is a key coastal infrastructure very likely to be impacted by climate change and the workshop brought this into sharp focus.*
- *All Caribbean countries are experiencing the devastating impacts of climate change, and are working sector by sector. Some sectors have not yet been reached in terms of resilience building.*
- *Functional ports and airports are essential for effective movement of a country's goods, services and population. Without their efficient operation, Caribbean countries are crippled and exposed to the aftermath of disasters as witnessed last year with the two category 5 hurricanes in the region. Emergency supplies could not be accessed, emergency crews could not function, the life-blood tourism industry comes to a halt, etc.*
- *Our airport is located on the south western coastline of the island and is already seeing evidence of coastal erosion.*
- *Without proper means of external transport, my country's economy would collapse.*
- *My country is already late in identifying the possible implications and mitigations for climate change.*
- *The workshop was not only relevant, it was also timely. Having just come out of one of the most disastrous hurricane seasons in the Caribbean region, the workshop's topic was the answer to a number of questions that had arisen as a result of hurricane season 2017.*

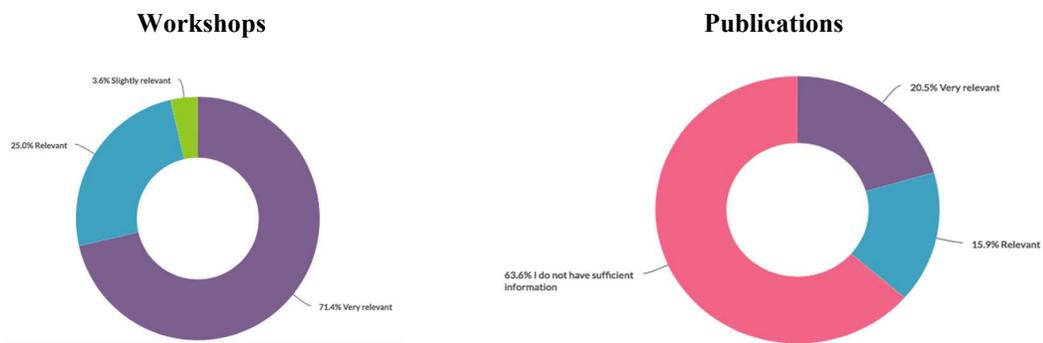
In addition, all interviewees considered that it was crucial to increase awareness at regional level in order to ensure a coherent mainstreaming of climate change factors into national policies, plans and strategies in order to ensure the integrity, service reliability, functionality and rapid recovery after disruption of seaports and airports. In this sense, it was also highlighted that only UNCTAD had engaged the region in the kind of research and analysis related to sea-level rise and coastal transportation infrastructure.

¹⁰ These include the intergovernmental expert meeting on “Maritime Transport and the Climate Change Challenge” (16–18 February 2009), joint UNCTAD/UNECE workshop on “Climate change impacts on international transport networks” (8 September 2010), an Ad Hoc expert meeting on “Climate Change Impacts and Adaptation: A Challenge for Global Ports” (29-30 September 2011), an intergovernmental expert meeting on “Small Island Developing States: Transport and Trade Logistics Challenges”, held on 24-26 November 2014, and an Ad Hoc Expert Meeting on “Addressing the Transport and Trade Logistics Challenges of the Small Island Developing States (SIDS): Samoa Conference and Beyond”, held on 11 July 2014.

The case-studies (Jamaica and Saint Lucia) were selected in consultation with the UNEP and CCCCC. All the stakeholders consulted by the evaluator considered this selection to be appropriate and strategic as it allowed to capture both commonalities and differences among Caribbean SIDS.¹¹ It was for example highlighted that, by presenting real situations, the methodology and findings were applicable to many other Caribbean SIDS and could easily be replicated or even inform policy decisions in non-case study countries.

The project was therefore aligned with the regional priorities and important bottlenecks were identified at its design. This was confirmed by all stakeholders during both the interviews and the survey. In particular, over 96% of the respondents to the survey (54 respondents) considered that the workshops were very relevant (40) or relevant (14) to their country context. None thought that they were not relevant and only two respondents thought that they were slightly relevant (basically because they attended as part of a scientific advisory panel and the topic was not necessarily relevant to the context within their home countries). On the other hand, only 16 out of 44 respondents thought that the project’s publications were relevant (7) or very relevant (9) to the context within their country or institution. 28 did not have sufficient information about the publications. These figures demonstrate the somewhat limited familiarity of participants with the publications (see also figure 13). At the time of the evaluation, draft publications had been distributed on USB sticks to workshop participants and final versions of the publications have been made available on the web-based platform of the project. Hard copies will be sent to workshop participants.

Figure 4 – Survey questions and 22: To what extent do you consider that the project outputs are relevant to the context within your country or institution?



¹¹ The criteria considered included:

- Geographical location: Eastern versus Western Caribbean; elevation, topography;
- Size: physical, population and domestic market;
- Economic: GDP, GDP/capita, composition of GDP, contribution of tourism to GDP;
- Environment/climate: vulnerability to climate change factors and natural hazards, past experiences with hurricanes and other climatic factors, and differential in vulnerability to climate change factors;
- Importance of the transport sector, in particular seaports and airports. For example, whether the country was an important player in the region (hub port in Jamaica versus smaller scale ports in Saint Lucia);
- It would appear that existing efforts to build adaptation capacity have not addressed the transportation sector per se and as an economic sector in its own right. This results in an important gap in the consideration and treatment of the problems faced by SIDS.
- More data availability relative to other regions.

Relevance to UNCTAD's mandate

The project fully aligned with UNCTAD's mandate by identifying capacity-building needs and promoting sustainable and resilient transport systems and climate change adaptation and DRR for transport infrastructure and operations, particularly in SIDS. The project also contributed to promoting regional cooperation in the Caribbean. All sources of information indicated that the project contributed to several UN Conferences and Summits and to the achievement of the SDGs (SDG 9 and SDG 13 in particular).

The project was fully aligned with the scope of UNCTAD's biennial programme plan and priorities for the period 2014-2015, in particular with sub-programme 4 that aims at promoting efficient trade logistics services and transit transport systems; and training and capacity-building programmes for local institutions with a view to enhancing the economic development and competitiveness of developing countries and economies in transition.

Capacity is a critical aspect of development, which was reflected throughout the Paris Declaration (2005) and Accra Agenda for Action (2008)¹². In particular, the later mandated UNCTAD to help developing countries make informed policy choices to address the environmental challenges in relation to transport strategies and to help identify associated capacity-building needs and appropriate regulatory responses. Furthermore, UNCTAD's thirteenth session (The Doha Mandate, 2012)¹³ tasked the organization with advising SIDS on the design and implementation of policies to address their specific trade and trade logistics challenges linked to their remoteness and geographical isolation.

SIDS needs were also emphasized at the International Conference on Climate Change Adaptation for International Transport Networks (2012). More recently, the fourteenth session (Nairobi Maafikiano, 2016)¹⁴ strengthened UNCTAD's mandate in respect of sustainable and resilient transport systems and climate change adaptation and disaster risk reduction for transport infrastructure and operations. It expressly called upon engaging in collaborative processes with the focus on the role of transport infrastructure and trade logistics in the implementation of the UN 2030 Agenda for Sustainable Development, with special emphasis on SIDS.

Since 2015, the 2030 Agenda, accepted by all countries and applicable to all, has become a broad and universal policy agenda of unprecedented scope and significance. Its 17 Sustainable Development Goals (SDGs) and 169 targets involve the entire world, developed and developing countries alike. They are integrated and indivisible and balance the three dimensions of sustainable development: economic growth, social inclusion, and environmental protection.¹⁵

The project directly contributed to SDG 9 "Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation" and SDG 13 "Take urgent action to combat climate change and its impacts". It was particularly aligned with targets 9.1 "Develop quality, reliable, sustainable and resilient infrastructure, including regional and trans-border infrastructure, to support economic development and human well-being, with a focus on affordable and equitable access for all"; 13.1 "Strengthen resilience and adaptive capacity to climate-related hazards and

¹² http://unctad.org/en/Docs/iaos20082_en.pdf

¹³ http://unctad.org/meetings/en/SessionalDocuments/td500_Add_1_en.pdf

¹⁴ http://unctad.org/meetings/en/SessionalDocuments/td519add2_en.pdf

¹⁵ http://www.un.org/ga/search/view_doc.asp?Lang=E&symbol=A%2FRES%2F70%2F1

natural disasters in all countries”; 13.2 “Integrate climate change measures into national policies, strategies and planning” and; 13.3 “Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning”. Target 13.B also calls for promoting mechanisms for raising capacity for effective climate change-related planning and management in least developed countries and SIDS, including focusing on women, youth and local and marginalized communities.

Effectiveness

Target groups

The project design benefitted from a thorough analysis of both country and region specificities. It directly targeted two SIDS (Saint Lucia and Jamaica) but all stakeholders reckoned that the design responded to a research logic at a regional (and global) level. The project implementation - participation in the events (i.e. direct beneficiaries) - was coherent with its design and the thorough stakeholder analysis that complied with DESA guidelines allowed to distinguish between different levels (individual, organizational and enabling environment).

The Project Document analyzed the main constraints and opportunities in Caribbean SIDS highlighting the pressing need to help policy makers, transport planners, transport infrastructure managers and key private stakeholders - in particular seaport and airport authorities - improve their understanding of the climate vulnerability of their coastal transport infrastructure; including the underlying risks and exposure as well as the associated impacts, costs and implications. The project implementation responded to a research logic at a regional, including two case studies in Saint Lucia and Jamaica.

As highlighted above, the main beneficiaries of the project included technical experts and high level policy makers from relevant ministries (transport, planning, infrastructure, environment) as well as representatives from seaport and airport authorities in Saint Lucia and Jamaica. Other targeted stakeholders were academia and research institutions, intergovernmental and non-governmental organizations and private sector representatives. In addition, the regional workshop targeted seaports and airports authorities from 21 countries and territories.

These groups were selected in order to maximise the impact of the activities and the Project Document included a thorough analysis of their expected role in the project; capacities and needs; desired outcomes and; level of influence. This analysis complied with DESA’s guidelines for the preparation of project documents¹⁶ and allowed to distinguish between different levels such as individual, organizational and enabling environment, and, to some extent, address the hierarchy of these levels and their causal relationships.

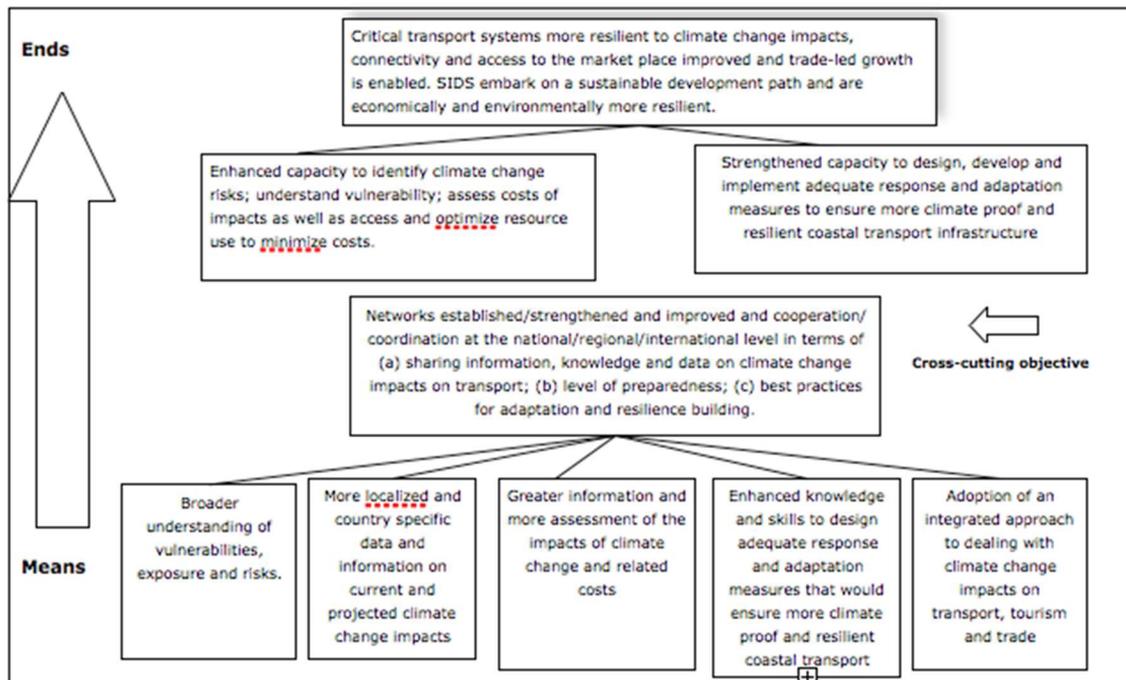
¹⁶ <http://www.un.org/esa/devaccount/projects/guidelines.html>

Project strategy

Although important cause-effect assumptions and potential risks were made explicit during the design, the project could have been underpinned by a more comprehensive logic demonstrating that the results were realistic. In particular, the three dimensions of capacity development (individual, institutional, and external enabling environment) could have been addressed by a more robust theory of change. Nevertheless, the project addressed the enhancement of knowledge of individuals and to some extent the other two dimensions mainly by (i) aligning with the existing institutional frameworks in order to maximize the effects at organizational level and (ii) collaborating with regional partners that could promote the project results. The implementation strategy was well described in the Project Document.

In addition to the already mentioned stakeholder and problem analysis, the Project Document that was finalized with DESA also contained an objective analysis. The objective tree attempted to determine and clarify the (short-, medium- and long-term) goals to be achieved for a sustainable solution and it made explicit important assumptions and potential risks. Nevertheless, it was descriptive and rather succinct with no explicit verification of the hierarchy and causality of the objectives. For example, one of the first-level objectives was “adoption of an integrated approach to dealing with climate change impacts on transport, tourism and trade” (see figure below). This seems to be a consequence of the other objectives at this level but the causality was not analyzed. The second-level (the so called cross-cutting objective) was a composed objective that seems to work as a black box in the logic. Finally, the upper half of the tree is completely detached from the lower part.

Figure 5 – Objective tree



Source: Project Document

As a result, the project logic as captured in the Project Document (depicted by a simplified logical framework) is not entirely clear. The project's objective and the first EA are for example too similar. The second EA (enhanced knowledge) seems to be a pre-condition for the first one (enhanced capacity). Nevertheless, the causality between the EAs was not addressed at the design. Actually the Final Report stated that the project aimed to strengthen the capacity of policy makers, transport planners and transport infrastructure managers in SIDS to (a) understand climate change impacts on coastal transport infrastructure, in particular seaports and airports, and (b) take appropriate adaptation response measures.

On the other hand, the implementation strategy was well described in the Project Document. As usual in this type of DA projects, it included the list of objectives, EAs and indicators of achievement. But, it also presented in detail the main activities demonstrating their inter-linkages and complementarity, including ancillary activities to further the capacity development impact of the project (e.g. three-day UNCTAD's Expert Meeting hold in November 2014). Furthermore, risks and assumptions were made explicit and mitigations measures proposed. Some of them were implemented during implementation such as rescheduling of activities due to natural disasters.

Although important cause-effect assumptions and potential risks were made explicit, and the timely implementation of the project within budget was not affected, the project design would have benefited from a more thorough description of its logic, e.g. explicit theory of change. The project could be considered small in scope and budget but the importance of a robust theory of change should not be understated. Although a single project cannot address all possible problems, a systemic approach to the problems is essential to ensure that the results are realistic, transparent and accountable for. A theory of change approach would have allowed to (i) investigate possible unintended effects (either positive or negative) as well as (ii) establish the boundaries of the system, identifying the prioritised aspect and possible conflicts. This could, in turn, have enhanced even further the collaboration with other stakeholders to address for example the non-prioritised aspects of the theory of change.

Capacity development should be based on a system approach that takes into account three major levels (individual, institutional, and external enabling environment); and two components (demand and supply) - both should be tailored to the specific context of each country. The design sufficiently addressed the demand and supply components as well as the country contexts. On the other hand, the three dimensions of capacity development should have been addressed by a more robust theory of change. These three dimensions are interlinked and are parts of a broader whole. Nevertheless, it should be noted that, although the logic was not quite explicit, the project addressed the enhancement of knowledge of individuals and to some extent the other two dimensions; mainly by (i) aligning with the existing institutional frameworks in order to maximize the effects at organizational level and (ii) collaborating with regional partners that could promote the project results.

Enhanced capacity (EA1)

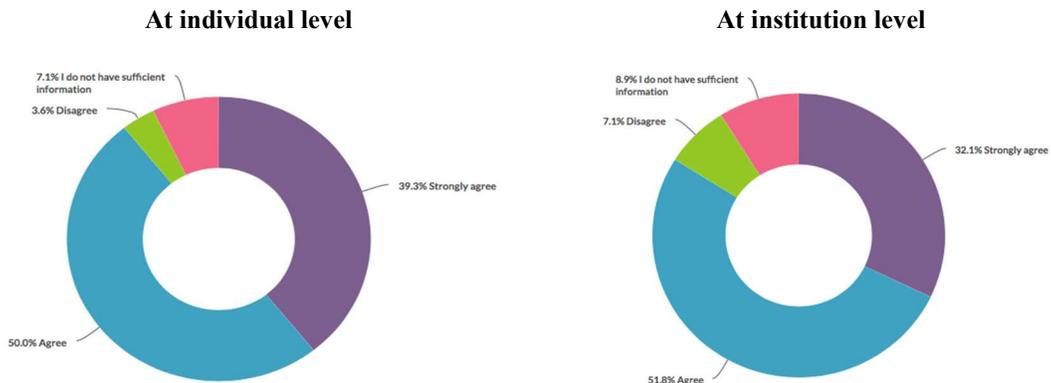
The project - particularly through the workshops - contributed to enhance the capacity of policy makers, transport planners and transport infrastructure managers to effectively plan and develop adaptation measures that enhance the resilience of coastal transport infrastructure; i.e. knowledge, awareness and understanding increased at individual level. Most beneficiaries highlighted that (i) the workshops provided crucial information that could be used in their daily work; (ii) the case studies were seen as eyeopeners and; (iii) the methodology was an excellent, very useful and practical tool that filled an existing gap and could be easily applied in most contexts. In addition, regional workshop participants considered the demonstration of the methodology excellent or very good.

The project aimed at enhancing the capacity of policy makers, transport planners and transport infrastructure managers to effectively plan and develop adaptation measures that enhance the resilience of coastal transport infrastructure (EA1). According to the Final Report, the feedback received (informal and through after workshop questionnaires) confirmed that the participant in the workshops felt better prepared to include considerations of climate change impacts, vulnerability assessments and/or adaptation to climate change into action plans, policy and strategy documents.

Capacity development has traditionally been associated with knowledge transfer and training of individuals, yet it is a complex, non-linear and long-term change process in which no single factor (e.g. information, education and training, technical assistance, policy advice, etc.) can by itself be an explanation for the development of capacity. It contributes to addressing specific needs of countries and regions across the three interlinked individual, organizational, and enabling environment dimensions. The dimension of enabling environment relates to political commitment and vision; policy, legal and economic frameworks; national public sector budget allocations and processes; governance and power structures; incentives and social norms. The organizational dimension relates to public and private organizations, civil society organizations, and networks of organizations. The individual dimension relates to the people involved in terms of: knowledge, skill levels (technical and managerial) and attitudes.

In this context, over 89% survey respondents reckoned that the workshops contributed to increase their capacity to effectively plan or develop adaptation measures to enhance the resilience of coastal transport infrastructure (50 responses); 4% disagreed (2) and 7% did not have sufficient information (4). 84% thought that the workshops also contributed to increase the capacity of their institution; 7% disagreed (4) and 9% did not have sufficient information (5).

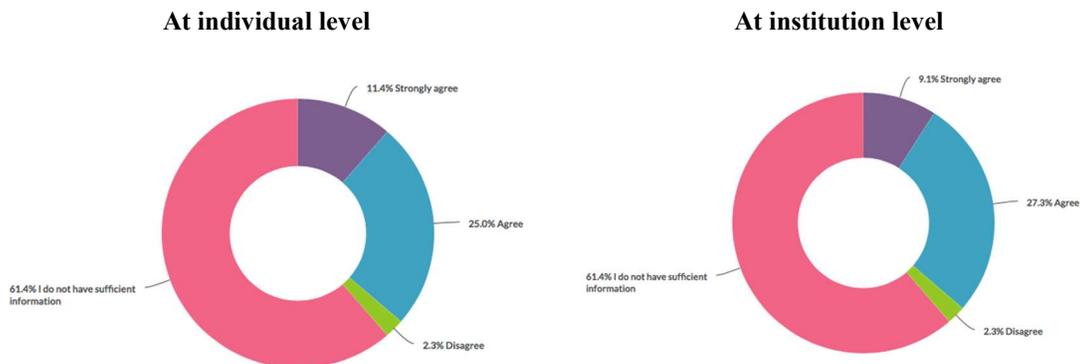
Figure 6 – Level of agreement of the beneficiaries that the workshops contributed to increase the capacity to effectively plan or develop adaptation measures to enhance the resilience of coastal transport infrastructure



Guidance and training materials were distributed to participants in electronic format and they were made available on-line (on the UNCTAD-hosted dedicated meeting websites and on the web-based platform established under the project). According to the Final Report, stakeholders saw the methodology developed under the project (Climate Risk and Vulnerability Assessment Framework for Caribbean Coastal Transport Infrastructure) as a useful and practical tool that filled an existing gap and could be easily applied in most contexts. In this line, the after-workshop survey concluded that 88% of the regional workshop participants considered the demonstration of the methodology excellent or very good, with the remaining 12% considering it good.

Nevertheless, only 36% thought that the publications contributed to increase their individual or their institutional capacity to effectively plan or develop adaptation measures that enhance the resilience of coastal transport infrastructure (16 responses); only one disagreed but over 61% did not have sufficient information to respond (27). This should be seen in a context of a recently finalised project. At the time of the evaluation, UNCTAD was engaged in a dissemination strategy that, among other things, included a peer-review publication and a web-platform (see below).

Figure 7 – Level of agreement of the beneficiaries that the publications contributed to increase capacity to effectively plan or develop adaptation measures that enhance the resilience of coastal transport infrastructure



Despite the recent completion of the project, 20% of the respondents had already used the publications in their daily work (9). On the other hand, almost 80% had not used them yet. In particular, the publications were used as a knowledge base or resource material to:

- *Support recommendations for the formulation of an integrated, sustainable transport policy.*
- *Solicit research funding for current studies being developed related to similar subject.*
- *Elaborate company presentations and briefs.*
- *Show case Caribbean islands experiences.*
- *Teach graduate and undergraduate courses.*
- *Assist with the rationale for project implementation and to seek funding.*

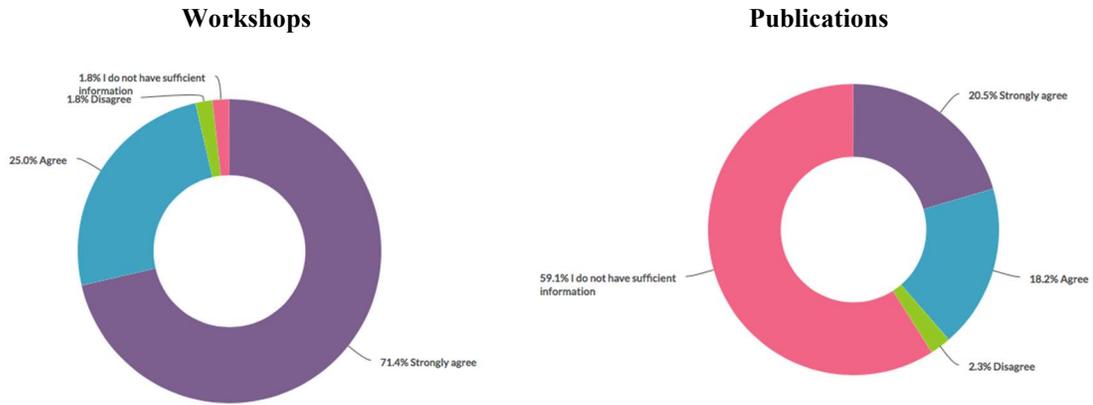
Enhanced knowledge (EA2)

The project, particularly through the workshops, contributed to enhance the knowledge of policy makers, transport planners and transport infrastructure managers about climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations. In particular, the regional workshop was considered by many stakeholders as (i) an eyeopener (by addressing a topic that was not at the forefront of regional discussions); (ii) particularly timely (in the light of the devastating hurricane season of 2017) and; (iii) a networking opportunity that was particularly appreciated by participants (by bringing together representatives of 21 Caribbean islands/territories). The methodology was considered innovative and practical.

The project aimed at enhancing knowledge of policy makers, transport planners and transport infrastructure managers about climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations (EA2). According to the Final Report, the workshops contributed to improve the participants' knowledge and understanding (e.g. 86% of the regional workshop participants).

Most stakeholders considered the methodology innovative and practical. Over 96% of the survey respondents thought that the workshops contributed to increase their knowledge about the climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations (54 responses), only one disagreed and another did not have sufficient information to respond. Most of the interviewees thought that the workshops offered a very interesting opportunity to learn from similar or related organizations and a pragmatic way to discuss specific initiatives.

Figure 8 – Level of agreement of the beneficiaries that the project contributed to increase knowledge about the climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations



In particular, the regional workshop was considered by many stakeholders as (i) an eyeopener (by addressing a topic that was not at the forefront of regional discussions); (ii) particularly timely (in the light of the devastating hurricane season of 2017) and; (iii) a networking opportunity that was particularly appreciated by participants (by bringing together representatives of 21 Caribbean islands/territories).

On the other hand, only 39% of the survey respondents thought that the publications contributed to increase their knowledge about the climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations (17 responses); only one disagreed but over 59% did not have sufficient information to respond (26).

Efficiency

Organizational arrangements and resource management

Despite numerous external difficulties, the project was implemented on time and within budget. Project funds were properly allocated to their expected budget lines. The project benefited from UNCTAD's comparative advantages in terms of: (i) long-standing expertise and knowledge in the fields of maritime transport and environmental sustainability; (ii) work ahead of the curve on climate change impacts and adaptation in maritime transport; (iii) established and wide network of world renown transport and climate experts; (iv) access to unique and specialized maritime transport data; and (v) strong capabilities in terms of research and analytical work, consensus building, advisory services and training. UNCTAD was able to draw extensively on multidisciplinary expertise through its informal network of leading researchers and experts in the field of climate change adaptation for transport that added value to the project and helped ensure quality control throughout. Both project managers and beneficiaries thought that the project responded efficiently to the difficulties and changing needs.

The project implementation started after the signature of the allotment advice and, despite the difficulties due to external factors (out of the control of the project), the project was completed on time and within budget (one of few in the 9th tranche). It was able to respond to the changing needs of the beneficiaries and the management structures contributed to effective implementation.

The main difficulties faced by the project were beyond its control and included: (i) human resources constraints (including both consultants and UNCTAD staff) due to unforeseen circumstances (illness and passing away of lead international consultant; resignation of local consultant for Saint Lucia; unexpected emergency hospitalisation of project manager with extended sick-leave; UNCTAD internal staff movement at short notice); (ii) time-consuming procurement processes; UNCTAD internal administrative hurdles beyond the project manager's control; (iii) unscheduled elections in both Jamaica and Saint Lucia (2016) and; (iv) data availability (e.g. safe operation thresholds).

The project benefited from UNCTAD's comparative advantages in terms of: (i) long-standing expertise and knowledge in the fields of maritime transport and environmental sustainability; (ii) work ahead of curve on climate change impacts and adaptation in maritime transport; (iii) established and wide network of world renown transport and climate experts; (iv) access to unique and specialized maritime transport data; and (v) strong capabilities in terms of research and analytical work, consensus building, advisory services and training. In this sense, UNCTAD was able to draw extensively on multidisciplinary expertise through its informal network of leading researchers and experts in the field of climate change adaptation for transport¹⁷ that added value to the project and helped ensure quality control throughout.

¹⁷ This network includes for example a Nobel prize winner and lead author of the Small Island chapter of the 2007 IPCC report.

In particular, EC JRC contributed at no cost state-of-the-art flood and inundation modeling outputs to the case studies. These inputs generated significant additional value to the project deliverables.¹⁸ Furthermore, additional added value was provided as part of the Saint Lucia case study, where indirect climate-related impacts were assessed, using climate-related beach erosion as a proxy; related training was provided at the national workshop in Saint Lucia; a relevant IT tool (Guided User Interface, GUI) developed for this purpose in the context of the project was shared with workshop participants and is available on the web-based platform.

The financial information indicated that the project funds were properly allocated to their expected allotment areas. The burden of organizing the workshops (particularly the regional work) proved to be even higher than expected. This together with the previously mentioned external difficulties (human resources constraints) required considerable efforts to cover the required technical and administrative support with the above-mentioned staff constraints and a final General Temporary Assistance (GTA) expenditure of less than 4% (this percentage is similar to other projects financed by the DA).

Activity/Output realization

All sources of information confirmed that the project was implemented as planned. The evaluation can affirm that the activities were complementary and reinforced the internal coherence of the project. The majority of beneficiaries thought that the workshops were implemented in an efficient manner and that they were satisfied or very satisfied with UNCTAD's logistical support. The level of satisfaction with the quality of the workshops was very high. The workshops included some of the world's leading experts in their respective fields, something that rarely comes together. All the contacted stakeholders considered that the quality of the technical presentations was very high. Most stakeholders highlighted the high quality of the publications. The workshops were also seen as a unique opportunity towards building or strengthening networks of policymakers, experts, researchers and the like.

The activities were implemented as planned and on time. The table below has been elaborated on the basis of the information provided by the project's final report.

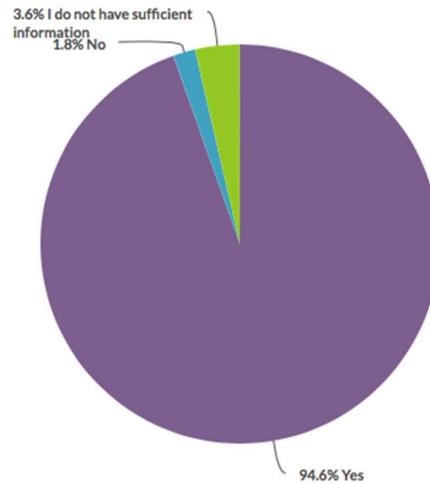
¹⁸ High-quality flood maps focusing on the ports and airports, considered in depth as part of the case-studies in Saint Lucia and Jamaica, illustrated the vulnerability to marine flooding of key international transport assets in both countries, under extreme events and different climate change scenarios. Vulnerability to some other climate factors was identified using a 'thresholds method' developed as part of the methodology.

Table 4 – Implemented activities

Expected accomplishments	Implemented activities
<p>EA1. Enhanced capacity of policy makers, transport planners and transport infrastructure managers in selected Caribbean SIDS to effectively plan and develop requisite adaptation measures that enhance the resilience of coastal transport infrastructure.</p>	<p>A1.1 Two substantive national case studies (2 ports and 2 airports) were carried out for Jamaica and Saint Lucia (including site visits and consultations with key stakeholders). Based on insights gained as part of the case studies, a transferable methodology for assessing climate-related impacts and adaptation options was developed (Climate Risk and Vulnerability Assessment Framework for Caribbean Coastal Transport Infrastructure).</p>
	<p>A1.2 Expert group meeting in Geneva (June 2016). Early drafts of the case studies, and of the methodology, were reviewed and further refined.</p>
	<p>A1.3 Relevant guidance and training materials for the national workshops were successfully developed.</p>
	<p>A1.4 Two national workshops to present and discuss the findings of the national case studies were organised in Saint Lucia (24-26 May 2017) and Jamaica (30 May - 01 June 2017, Kingston). Demonstrations and training on the methodology were also provided.</p>
	<p>A1.5 A follow up technical meeting with key stakeholders from Saint Lucia and Jamaica was convened (8 December 2017, Barbados) to take stock of progress in implementing adaptation response measures, identify obstacles and lessons learned as well as to consider further technical assistance needs.</p>
<p>EA2. Enhanced knowledge among policy makers, transport planners and transport infrastructure managers in Caribbean SIDS of climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations.</p>	<p>A2.1 Consolidation of input and feedback gathered at the national workshops and completion of the guidance and training material, including on the methodology, for the regional capacity-building started after the national workshops (Q2 2017) and was successfully completed before the regional workshop (November 2017).</p>
	<p>A2.2 A regional workshop was convened (5-7 December 2017, Barbados) with the participation of key stakeholders, in particular seaports and airport authorities from 21 Caribbean SIDS islands/territories.</p>
	<p>A2.3 A dedicated interactive web-based platform was developed after completion of the workshops: https://sidsport-climateadapt.unctad.org</p>

Despite some resource constraints, almost 95% of the respondents to the survey considered that the workshops were implemented in an effective and efficient manner (53 answers); only one thought it was not and 2 did not have sufficient information. Over 82% were satisfied or very satisfied with the logistical support provided by UNCTAD (46 responses; only one was slightly satisfied and 16% did not have sufficient information (9). All of them would attend similar events in the future.

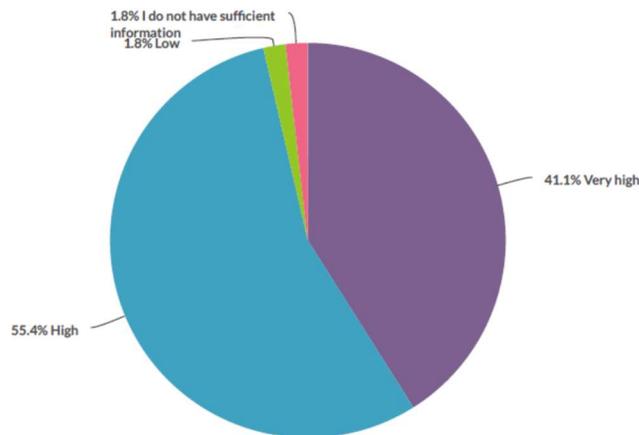
Figure 9 – Survey question 5: Were the workshops implemented in an effective and efficient manner?



During the interviews, it was confirmed that, the project promoted a bi-directional exchange of information and a dialogue between UNCTAD and the beneficiaries. The evaluation can affirm that the activities were complementary and reinforced the internal coherence of the project. The events were also seen as a contribution towards building or strengthening networks of policymakers, experts, researchers and the like.

The level of satisfaction was very high. For example, over 96% of the participants (54 answers) indicated that the quality of the workshops was high (55%) or very high (41%); only one rated the quality as low and another did not have sufficient information.

Figure 10 – How would you rate the quality of the workshop(s)?

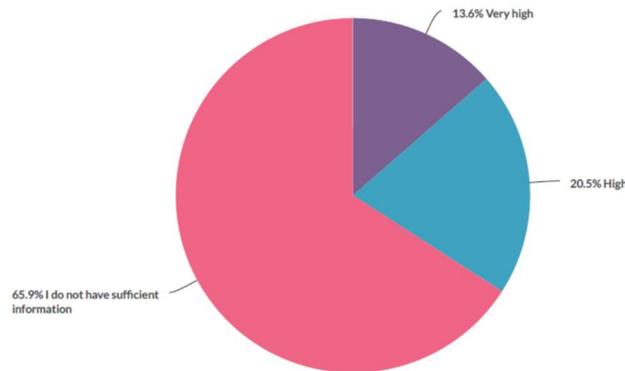


The workshops included some of the world's leading experts in their respective fields, something that rarely comes together. All the contacted stakeholders considered that the quality of the technical presentations was very high. In particular, participants considered that the workshops

offered opportunities of engagement with different stakeholder providing ample opportunities for learning. They were described as a unique opportunity to gather both air and sea port to discuss the impacts of climate change. As put by one beneficiary, “there were well structured opportunities for networking with representatives from a wide range of countries to discuss their specific experience and needs related to climate change resiliency”.

On the other hand, only 34% of the participants (15 answers) indicated that the quality of the publications was high (20%) or very high (14%); all the others did not have sufficient information (see below about the limited knowledge about the publications).

Figure 11 – How would you rate the quality of the workshop(s)?



It should nevertheless be noted that UNCTAD provision of technical assistance is constrained by the limited resources as it is mainly driven by extra-budgetary funds and DA projects. Therefore, it is impossible to plan and offer regular and systematic technical cooperation in one specific area. An interesting issue that emerged during the interviews was the need to strengthen the ‘reliability’ of UNCTAD technical assistance, in the sense of making it more regular.

Project management

The logical framework, with indicators agreed with DESA, was useful at the project proposal stage but less so as an effective management tool due, among other things, to the lack of specific disaggregated indicators that comprehensively capture the project’s performance. Despite the numerous external difficulties, project management responded to the changing needs of the beneficiaries and the management structures contributed to effective implementation.

The simplified logic framework was useful at the project proposal stage but much less so as an effective management tool during implementation. It would have been useful to expand it further by adding details in order to move from a linear, hierarchical and static logic to a more complex, horizontal and dynamic system thinking approach. This would have allowed to improve monitoring, reporting and evaluation by better understanding the confluence of three concepts: interrelationships, perspectives and boundaries.

In this sense, the indicators are not specific enough and could have been better developed (e.g. lack of baselines). For example, it is difficult to measure the level of understanding or the capacity to design and implement strategies and policies and feedback from participants through after-workshop surveys is not enough.

Table 5 – Indicators of achievement

EXPECTED ACCOMPLISHMENTS	INDICATORS
<p>EA1 Enhanced capacity of policy makers, transport planners and transport infrastructure managers in select Caribbean SIDS to effectively plan and develop requisite adaptation measures that enhance the resilience of coastal transport infrastructure.</p>	<p>IA1.1 Formal feedback from stakeholders participating in activities under the project indicates significant improvement in the understanding of climate change impacts on coastal transport infrastructure and related implications for services and operations.</p> <p>IA1.2 Increased number of initiatives, action plans, policy documents or strategy plans (as compared with existing status) in select target countries regarding coastal transport infrastructure planning and operation that include consideration of climate change impacts and/or adaptation.</p>
<p>EA2 Enhanced knowledge among policy makers, transport planners and transport infrastructure managers in Caribbean SIDS of climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations.</p>	<p>IA2.1 Stakeholders participating in activities under the project endorse the methodology as a useful tool for assessing climate-related impacts and adaptation options in respect of coastal transport infrastructure.</p> <p>IA2.2 Number of policy makers transport planners and transport infrastructure managers of Caribbean SIDS participating in discussions on the web-based platform.</p>

Source: Project Document

Despite the indicators having been agreed with DESA, the Final Report recognised that IA2.2 was not particularly meaningful and that relevant information was not yet available. It also highlighted that information on IA1.2 was also not yet available. The evaluator believes that this indicator is also not relevant as it fails to capture contribution and it would difficult to attribute to the project this type of effects.¹⁹

Therefore, results-based management requires to define and measure at the level of outcomes (particularly challenging for development interventions such as advocacy, capacity development and advisory services). Nevertheless, it is also acknowledged that measurement at the output level is important to monitor the use of resources, implementation of activities linked to those resources and what specifically was delivered through these activities. The project though did not develop indicators that comprehensively capture its performance.²⁰

¹⁹ Although not specifically mentioned in the DA Project Document template, the last guidelines request to strengthen the indicators by ensuring that all of them include clear targets. In this sense, it is expected that the involved entities include benchmarks for all indicators and ensure that there is a baseline for measurement or assessment of change quantitatively and/or qualitatively. See: <http://www.un.org/esa/devaccount/projects/guidelines.html>

²⁰ According to a report prepared for DESA’s Quadrennial Comprehensive Policy Review (2012), results-based management (RBM) is a broader management strategy and it is not synonymous with performance monitoring and evaluation. RBM is conceptualized as a results chain of inputs-activities-outputs-outcomes-impact. The assumption is that actions taken at one level will lead to a result at the next level, and in this sense, the results

As shown in the table above, a single indicator is used to assess the achievement of each EA (the other indicator being not relevant). Although these indicators provide valid information about the project contribution to major long-term initiatives, the causality is weak. It would have been advisable to also include indicators at a lower level, thus making it possible to measure the more direct effects of the project and, at the same time, provide evidence demonstrating the logic of the intervention, reinforcing attribution at higher levels.

There is evidence that aggregate indicators can conceal the fact that some groups are being left behind (e.g. less influential stakeholders, less advanced countries, marginal or vulnerable groups, etc.) More specific indicators allow to reduce inequalities by identifying groups that have been left behind and understanding why this has happened.

Sustainability

Enabling environment

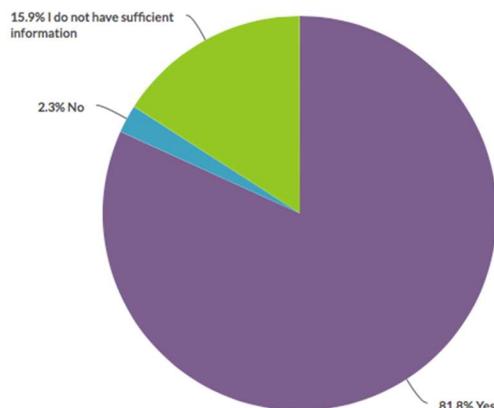
Due to the recent finalisation of the project, it was too early to draw any conclusions about the project's sustainability but it was confirmed that the implemented activities contributed to generate interest and increase awareness on climate change impacts. The project results were broadly perceived as important. Local ownership was ensured by involving and consulting stakeholders and the methodology would allow mainstreaming climate change and transport considerations into long-term planning and investment. The project also facilitated the establishment and strengthening of networks within the Caribbean region.

Although it was too early to draw conclusions about the project's sustainability, the activities aimed to significantly increase awareness on climate change impacts and to provide a methodological approach to facilitate the mainstreaming of climate change and transport considerations into relevant longer-term planning and investment processes. Local ownership was ensured by involving stakeholders at an early stage and consulting them throughout implementation.

In this sense, most stakeholders thought that the activities contributed to increase expertise and generate interest about some of the pressing challenges and opportunities for Caribbean SIDS. Almost 82% of the respondents to the survey considered that the project contributed to raise awareness about climate change impacts and adaptation for coastal transport infrastructure in the Caribbean (36 responses); only one thought it did not and 7 did not have sufficient information. As put by one interviewee, the workshops “helped to show how real the challenge of climate change could be as well as the extent potential impacts throughout the economy, environment and society”.

chain stipulates the sequence actions taken to achieve a particular result (Results-Based Management in the United Nations Development System: Progress and Challenges – A report prepared for the United Nations Department of Economic and Social Affairs, for the Quadrennial Comprehensive Policy Review, July 2012). See: http://www.un.org/esa/coordination/pdf/rbm_report_10_july.pdf

Figure 12 – Survey question 33: Did the project contribute to raise awareness about climate change impacts and adaptation for coastal transport infrastructure in the Caribbean?



The project results were broadly perceived as important as demonstrated during the interviews as well as the fact that they were widely cited in the media (see the Final Report). It was also mentioned that the project facilitated to some extent the establishment and strengthening of networks within the Caribbean region (including transport managers, policy makers, representatives of ports authorities, academia, etc.) by allowing experts and policy makers to share their experiences, and dedicating important efforts to disseminate the results of the research and discussions.

Multiplier effects and replication

The project's findings have informed and will continue to inform UNCTAD's work and synergies were also envisaged at a broader level (e.g. funding proposals by OECS Member States under the Green Climate Fund). Despite the project's efforts, it is necessary to give more publicity to the work done and to disseminate more broadly the publications. At the time of the evaluation, DTL PLS was implementing a thorough strategy in this direction under its regular work, including a peer-reviewed scientific paper published in a highly respected international journal and a comprehensive web-platform and forum (SIDSport-ClimateAdapt.unctad.org). This allows strengthening appropriation by beneficiaries and increasing political support. Most respondents were of the view that the activities under the project should be replicated.

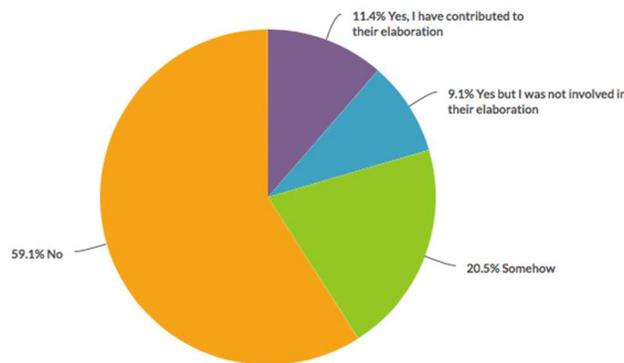
The evaluation found evidence that the project's findings have informed and will continue to inform UNCTAD's work and policy advice. It was confirmed during the interviews that the project's activities resulted in several collaborations (more informal than formal and more at the level of individuals than institutions). One of the most promising ones was the follow-up work to inform the preparation of specific related infrastructure funding proposals by OECS Member States under the Green Climate Fund (GCF) with a view to contributing to the paradigm shift required to enhance the climate-resilience of coastal transport infrastructure in the wider Caribbean region.²¹ At the

²¹ In response to the request of the OECS Commission, supported by the CCCCC, to expand the work to the wider OECS region and in response to regional workshop participants, representing most airports and seaports authorities in the Caribbean region, proposing follow-up areas of further work, funding opportunities are currently being explored for a follow-up technical assistance project.

time of the evaluation, it was being considered to use the methodology in a Master’s Thesis research at the University of Suriname.

The findings of the studies and the methodology were discussed and disseminated at the workshops and meetings as well as through websites and printed publications. It should nevertheless be noted that, despite UNCTAD’s efforts, over 59% of the respondents to the evaluation survey did not yet know the project publications (26 responses). 30% knew them (13) and 11% participated in their elaboration (5). Regional partners also contributed to dissemination among their members (e.g. CTO, OECS, etc.) Many stakeholders highlighted the need for additional support to continue dissemination.

Figure 13 – Survey question 18: Are you familiar with the publications/studies?



Project results led to the elaboration of an academic paper by implementing partners presenting some of the key findings of the project, including some technical elements of the methodology.²² After a rigorous academic peer-review and quality control, this research paper was published at the Special Issue of Regional Environmental Change, a highly respected international journal.²³ A full-text view-only version is available on-line as part of the Springer Nature SharedIt initiative (<https://rdcu.be/Q1OY>). The methodology and results applied in the case studies were therefore validated by an independent scientific peer-review process. The original research contained in the paper advanced current scientific knowledge on the issue. This publication will be crucial to further disseminate the results in the Caribbean and in other regions as well. At the time of the evaluation, it was confirmed that the above-mentioned academic paper will be included in the IPCC Special Report on 1.5 degrees warming (forthcoming in 2018), as part of the literature considered.²⁴ The Final Report confirmed that further academic publications were under preparation in order to strengthen quality control and widespread dissemination.

²²Monioudi, I.N., Asariotis, R., Becker, A. et al. Reg Environ Change (2018) “Climate change impacts on critical international transportation assets of Caribbean Small Island Developing States (SIDS): the case of Jamaica and Saint Lucia”. <https://doi.org/10.1007/s10113-018-1360-4>

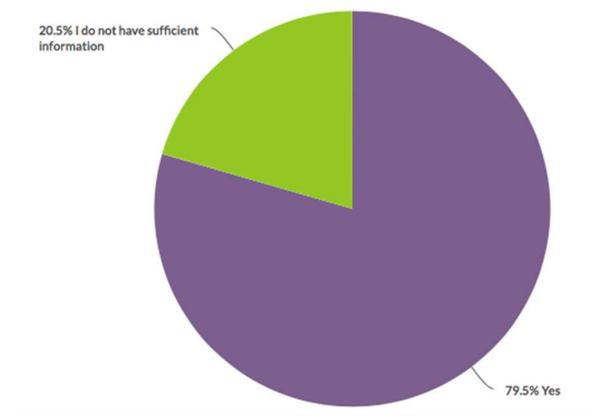
²³ The Regional Environmental Change is a highly regarded international academic journal. The Special issue focused on “1.5 °C and Small Island Developing States”.

²⁴ <https://ipcc.ch/report/sr15/>

A dedicated webpage for the project was created in 2015.²⁵ It was mainly used to provide details on the various activities and as a repository for documents and publications. After addressing several technical glitches, a more comprehensive web-platform and forum is up and running (<https://SIDSport-ClimateAdapt.unctad.org>). DTL PLS has already budgeted the necessary work to update it as well as monitoring of relevant actions and measures taken by key stakeholders in the Caribbean region with a view to enhancing climate resilience of transport infrastructure. The platform is expected to create significant multiplier effects for SIDS within the Caribbean region and beyond.

Almost 80% of the respondents to the survey thought that the implemented activities and achieved results can be replicated in the future (35 responses); 20% did not have sufficient information to respond (9). Replication would for example involve applying the methodology in other locations, further developing the methodology, etc. The greatest challenge identified by the beneficiaries with respect to the various activities implemented was how to influence policymaking and ensure that what was discussed and learned at the workshops gets translated into policies and action at the national and regional levels.

Figure 14 – Survey question 35: Should the activities be replicated?



²⁵ <http://unctad.org/en/Pages/DTL/TTL/Legal/Climate-Change-Impacts-on-SIDS.aspx>

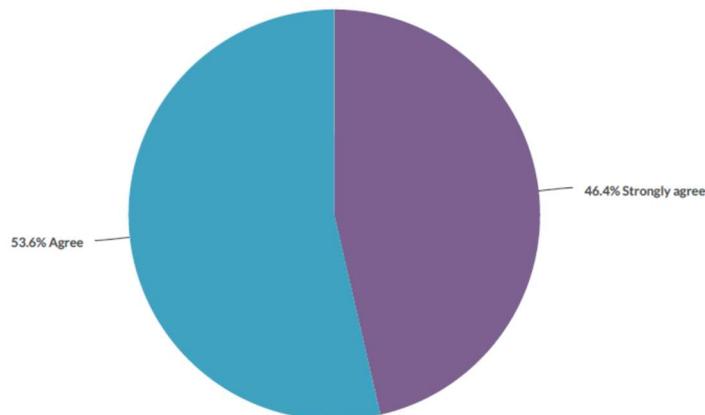
Impact

Contribution to long-term processes

Despite the recent finalisation of the project, the evaluation found evidence of its contribution to long-term processes that were triggered as a consequence of the mentality changes influenced by the activities. There is evidence that the project – and mainly the two case studies – contributed to improve decision-making and coastal transport infrastructure planning and operation in the beneficiary countries. The achievement of “concrete development impacts” is particularly interesting in the framework of a project with strong focus on research (regional and global level).

The sphere of control of the project is limited to the inputs, activities, outputs, processes and immediate effects. It is therefore more difficult to demonstrate the project’s contribution at the level of organization and enabling environment (sphere of influence). Nevertheless, the evaluation found evidence of the project’s contribution to long-term processes. For example, all respondents to the survey agreed (54%) or strongly agreed (46%) that the information conveyed at the workshops had the potential to contribute to or influence policy making, initiatives, actions plans, strategy plans, etc.

Figure 15 – Survey question 16: the information conveyed at the workshop(s) has the potential to contribute to or influence policy making, initiatives, actions plans, strategy plans, etc.?



The project highlighted the threats of sea level rise for concrete facilities in Saint Lucia and Jamaica. It also demonstrated the potential costs to these countries (and region) for not implementing the necessary adaptation policies and strategies. Although attribution is difficult (among other things due to the recent finalisation of the project), there is evidence that the project – and mainly the two case studies – contributed to some extent to improve decision-making and coastal transport infrastructure planning and operation. As put by beneficiaries responding to the evaluation:

- *The opinions of experts have found their way into policy.*
- *There is now greater involvement of the Division in climate change discussions.*
- *It certainly help with planning for preparedness for the 2018 season.*
- *It will strongly contribute to change in how we adapt our port operations in the future.*
- *The information received will be used in future planning and policy decisions as it is more apparent that saint Lucia's coastal transportation sector is a imminent risk from the impacts of climate change.*
- *The policy makers in attendance will use the information received to make more informed policy decisions.*
- *The information presented at the workshop will contribute to the overall national climate change programme and policies carried forward through the Ministry of Environment*
- *I think the positive feedback suggest that the Authorities in Barbados will incorporate some of the learning into future planning*
- *it will contribute to changes because plans are underway to mitigate against the effects of climate change especially as it deals with early warning systems*
- *While there were no immediate changes at institution level as this was a subject under constant review, the workshop influenced the forward planning and gave a greater sense of urgency to the needed steps for the future.*

For example, it was reported that the project findings were being used in the on-going renovation of Saint Lucia's airport. The project findings contributed to reversing the plans for an extension of the runway into the sea. In Jamaica, the findings informed the airport policy in Jamaica in the sense of reinforcing the need for broader climate and economic impact considerations in all strategic planning. In particular, it was mentioned that the workshop was "a confirmation for the Airports Authority of Jamaica which had already initiated wave climate studies and the design of protective structures and rehabilitation works to existing protective structures". At the time of the evaluation, it had been decided to install weather monitoring stations at Kingston Freeport Terminal as recommended at the workshop.

Influencing policy is more a process than a product, as a number of activities and relationships interact with each other. However, the process is not linear: policy decisions over time generally display a complicated pattern of advances and reversals tied together in feedback loops of decision, implementation, second thoughts and course corrections.²⁶ Moreover, policy influence should be understood as a means to an end and not an end in itself.²⁷ Policymaking is often considered to be a set of processes that includes (i) the setting of an agenda, (ii) the specification of alternatives from which a choice is to be made, (iii) an authoritative choice from among those specified alternatives and (iv) the implementation of a decision.

At the regional level, CCCCC was assisting partners to articulate further actions based on the outcome of the workshops to apply the approach developed in other countries. In particular, it was working with member countries to develop projects and seek finance under the Green Climate Fund

²⁶ See F. Carden, Knowledge to Policy: Making the Most of Development Research, International Development Research Centre (IDRC), 2009.

²⁷ See J. Kingdon, Agendas, Alternatives, and Public Policies, New York, HarperCollins Publishers, 1984.

for the implementation of mitigation measures (based on the methodology). The achievement of “concrete development impacts” was even more interesting taking into account the project focus on research at a regional and global level (see above).

Nevertheless, this positive picture should be taken with caution as there might exist a positive bias as explained in the methodology. In addition, only 20% of the respondents to the survey considered that the publications contributed (or will do in the future) to a significant result or change within their country and/or institution (9 answers); 7% thought they did not (3) and; 73% did not have sufficient information (32 answers). See above about the limited knowledge about the publications.

Not surprisingly, achieving long-term impact was identified by numerous stakeholders as the greatest challenge with respect to the various activities implemented. Political will was identified in particular as essential to achieve it. The limited attendance of senior officials to the workshop in Saint Lucia was mentioned several times as a limitation in this sense.

Gender and human rights

Consideration of crosscutting issues

The project did not incorporate a thorough gender or a human rights perspective either at design or during implementation. This is in part explained by the technical nature of the subject matter. On the other hand, an effort was done to ensure women participation during implementation and many of the three workshop participants as well as the contributing experts were women.

The Project Document included a section about the situation of women in developing countries and highlighted that climate change impacts on seaports and airports and, by extension, on tourism and trade had direct implications for women (with women in the Caribbean SIDS being overrepresented in the services sectors, in particular tourism-related sectors). Nevertheless, this section remained too general and lacked analysis. It was believed that the project would contribute directly to reducing women’s marginalization and alleviating gender inequalities by building capacity in ports and airports. Nevertheless, this is not evident and could have been further analysed. The design was not gender-responsive and human rights related issues were not considered. This was to some extent explained by the technical nature of the project but probably even more by the limited resources available. Neither the themes treated at the events nor the publications incorporated a gender or a human rights perspective. The guidelines for the preparation of Development Account project documents are clear in this respect, as they recommend devoting attention to gender considerations, identifying dimensions of gender inequality and the extent to which women and men may be differently affected by the problem and require differentiated capacity development support.

Nevertheless, many of the three workshop participants as well as the contributing experts were women. The Final Report highlighted that between 41% and 43% of the participants were women (14 women in Saint Lucia, 20 in Jamaica and 17 in Barbados). Most of the project team (from

design to implementation), including UNCTAD staff and consultants (international and national) were women. Furthermore, equal consultation was ensured during the field visits. This is in line with the fact that almost 40% of the respondents to the evaluation survey were women.

Partnerships and synergies

Collaboration

The project was implemented in an excellent collaboration with numerous partners (international organizations, academic and research institutions etc.) This allowed to create important synergies and to leverage financial resources in the form of in-kind contributions. In addition, a significant effort was made to include a core of key stakeholders at the regional and sub-regional levels in the activities. Thanks to the project results, further collaboration options with additional stakeholders are being explored after the finalization of the project at regional and international level.

As mentioned before, UNCTAD collaborated with at least seven organizations, including ECLAC, UNDP, UNEP, UNECE, CCCCC, OECS and EC JRC. A significant effort was made under the project, to include a core of key stakeholders at the regional and sub-regional levels in the activities. In particular, the collaboration with OECS and CCCCC facilitated the dissemination and sustainability of the project's results. See above about CCCCC working with member countries to develop projects for GCF. As mentioned above, the collaboration with EC JRC added significant value thanks to the contribution of marine inundation modeling outputs at no cost. Finally, academic experts participation in the activities could easily result in further dissemination of the results (University of the West Indies, University of Rhode Island and University of Tokyo).

The Final Report mentioned that collaboration was being explored with the Airports Council International to raise awareness and build capacity of airports in relation to climate adaptation, inter alia, through joint training. Furthermore, the collaboration with UNECE's Expert Group on Climate Change Impacts and Adaptation for International Transport Networks and Nodes will continue.

III. CONCLUSIONS

(a) All sources of information (documents, survey and interviews) confirmed that the potential impact of climate change on transportation systems had not been sufficiently addressed before the project. Therefore, all stakeholders considered that the project was pertinent both from a technical and political point of view. It was highlighted that only UNCTAD had engaged the region in the kind of research and analysis related to climate change impacts and coastal transportation infrastructure. The project as well as its activities and products (workshops and publications) were well suited to address the different regional priorities, including some important bottlenecks identified during the design at national level but also within the region. Many participants reckoned that they would not have been able to hold these discussions without the DA supported-project; from UNCTAD's side, it would not have been possible to do the additional work without the DA support. The project also contributed to promoting regional cooperation in the Caribbean.

(b) The project was built upon UNCTAD's experience and it was fully aligned with its mandate by identifying capacity-building needs and promoting sustainable and resilient transport systems and climate change adaptation for transport infrastructure and operations, particularly in SIDS. All sources of information indicated that the project contributed to several UN Conferences and Summits and directly contributed to the achievement of the SDGs. It directly contributed to several targets of SDG 9 by promoting resilient infrastructure and SDG 13 by taking action to combat climate change and its impacts.

(c) The project design benefitted from a thorough analysis of both country and region specificities. It directly targeted two SIDS (Saint Lucia and Jamaica) but all stakeholders reckoned that the design responded to a research logic at a regional (and global) level. The project implementation – participation in the events (i.e. direct beneficiaries) – was coherent with its design and the thorough stakeholder analysis that complied with DESA guidelines, to some extent, allowed to distinguish between different levels (individual, organizational and enabling environment).

(d) Although important cause-effect assumptions and potential risks were made explicit during the design, the project could have been underpinned by a more comprehensive logic in order to demonstrate that the results were realistic. In particular, the three dimensions of capacity development (individual, institutional, and external enabling environment) could have been addressed by a more robust theory of change. It should nevertheless be noted that, the project addressed the enhancement of knowledge of individuals and to some extent the other two dimensions mainly by (i) aligning with the existing institutional frameworks in order to maximize the effects at organizational level and (ii) collaborating with regional partners that could promote the project results. The implementation strategy was well described in the Project Document.

(e) The project – particularly through the workshops and three substantive reports – contributed to enhance the capacity of policy makers, transport planners and transport infrastructure managers to effectively plan and develop adaptation measures that enhance the resilience of coastal transport infrastructure; i.e. knowledge, awareness and understanding increased at individual level (EA1). Most beneficiaries highlighted that (i) the workshops provided crucial information that could be used in their daily work; (ii) the case studies were seen as eyeopeners and; (iii) the methodology was an excellent, useful and practical tool that filled an existing gap and could be easily applied in similar contexts.

(f) The project, particularly through dissemination of substantive findings, tools and guidance at the workshops, contributed to enhance the knowledge of policy makers, transport planners and transport infrastructure managers about climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations (EA2). In particular, the regional workshop was considered by many stakeholders as (i) an eyeopener (by addressing a topic that was not at the forefront of regional discussions); (ii) particularly timely (in the light of the devastating hurricane season of 2017) and; (iii) a networking opportunity that was particularly appreciated by participants (by bringing together representatives of 21 Caribbean islands/territories). The methodology was considered innovative and practical. In addition, regional workshop participants considered the demonstration of the methodology excellent or very good.

(g) Despite numerous external difficulties, the project was implemented on time and within budget. Project funds were properly allocated to their expected allotment areas. The project benefited from UNCTAD's comparative advantages in terms of: (i) long-standing expertise and knowledge in the fields of maritime transport and environmental sustainability; (ii) work ahead of curve on climate change impacts and adaption in maritime transport; (iii) established and wide network of world renown transport and climate experts; (iv) access to unique and specialized maritime transport data; and (v) strong capabilities in terms of research and analytical work, consensus building, advisory services and training. There existed an outstanding collaboration between UNCTAD and the different counterparts. UNCTAD was able to draw extensively on multidisciplinary expertise through its informal network of leading researchers and experts in the field of climate change adaptation for transport that added value to the project and helped ensure quality control throughout. All sources of information confirmed that the project was implemented as planned and responded efficiently to the difficulties and changing needs. The evaluation can affirm that the activities were complementary and reinforced the internal coherence of the project. The majority of beneficiaries thought that the workshops were implemented in an efficient manner and they were satisfied or very satisfied with UNCTAD's logistical support. The level of satisfaction with the quality of the workshops was very high. The workshops included some of the world's leading experts in their respective fields, something that rarely comes together. All the contacted stakeholders considered that the quality of the technical presentations was very high. Most stakeholders highlighted the high quality of the publications. The workshops were also seen as a unique opportunity towards building or strengthening networks of policymakers, experts, researchers and the like.

(h) The logical framework, with indicators agreed with DESA, was useful at the project proposal stage but less so as an effective management tool due, among other things, to the lack of specific disaggregated indicators that comprehensively capture the project's performance.

(i) Due to the recent finalisation of the project, it was too early to draw any conclusions about the project's sustainability, but it was confirmed that the implemented activities contributed to generate interest and increase awareness on climate change impacts. The project results were broadly perceived as important. Local ownership was ensured by involving and consulting stakeholders and the methodology would allow mainstreaming climate change considerations into long-term planning and investment in the transport sector. The project also facilitated the establishment and strengthening of networks within the Caribbean region.

(j) Project findings led to the publication of a research paper in *Regional Environmental Change* (May 2018), a highly respected international journal presenting key results and some technical elements of the methodology. The methodology and results applied in the case studies were therefore validated by an independent scientific peer-review process. The original research reflected in this paper also advanced current scientific knowledge in the area. In addition, project's findings have informed and will continue to inform UNCTAD's work; synergies are also envisaged at a broader level (e.g. funding proposals by OECs Member States under the Green Climate Fund).

It is important to continue to give further publicity to the work done and to broadly disseminate the publications. At the time of the evaluation, DTL PLS was implementing a thorough strategy in this direction under its regular work, including peer-reviewed papers in academic publications and a comprehensive web-platform and forum (SIDSport-ClimateAdapt.unctad.org). This should result in increased political support and appropriation by beneficiaries. Most respondents were of the view that the activities under the project should be replicated in other SIDS in the Caribbean.

(k) Despite the recent finalisation of the project, the evaluation found evidence of its contribution to long-term processes that were triggered as a consequence of the mentality changes influenced by the activities. There is evidence that the project – and in particular the two case studies – contributed to improve decision-making and coastal transport infrastructure planning and operation in the beneficiary countries. The achievement of “concrete development impacts” was particularly interesting in the framework of a project with strong focus on research (regional and global level).

(l) The project did not incorporate a thorough gender perspective either in its design or during its implementation. The fact that gender considerations were not at the forefront of the project is in part explained by the technical nature of the subject matter. Nevertheless, an effort was made to ensure women participation during implementation and many of the three workshop participants as well as the contributing experts were women. With few exceptions, all UNCTAD staff involved in the design and implementation of the project as well as project consultants were women.

(m) The project was implemented in an excellent collaboration with numerous partners (international, regional organizations, academic and research institutions etc.) In particular, strategic collaborations with non-UN partners allowed to create important synergies and added significant value to the project such as leveraging financial resources in the form of in-kind contributions or facilitating dissemination and sustainability. In addition, a significant effort was made to include a core of key stakeholders at the regional and sub-regional levels in the activities.

IV. RECOMMENDATIONS

(1) To facilitate results-based management, UNCTAD should systematically develop a more comprehensive theory of change at the project design phase that better explains the causality chain to achieve the objectives and results. The theory of change should identify intermediate effects and assumptions that are not necessarily under the control of the project. A possible outcome for DESA (and UNCTAD) could be to include one expected accomplishment for each dimension of capacity-building. Different stakeholders should be involved or, where possible, their role in solving the problem should be identified during the design. *[Based on conclusions d and h]*

(2) DESA should consider greater flexibility to allow for UNDA funds to assist with administrative issues, given that regular staff movements cannot be avoided or planned. In addition, it is suggested that DESA and UNCTAD review their practices, so that regional consultants can be employed (while UNDA values involvement of regional consultants, UNCTAD rules allow only recruitment of national or international consultants). *[Based on conclusion g]*

(3) UNCTAD and DESA should review their procedures and develop guidelines and tools to ensure gender equality is mainstreamed into planning, monitoring and reporting mechanisms. As appropriate, project design could include positive actions to (i) ensure equal and active participation of women in the activities; (ii) promote the added value of incorporating gender issues into the beneficiaries' work; and (iii) include gender-sensitive indicators and targets. Gender experts or representatives may be invited to the activities to ensure ongoing focus on gender issues. *[Based on conclusion l]*

(4) UNCTAD should enhance its “dissemination strategy” at project outset and/or during its implementation in order to maximize the project’s sustainability. This could also (i) include targeted activities and; (ii) identify opportunities to link the project results and methodology with UNCTAD’s regular work. It could involve (i) continue partnering with regional actors (e.g. focusing on reaching policy makers at senior level and also involving civil society if possible) and; (ii) continue to encourage active participation of users of the web-based platform (e.g. including a feature on “who to speak with” if there are questions after reading the available documents, organizing webinars and/or moderated e-discussions on the use of the methodology, etc.) *[Based on conclusions i and j]*

(5) UNCTAD/DTL should continue to promote the replication of the activities and UNDA follow-up funding could be offered for projects with meaningful follow-up. In particular, UNCTAD/DTL should continue to ensure coordination with regional and national partners that are currently seeking funds to implement actions on the basis of the project findings and methodology. *[Based on conclusions k and m]*

V. LESSONS LEARNED

(a) UNCTAD is an excellence-driven organisation with a strong record and reputation in all regions. Its involvement has the potential to bring about significant efficiency gains by catalyzing dialogue, facilitating access to cutting-edge knowledge and attracting additional contributions into the projects (in-kind or others). In line with its mandate, UNCTAD promotes multilateral dialogue, knowledge sharing and networking at the regional level, and works together to promote intra- and inter- regional cooperation.

(b) The role of the DA as a vehicle for member countries to tap into the normative and analytical expertise of the UN Secretariat was evident throughout the project. By offering distinctive knowledge and skills that are rarely dealt with by other development partners, the DA is well placed to play a game changer role in terms of promoting exchange of knowledge and transferring skills among countries.

(c) The DA and UNCTAD have been significant gap-fillers as, without the DA support and without the work guided by UNCTAD, the particular issues addressed by the project would not have been examined in many countries and these type of discussions would not have taken place.

(d) The project clearly illustrates the benefits of the strategy of working at national and regional level. In particular, it achieved concrete results by including specific case studies. It also demonstrated that working closely with regional partners is an effective way to promote a common vision that, in turn, is able to strengthen the project's results, broaden the dissemination of products and enhance sustainability.

ANNEX I. TERMS OF REFERENCE OF THE EVALUATION

CONFÉRENCE DES NATIONS UNIES SUR
LE COMMERCE ET LE
DÉVELOPPEMENT



UNITED NATIONS CONFERENCE
ON TRADE AND DEVELOPMENT

Terms of Reference (TOR)

External Evaluation of Development Account Project 14150 Climate change impacts on coastal transport infrastructure in the Caribbean: enhancing the adaptive capacity of Small Island Developing States

1. Introduction and Purpose

This document outlines the Terms of Reference (TOR) for the final independent project evaluation for the United Nations Development Account (UNDA) funded project titled “Climate change impacts on coastal transport infrastructure in the Caribbean: enhancing the adaptive capacity of Small Island Developing States.”

The UNCTAD Evaluation and Monitoring Unit (EMU), in close collaboration with the Division on Technology and Logistics (DTL), will undertake this evaluation.

This evaluation exercise is meant to ensure ownership, result-based orientation, cost-effectiveness and quality of UNCTAD assistance. By carrying out this evaluation, UNCTAD plans to assess its work, to learn lessons, to receive feedback, appraisal and recognition, as well as to mobilize resources by showing the possible attribution of achievements to the programme.

The evaluation will systematically and objectively assess project design, project management, and project performance. The evaluation will provide assessments that are credible and useful, and also include practical and constructive recommendations, in order to enhance the work of UNCTAD in this area.

The evaluation will provide accountability to UNCTAD management, the Capacity Development Office/Development Account of DESA, project stakeholders, as well as UNCTAD's member States with whom the final evaluation report will be shared.

2. Project Background

Small Island Developing States (SIDS) share a number of socio-economic and environmental vulnerabilities that challenge their growth and development aspirations. Their climate, geographical, and topographical features as well as their critical reliance on coastal transport infrastructure, in particular seaports and airports, exacerbate these vulnerabilities, including their susceptibility to climate change factors, such as sea-level rise and extreme weather events. At the

same time, however, SIDS capacity to adapt and build the resilience of their coastal transport infrastructure is constrained.

Building on earlier related work by the secretariat, this project aims to address these challenges by strengthening the capacity of policy makers, transport planners and transport infrastructure managers in SIDS to (a) understand climate change impacts on coastal transport infrastructure – in particular seaports and airports – and (b) take appropriate adaptation response measures.

3. Scope of the Evaluation

The evaluation will cover the duration of the project from June 2014 to 31 December 2017

The evaluation is expected to deal with the following questions under the below criteria:

a) *Relevance*

- Did the project design, choice of activities and deliverables properly reflect and address the primary development needs of Jamaica and Saint Lucia as well as those of other Caribbean SIDS, taking into account UNCTAD's mandates, and alignment with the objectives of the UNDA?
- Were the actual activities and outputs of the project consistent with the overall goals and intended outcomes?
- What is UNCTAD's comparative advantage in this area and to what extent did this project maximize it?

b) *Effectiveness*

- Have the activities achieved, or are likely to achieve, planned objectives and outcomes as enunciated in the project document?
- To what extent are project beneficiaries satisfied with the activities organized by the project and the quality of the outputs?
- Is there evidence that the beneficiaries' knowledge and understanding of climate change impacts on their coastal transport infrastructure (in particular seaport and airport infrastructure), as well as their capacity to carry out/effectively plan and develop requisite adaptation response measures that enhance the resilience of coastal transport infrastructure, have been improved?
- How have the different activities complemented each other in the capacity building of the project beneficiaries?
- What are the lessons learned or best practices for similar future interventions?

c) *Efficiency*

- Have project implementation modalities, and internal monitoring and control been adequate in ensuring the achievement of the expected outcomes in a timely and cost-effective manner?
- Has the project leveraged in-house expertise, previous research and technical cooperation outcomes, existing databases, and other internal resources of UNCTAD and/or external collaboration from international development partners and mechanisms?
- Has the project timeline been affected by possible constraints/problems? If so, how have these affected project objectives and have they been addressed in an appropriate manner?

d) *Sustainability*

- Is there evidence that national counterparts and/or regional partners are committed to continue working towards the project objectives beyond the end of the project? To what extent have project beneficiaries' institutional capacities been enhanced?
- Have the activities and outputs been designed and implemented in such a way to ensure maximum sustainability of the project's impact? For instance, to what extent did the beneficiary country stakeholders have strong sense of ownership?
- Have efforts been made to sustain the knowledge and capacity gained in the project for future similar interventions to be carried out by UNCTAD?

e) Gender and human rights

- To what extent the design and implementation of the project incorporated gender mainstreaming considerations, and can evidence be identified in this regard?
- To what extent does the project advance UNCTAD's efforts to promote equitable transport and trade and sustainable development?

f) Partnerships and synergies (optional)

- How has the project advanced partnerships with national and regional counterparts, the civil society and/or the private sector?

4. Deliverables and Expected Outputs

The evaluation, on the basis of its findings and assessments made on the above criteria, should draw conclusions, make recommendations and identify lessons learned from the implementation of the project.

More specifically, the evaluation should:

- Highlight what has been successful and can be replicated elsewhere;
- Highlight, as appropriate, any specific achievements that provide additional value for money and/or relevant multiplier effects;
- Indicate shortcomings and constraints in the implementation of the project while, at the same time, identifying the remaining challenges, gaps and needs for future courses of action;
- Make pragmatic recommendations to suggest how UNCTAD's work in this area can be further strengthened in order to address beneficiaries' needs and create synergies through collaboration with other UNCTAD divisions, international organizations and development partners, and other international forums;
- Draw lessons of wider application for the replication of the experience gained in this project in other projects/countries;

Three deliverables are expected out of this evaluation (following EMU templates):

- 1) An inception report²⁸;
- 2) A draft evaluation report; and
- 3) The final evaluation report²⁹

The inception report should summarize the desk review and specify the evaluation methodology, determining thereby the exact focus and scope of the exercise, including the evaluation questions,

²⁸ Quality of the inception report should meet those set out in UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports: http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=608

²⁹ Quality of the evaluation report should meet those set out in UNEG Quality Checklist for Evaluation Reports: <http://www.uneval.org/document/detail/607>

the sampling strategy and the data collection instruments.

The final report of the evaluation must be composed of the following key elements:

- 1) Executive summary;
- 2) Introduction of the evaluation, a brief description of the projects, the scope of the evaluation and a clear description of the methodology used;
- 3) Findings and assessments according to the criteria listed in Section 3 of this ToR, with a comparison table of planned and implemented project activities and outputs; and
- 4) Conclusions and recommendations drawn from the assessments.

All the evaluation assessments must be supported by facts and findings, direct or indirect evidence, and well-substantiated logic. It follows that proposed recommendations must be supported by the findings and be relevant, specific, practical, actionable, and time-bound recommendations.

5. Methodology

The evaluation will be undertaken through a triangulation exercise of all available data to draw conclusions and findings. The evaluation methodology includes, but is not limited to, the following:

- Desk review of project documents and relevant materials;
- Face-to-face interview and/ or telephone interviews with relevant UNCTAD staff;
- Online surveys and, as appropriate, interviews of beneficiaries of the project, and other stakeholders, as may be required*; conduct follow-up interviews as may be necessary;
- Telephone/skype interviews with a balanced sample of project participants, project partners and other relevant stakeholders.

As part of the desk review, which will lead to an Inception Report, the evaluator will use the project document as well as additional documents such as mission reports; progress reports, financial reports, publications, studies - both produced under the project as well as received from national and regional counterparts. A list of donors, project beneficiaries as well as other partners and counterparts involved in the project will be provided to the evaluator.

The evaluator will further elaborate on the evaluation methodology in an Inception Report, determining thereby the exact focus and approach for the exercise, including developing tailor made questions that target different stakeholders (based on a stakeholder analysis), and developing the sampling strategy and identifying the sources and methods for data collection. The methodology should follow the UNCTAD Inception Report Guidelines.

The evaluator is required to submit a separate final list of those interviewed in the Annex of the evaluation report. The evaluator is ensure a wide representation of stakeholders, bearing in mind the need to include those in a disadvantaged or minority position as appropriate.

6. Description of Duties

The evaluator reports to the Chief of EMU. S/he will undertake the evaluation exercise under the guidance of the EMU and in coordination with the project manager. The evaluator is responsible for the evaluation design, data collection, analysis and reporting as provided in this TOR. The evaluator will submit a copy-edited final report to UNCTAD.

The evaluator shall act independently, in line with United Nations Evaluation Group (UNEG) Ethical Guidelines and in her/his capacities and not as a representative of any government or organisation that may present a conflict of interest. S/he will have no previous experience of

working with the project or of working in any capacity linked with it.

The evaluator should observe the UNEG guidelines, standards³⁰, and norms³¹ for evaluations in the UN system, as well as UNCTAD's Evaluation Policy³², in the conduct of this assignment. The evaluator needs to integrate human rights and gender equality in evaluations to the extent possible.³³ The evaluator needs to ensure a complete, fair, engaging, unreserved, and unbiased assessment. In case of difficulties, uncertainties or concern in the conduct of the evaluation, the evaluator needs to report immediately to the Chief of EMU to seek guidance or clarification.

The project team will support the evaluation, by providing desk review documents (following EMU desk review documents guidelines), contact details of project stakeholders as well as any additional documents that the evaluator requests. It is the responsibility of the project manager to ensure senior management engagement throughout the evaluation and timely feedback in the quality assurance and factual clarification process coordinated by the EMU. The project team will review and provide comments on the inception, draft and final reports with a view on quality assurance and factual accuracies.

The EMU acts as clearing entity during the main steps of this evaluation. It endorses the TOR and approves the selection of the proposed evaluator. EMU reviews the evaluation methodology, clears the draft report, performs quality assurance of the final report and participates in disseminating the final report to stakeholders within and outside of UNCTAD. EMU engages the project manager throughout the evaluation process in supporting the evaluation and validating the reports.

7. Timetable

The total duration of the evaluation is equivalent to 22 days of work and will take place over the period 1 November 2017 to 31 March 2018.

Activity	Days
Desk research and study of relevant documentation	3 days
Preparation of data collection tools and inception report	4 days
Interviews with UNCTAD staff and implementation partners	2 days
Other interviews with project participants, focal points and other stakeholders*	4 days
Data analysis and draft report write up	6 days
Final report write up	3 days

Note:

*: The evaluator may be required to attend a project activity in Barbados (regional capacity building workshop and technical follow-up meeting), on 5-8 December 2017.

The first draft report should be presented to the EMU and relevant stakeholders for quality assurance and factual corrections at least 3 weeks before the deadline for the submission of the final report.

³⁰ "Standards for Evaluation in the UN System" by UNEG, UNEG/FN/Standards (2005); http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=22;

³¹ "Norms for Evaluation in the UN System" by UNEG, UNEG/FN/Norms (2005); http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=21;

³² "Evaluation Policy" of the United Nations Conference on Trade and Development (UNCTAD), December 2011. December 2011, http://unctad.org/Sections/edm_dir/docs/osg_EvaluationPolicy2011_en.pdf.

³³ "Integrating human rights and gender equality in evaluations" by UNEG, UNEG Guidance Document (2014): <http://www.unevaluation.org/document/detail/1616>. The UNEG Handbook on "Integrating human rights and gender equality in evaluations: Towards UNEG Guidance" by UNEG, UNEG Guidance Document (2011): <http://www.uneval.org/document/detail/980>.

8. Monitoring and Progress Control

The evaluator must keep the EMU informed of the progress made in the evaluation on a regular basis.

The evaluator will submit the inception report on 1 December, 2017 (prior to undertaking field mission).

The evaluator will also present the draft report to the EMU and the project manager before the final submission, giving sufficient time for the verification of factual findings as well as its compliance with the ToR (approximately 2 week). To this end, a draft of the report must be presented by 31 January, 2018 for quality assurance by the EMU and factual clarification by the project manager, before submission of the final report.

The deadline for submission of the final report will be 28 February, 2018.

The contract concludes, and payment issued, upon satisfactory receipt of the final report.

9. Qualifications and Experience³⁴

- **Education:** Advanced university degree in economics, transport, development, law, environmental sciences, environmental management, public administration or related field.
- **Experience:** At least 5 years of experience in conducting project evaluations, preferably on interventions in the areas of climate change impacts and adaptation, coastal zone management or transport infrastructure planning. Demonstrated knowledge of sustainable transport or of climate change impacts and adaptation-related issues is required. Experience relevant to interlinkages between transport infrastructure, climate change adaptation and sustainable development is desirable. Experience in gender and human rights mainstreaming is desirable. Experience in relation to Small Island Developing States in the Caribbean is also desirable.
- **Language:** Fluency in oral and written English.

10. Conditions of Service

The evaluator will serve under a consultancy contract as detailed in the applicable United Nations rules and regulations. The evaluator will not be considered as staff member or official of the United Nations, but shall abide by the relevant standards of conduct. The United Nations is entitled to all intellectual property and other proprietary rights deriving from this exercise.

11. Payment of the consultancy fee

The Evaluation Consultant's fee will be paid in line with the following schedule and upon acceptance (part of the quality assurance process) by EMU of the key deliverables:

³⁴ The United Nations shall place no restrictions on the eligibility of men and women to participate in any capacity and under conditions of equality in its principal and subsidiary organs.

- Upon acceptance of the inception report: 20%
- Upon acceptance of the draft Evaluation Report: 40%
- Upon acceptance of the final Evaluation Report: 40%.

12. Applying for the consultancy

Applicants are required to submit an expression of interest to undertake the assignment/consultancy and include the following:

- Cover letter stating why you are suited for this work, your available start date and work experience, especially evaluation experience;
- Detailed CV; and
- A sample of a recent evaluation report.

Applications with the above details should be sent to evaluation@unctad.org

The deadline for submitting the applications is 31, October 2017. UNCTAD reserves the right to close the application before the indicated date if a suitable candidate is found.

ANNEX II. EVALUATION TOOLS

Evaluation matrix

RELEVANCE <i>The extent to which the project and its activities were suited to the priorities, policies and needs of the region and countries at the time of formulation and to what extent they were linked or related to UNCTAD's mandate and programme of work.</i>		
(EQ1) Did the project design, choice of activities and deliverables properly reflect and address the primary development needs of Jamaica and Saint Lucia as well as those of other Caribbean SIDS, taking into account UNCTAD's mandates, and alignment with the objectives of UNDA?		
Indicators	Collection Methods	Sources
Evidence of coherence against main UNCTAD mandate and policies	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers Beneficiaries
Degree of alignment with UNDA overall mandate and objectives		
Contribution and consistency with UNCTAD Programme of Work		
Evidence of alignment of objectives and EAs with the region and countries needs/priorities		
Level of participation and satisfaction of relevant stakeholders with the design and content of the project		
Degree of relevance of the project objectives throughout implementation		
(EQ2) Were the actual activities and outputs of the project consistent with the overall goals and intended outcomes? What is UNCTAD's comparative advantage in this area and to what extent did this project maximize it?		
Indicators	Collection Methods	Sources
Quality of the problem and objective analysis	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports
Level of alignment of the problem analysis with major problem conditions (including the cause and effect links between the problem conditions)		

Logic and plausibility of the means-end or cause effect relationship		UNCTAD Programmes of Work UNCTAD Project Managers UN / International Partners Beneficiaries
Degree of consistence among activities/outputs and goals/outcomes		
Evidence of UNCTAD's comparative advantage		

EFFICIENCY

Measurement of the outputs (qualitative and quantitative) in relation to the inputs, including complementarity (the extent to which the activities and the outcomes of the project have been able to establish and/or exploit synergies with other actions implemented by UNCTAD, other UN bodies or local organizations) and value added (the extent to which the project's activities and outcomes have confirmed the advantages of UNCTAD's involvement).

(EQ3) Have project implementation modalities, and internal monitoring and control been adequate in ensuring the achievement of the expected outcomes in a timely and cost-effective manner?

Indicators	Collection Methods	Sources
Extent to which the governance and management structures of the project facilitated the implementation	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers
Number and type of processes and/or procedures that were enacted to improve the implementation		
Evidence of clarity in definition of roles and responsibilities with regard to UNCTAD's procedures and reporting requirements		
Extent to which the management of the project was based on results, including the existence of a RBM policy		

(EQ4) To what extent are project beneficiaries satisfied with the activities organized by the project and the quality of the outputs? Were the services and support provided in a timely and reliable manner according to the priorities established in the project document?

Indicators	Collection Methods	Sources
Planned vs. actual allocation of expenses	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers Beneficiaries
Implementation delays due to lack of resource allocation timeliness		
Other possible constraints/problems		
Responses and actions taken to expedite processes		
Planned versus actual work plan		
Nature of delays that affected the implementation		
Level of satisfaction of the project's main clients with the services provided by the project (i.e. activities organized and quality of the outputs)		

Degree to which the project beneficiaries feel that project activities were delivered in a timely manner		
(EQ5) Were there any complementarities and synergies with the other work being developed? How have the different activities complemented each other in the capacity building of the project beneficiaries?		
Indicators	Collection Methods	Sources
Evidence of the project contribution to leveraging UNCTAD internal resources (e.g. in-house expertise, previous research and technical cooperation outcomes, existing , etc.)	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers UN / International Partners Beneficiaries
Evidence of joint programming with other development partners or mechanisms		
Evidence of joint implementation of activities with other development partners or mechanisms		
Evidence of links with similar initiatives implemented by other UN entities (e.g. Economic Regional Commissions)		
Evidence of the project successfully tapping regionally-generated knowledge (e.g. to identify good practices, to generate policies, etc.)		
Evidence of the project contribution to the UNDAF action plans or the CCAs		
Evidence of active involvement of civil society (including private sector)		
Evidence of close collaboration with national and regional counterparts		

EFFECTIVENESS

The extent to which the project attained its objectives and expected accomplishments, including mainstreaming gender and promoting equality.

(EQ6) Have the activities achieved, or are likely to achieve, planned objectives and outcomes as enunciated in the project document? Is there evidence that the beneficiaries' knowledge and understanding of climate change impacts on their coastal transport infrastructure (in particular seaport and airport infrastructure), as well as their capacity to carry out/effectively plan and develop requisite adaptation response measures that enhance the resilience of coastal transport infrastructure, have been improved?

Indicators	Collection Methods	Sources
Evidence of the use of the knowledge generated by the project (in the events and publications) in the beneficiaries work	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers Beneficiaries
Extent to which the project has influenced policy making		
Increased regional cooperation (e.g. reflecting greater consensus)		
Evidence of strategies, plans or policy initiatives that have considered the project results (e.g. methodology)		
Extent to which the beneficiaries' knowledge has improved (e.g. participants in workshops and seminars)		
Differences in behaviour, attitude, skills and/or performance		

(EQ7) To what extent has the project contributed to gender equality?

Indicators	Collection Methods	Sources
Evidence of the consideration of gender issues during the design (e.g. gender analysis)	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers Beneficiaries
Evidence of the consideration of gender issues during the implementation		
Extent to which the beneficiaries have been sensitized on gender equality		
Evidence of the project contribution to advance UNCTAD's efforts to promote equitable trade and sustainable development		

SUSTAINABILITY

The extent to which the benefits of the project are likely to continue after funding has been withdrawn, including long-term impact, dissemination and replication.

(EQ8) How was sustainability embedded into the project logic? Have the activities and outputs have been designed and implemented in such a way to ensure maximum sustainability of the project's impact? For instance, to what extent did the beneficiary country stakeholders have strong sense of ownership?

Indicators	Collection Methods	Sources
Evidence of an exit strategy	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers UN / International Partners Beneficiaries
Level of satisfaction of beneficiaries with their involvement during implementation		
Extent to which project design factored in strengthening local ownership and commitment among key stakeholders		
Quality of partnerships with new donors or partners to improve after-project financial capacity		
Evidence of a scaling or replication plan		
Budget for scaling out to other locations		

(EQ9) Is there evidence that national counterparts and/or regional partners are committed to continue working towards the project objectives beyond the end of the project? To what extent have project beneficiaries' institutional capacities been enhanced? To what extent has beneficiary countries implemented measures to enhance the sustainability of the results of the project?

Indicators	Collection Methods	Sources
Extent to which the project utilized the technical, human and other resources available in the beneficiary countries	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers Beneficiaries
Evidence of the project's main results and recommendations being used by beneficiary institutions after project end		
Evidence of multiplier effects generated by the project		
Mechanisms set up to ensure the follow-up of the networks created by the project		
Evidence of the beneficiaries' institutional capacities been enhanced		

Perception of an enabling environment to carry on after the project ends		
Evidence of the commitment of national and regional partners to continue working towards the project objectives		
(EQ10) Have efforts been made to sustain the knowledge and capacity gained in the project for future similar interventions to be carried out by UNCTAD? To what extent has UNCTAD implemented measures to sustain the knowledge and capacity gained in the project for future similar interventions?		
Indicators	Collection Methods	Sources
Evidence of the project contribution to shaping / enhancing UNCTAD's programme of work / priorities and activities	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers
Evidence of UNCTAD's use of the findings of the project		

Survey evaluation Development Account Project 1415 O



You are invited to respond to this survey as you participated in one or several of the following events:

- **UNCTAD National workshop “Climate change impacts and adaptation for coastal transport infrastructure in Caribbean SIDS”, 24-26 May 2017, Rodney Bay, Saint Lucia**
- **UNCTAD National workshop “Climate change impacts and adaptation for coastal transport infrastructure in Caribbean SIDS”, 30 May-1 June 2017, Kingston, Jamaica**
- **UNCTAD Regional Workshop “Climate change impacts and adaptation for coastal transport infrastructure in the Caribbean”, 5-7 December 2017, Bridgetown, Barbados**

This survey is part of an independent evaluation to measure the relevance, efficiency, effectiveness and sustainability of UNCTAD activities.

Your opinion is valuable for us! Help us improve UNCTAD's future work by responding to the attached survey by May 25, 2018. It should approximately take you 10-15 minutes to complete it. All respondents will be anonymous. If you have any questions about this survey, please contact raul.guerrero.garcia@gmail.com

SECTION A: Personal information

- Ministry
- Other government institution
- Seaport authority
- Airport authority
- Other private sector (e.g. insurance industry, fisheries, tourism)
- UN system
- Intergovernmental organization
- Non-governmental organization
- Academia or research institution
- Other - Write In (Required)

1. Where do you work?

- Manager/Director
- Technical personnel
- Administrative personnel
- Researcher
- Other - Write In (Required)

2. What is your position?

- Jamaica
- Saint Lucia
- Other - Write In (Required)

- Male
- Female
- I prefer not to say

3. In which country is your organisation based?

4. What is your sex?

SECTION B: Workshops

- UNCTAD National workshop "Climate change impacts and adaptation for coastal transport infrastructure in Caribbean SIDS", 24-26 May 2017, Saint Lucia
- UNCTAD National workshop "Climate change impacts and adaptation for coastal transport infrastructure in Caribbean SIDS", 30 May-1 June 2017, Jamaica
- UNCTAD Regional Workshop "Climate change impacts and adaptation for coastal transport infrastructure in the Caribbean", 5-7 December 2017, Barbados

Very high

High

Low

Very Low

I do not have sufficient information

5. In what workshop(s) did you participate? (select all that apply)

6. How would you rate the quality of the workshop(s)?

7. Please specify why.

Very relevant

Relevant

Slightly relevant

Not relevant

I do not have sufficient information

8. To what extent do you consider that the workshop(s) was/were relevant to the context within your country?

9. Please specify why.

- Very satisfied Satisfied Slightly satisfied Not satisfied I do not have sufficient information
-

10. How satisfied are you with the the logistical support provided by UNCTAD?

- Yes
- No
- I do not have sufficient information

- Yes
- No
- I do not have sufficient information

11. In your opinion, was/were the workshop(s) implemented in an effective and efficient manner?

12. In your opinion, will you or your institution continue attending similar events in the future?

13. Please indicate to what extent you agree or disagree with the following statement: the workshop(s) contributed to increase my knowledge about the climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations.

- Strongly agree Agree Disagree Strongly disagree I do not have sufficient information
-

14. Please indicate to what extent you agree or disagree with the following statement: the workshop(s) contributed to increase my capacity to effectively plan or contribute to develop adaptation measures to

Strongly agree Agree Disagree Strongly disagree I do not have sufficient information

enhance the resilience of coastal transport infrastructure.

15. Please indicate to what extent you agree or disagree with the following statement: the workshop(s) contributed to increase the capacity of my institution to effectively plan or contribute to develop

Strongly agree Agree Disagree Strongly disagree I do not have sufficient information

adaptation measures that enhance the resilience of coastal transport infrastructure.

16. Please indicate to what extent you agree or disagree with the following statement: the information

Strongly agree Agree Disagree Strongly disagree I do not have sufficient information

conveyed at the workshop(s) has the potential to contribute to or influence policy making, initiatives, actions plans, strategy plans, etc.

17. Please specify if, in your opinion, the workshop(s) has/have contributed to a significant result or

change within your country and/or institution (or will do it in the future). Which one(s)?

SECTION C: Publications and studies

- Yes, I have contributed to their elaboration
- Yes but I was not involved in their elaboration
- Somehow
- No

18. Are you familiar with the publications/studies that fall within the framework of this project?

19. Please identify which publications/studies you are familiar with.

- | | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|--------------------------------------|
| Very high | High | Low | Very Low | I do not have sufficient information |
| <input type="radio"/> |

20. How would you rate the quality of the publications/studies?

21. Please specify why.

Very relevant

Relevant

Slightly relevant

Not relevant

I do not have sufficient information

22. To what extent do you consider these publications/studies as relevant to the context within your country or institution?

23. Please specify why.

Yes

No

24. Have you used any of these publications/studies in your daily work?

25. For what purpose have you or your institution used the publications/studies?

26. Please indicate to what extent you agree or disagree with the following statement: the

Strongly agree Agree Disagree Strongly disagree I do not have sufficient information

publications/studies contributed to increase my knowledge about climate change impacts on seaport and airport infrastructure as well as associated implications for services and operations.

27. Please indicate to what extent you agree or disagree with the following statement: the publications/studies contributed to increase my capacity to effectively plan or contribute to develop

Strongly agree Agree Disagree Strongly disagree I do not have sufficient information

adaptation measures that enhance the resilience of coastal transport infrastructure.

28. Please indicate to what extent you agree or disagree with the following statement: the publications/studies contributed to increase the capacity of my institution to effectively plan or contribute to develop adaptation measures that enhance the resilience of coastal transport

Strongly agree Agree Disagree Strongly disagree I do not have sufficient information

infrastructure.

29. Please indicate to what extent you agree or disagree with the following statement: the publications/studies have the potential to contribute to or influence policy making, initiatives, actions

Strongly agree Agree Disagree Strongly disagree I do not have sufficient information

plans, strategy plans, etc.

30. In your opinion, have the publications/studies contributed to a significant result or change within your

Yes
 No
 I do not have sufficient information

country and/or institution (or will do it in the future)?

31. If you think that the publications/studies have contributed to a result or change within your country



and/or institution (or will do it in the future), could you please identify how?



32. Do you have any recommendations for similar future publications/studies?

SECTION D: General questions

33. Do you think that the project contributed to raise awareness about climate change impacts and

- Yes
- No
- I do not have sufficient information

adaptation for coastal transport infrastructure in the Caribbean?

34. If you think that the project contributed to raise awareness about climate change impacts and adaptation for coastal transport infrastructure in the Caribbean, could you please identify how?
35. In your opinion, should the activities be replicated? (e.g. apply the methodology in other locations,

- Yes
- No
- I do not have sufficient information

further develop the methodology, etc.)

36. If you think that the activities should be replicated, could you please identify how?

37. Please indicate what, if any, you consider the particular added value of the project and its



deliverables/outputs (workshops, methodology, case studies).

38. Do you have any recommendations for future projects to strengthen the capacity to take appropriate



adaptation response measures to climate change on seaports and airports?



39. Please add any additional comments you may have.

Interview guidelines

	QUESTIONS
1	Do the project objectives and expected accomplishments respond to the region and country needs and priorities?
2	Are you familiar with the project publications (case studies and methodology)?
3	Did UNCTAD send the publications to you? Do you think it was timely done? Are they easily accessible (online)?
4	Do you know if they have been broadly distributed among the relevant stakeholders? Would you do something differently?
5	How would you rate the quality of the case studies? Would you say they were innovative (theme, approach, methodology, findings, etc.? Do you consider that they added value?
6	Were they useful to improve your work?
7	How would you rate the quality of the methodology? Would you say it was innovative (theme, approach, tools, etc.? Do you consider that it added value?
8	Was it useful to improve your work?
9	How would you rate the quality of the workshops (programme, expert presentations)? Was the theme, approaches, methodologies, etc. innovative? Do you consider that they added value?
10	To what extent do you think that your knowledge has increased after your participation in the workshops? Has it been useful to improve your work?
11	Do you consider that the level of participation of the different stakeholders in the workshops was adequate? Would you say that it contributed to strengthen local ownership and commitment among key stakeholders? Do you think that civil society (including private sector) was actively involved?

QUESTIONS

- 12 Were there any complementarities and synergies with other work being developed? Do you think that UNCTAD collaborated with other institutions? Were any activities implemented jointly with other partners? Were the activities linked with similar initiatives implemented by other UN entities (e.g. ECLAC)?
- 13 Do you consider that the project used regionally-generated knowledge (e.g. to identify good practices, to generate policies, etc.)? Do you think that the project utilized the resources available in the beneficiary countries (technical, human, etc.)?
- 14 Do you know if there are any new plan, strategy or policy initiative that benefited from the project activities and results? Are you aware of the project's main results and recommendations being used by beneficiary institutions?
- 15 To what extent does the project and its outcomes have the potential to enhance planning and developing adaptation response measures that enhance the resilience of coastal transport infrastructure?
- 16 Have any mechanisms been put in place to ensure the follow-up of possible networks created by the project?

ANNEX III. DESK REVIEW LIST

- Project Document
- Project Final Report
- Project annual progress reports 2014, 2015, 2016
- List of participants in the workshops
- Post-workshop participant surveys
- UNCTAD Research Paper No. 18: Port Industry Survey on Climate Change Impacts and Adaptation, Regina Asariotis, Hassiba Benamara, Viktoria Mohos-Naray, December 2017
- Climate Risk and Vulnerability Assessment Framework for Caribbean Coastal Transport Infrastructure, ICF, November 2017
- Climate Change Impacts on Coastal Transport Infrastructure in the Caribbean: Enhancing the Adaptive Capacity of Small Island Developing States - Saint Lucia: A Case Study, Isavela Monioudi, November 2017
- Climate Change Impacts on Coastal Transport Infrastructure in the Caribbean: Enhancing the Adaptive Capacity of Small Island Developing States - Case Study Report: Jamaica, Smith Warner International Ltd., November 2017
- Climate Change Impacts and Adaption for Coastal Transport Infrastructure in Caribbean SIDS - Beach Erosion GUI Manual, Isavela Monioudi, University of the Aegean
- Climate Change Impacts on Coastal Transport Infrastructure in the Caribbean: Enhancing the Adaptive Capacity of Small Island Developing States - Site Visit Report, ICF, April 4, 2016
- Briefing note on related UNCTAD work and general UNCATD-related documents
- Several quotes and e-mails
- Workshop programmes and related presentations

ANNEX IV. LIST OF PERSONS CONTACTED

- Ms Regina Asariotis, Chief, Policy and Legislation Section, Division on Technology and Logistics, UNCTAD (Project Manager)
- Ms Viktoria Mohos Naray, Policy and Legislation Section, Division on Technology and Logistics, UNCTAD
- Mr Jan Hoffmann, Chief, Trade Logistics Branch, Division on Technology and Logistics, UNCTAD
- Ms Lenita Joseph, Chief Transport Officer, Ministry of Economic Development, Transport & Civil Aviation of Saint Lucia
- Mr Lynden H. Leonce, Assistant Airport Manager (Former Air Traffic Controller), Hewanorra International Airport Saint Lucia Air and Seaport Authority (SLASPA)
- Mr Christopher Gayle, Environmental Specialist, Kingston Freeport Terminal Ltd (KFTL)
- Ms Cheyenne McClarthy, Environmental & Occupational Health Manager, Airports Authority of Jamaica/NMIA Airports Ltd (AAJ/NMIAL)
- Ms Jennifer Barrow, Coordinator/Consultant Aviation Task Force, Caribbean Tourism Organization (CTO)
- Mr John Lengel, Lead, Adaptation Task Group, Airports Council International (ACI)
- Mr Ulric Trotz, Deputy Director and Science Adviser, Caribbean Community Climate Change Centre (CCCCC)
- Ms Norma Cherry-Fevrier, Programme Officer Environmental Sustainability, Organisation of East Caribbean States Commission (OECS)