MONITORING AND EVALUATION FRAMEWORK FOR THE MALEM-UTWE INLAND ROAD AND RELOCATION INITIATIVE

SPREP
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The **Pilot Program for Climate Resilience: Pacific Regional Track (PPCR-PR)** is a regional program which aims to strengthen integration of climate change and disaster risk considerations into 'mainstream' policy making and related budgetary and decision-making processes (i.e. 'climate change and disaster risk mainstreaming').

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Monitoring and Evaluation Framework

Secretariat of the Pacific Regional Environment Programme (SPREP)

Prepared by:

Ann Braun
Development Evaluation | M&E Support
PO Box 3729, Richmond 7050, New Zealand
abraunw.blogspot.com
+64 22 0970820
+64 27 6024916

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CONTENTS

ACRONYMS AND ABBREVIATIONS	VI
INTRODUCTION	1
INTERVENTION PROFILE AND LOGIC MODEL	3
MONITORING PLAN	8
EVALUATION PLAN	8
COMMUNICATION AND KNOWLEDGE MANAGEMENT	10
CONCLUDING REMARKS	11
APPENDIX 1. METHODOLOGY	12
APPENDIX 2. DEVELOPMENT OF THE LOGIC MODEL	13
APPENDIX 3. MONITORING PLAN/PROJECT RESULTS FRAMEWORK	15
APPENDIX 4. DRAFT TERMS OF REFERENCE FOR MID-TERM EVALUATION	20
APPENDIX 5. M&E FRAMEWORK	26

Acronyms and Abbreviations

AF Adaptation Fund

CBEM Community-Based Ecosystem Management

CCA Climate Change Adaptation

DAF Department of Administration and Finance

DREA Department of Resources and Economic Affairs

DT&I Department of Transport and Infrastructure

EOPO End-of-project (or programme) outcome

FE Final Evaluation

FSM Federated States of Micronesia

FSP Financial Service Provider

FY Financial Year

GDP Gross Domestic Product

HH Household(s)

HIES Household Income and Expenditure Survey

IRR Inland Road and Relocation

KCSO Kosrae Conservation and Safety Organization

KIRMA Kosrae Inland Resource Management Authority

KSDP Kosrae Strategic Development Plan

KSG Kosrae State Government

KSMP Kosrae Shoreline Management Plan

M&E Monitoring & Evaluation

MEF Monitoring & Evaluation Framework

MTE Midterm Evaluation

N/A Not Applicable

OEEM Office of Environment and Emergency Management (National)

PPCR Pilot Programme for Climate Resilience

SBOC Office of Statistics, Budget and Economic Management

SPREP Secretariat of the Pacific Regional Environment Programme

TBD To be determined

VAW Variation Against Workplan

Introduction

This document is the monitoring and evaluation (M&E) Framework for the Malem-Utwe Inland Road and Relocation Initiative (IRRI) of the Kosrae State Government (KSG), Federated States of Micronesia (FSM). The Framework is aligned with the FSM Action Plan for 2023[1], the climate-responsive Kosrae Strategic Development Plan (KSDP) for 2014–2023, and the Kosrae Shoreline Management Plan (KSMP) updated in 2014. The KSMP sets out the principles for coastal development in Kosrae over the coming decades and details key strategies for increasing the resilience of Kosrae's coastal communities.

The preparation of the Malem-Utwe IRRI is supported by the Secretariat of the Pacific Regional Environment Programme (SPREP), an intergovernmental organisation charged with promoting cooperation among Pacific island countries and territories to protect and improve their environment and ensure sustainable development. In partnership with the Asian Development Bank, SPREP is implementing the Pilot Programme for Climate Resilience (PPCR): Pacific Regional Track. The PPCR includes an initiative to build the capacity of an interdepartmental team in the use of monitoring and evaluation frameworks. The team is composed of representatives from the Governor's Office and from the Departments of Administration and Finance (DAF), Resources and Economic Affairs (DREA), Transport and Infrastructure (DT&I), and the Kosrae Island Resource Management Authority (KIRMA), to jointly implement monitoring and evaluation (M&E) in the infrastructure sub-sector. This M&E framework was developed to support this effort.

IRRI is largely a combination of strategies from the KSMP, which is specifically aimed at the Malem to Utwe area. The main strategies from the KSMP are:

- reposition a priority section of the road inland (the Malem-Yeseng-Utwe section (KSMP section 4.2.4.);
- create transitional revetment defences, specifically the highest priority defences at Mosral and Paal (KSMP section 5.1.2);
- develop a relocation strategy (KSMP section 4.3.2); and
- create incentives to relocate to safer areas (KSMP section 4.3.1).

Several development partners will contribute to the initiative. One of the development partners is the Adaptation Fund[2] (AF), and IRRI is part of a wider proposal for AF funding. The elements to be included in the AF proposal and in complementary proposals will be determined in early 2016. The AF aims to provide all four (4) State Governments in FSM with development planning tools and institutional frameworks to help coastal communities prepare and adapt for higher sea levels and adverse and frequent changes in extreme weather and climate events. These tools and frameworks may include national, state, island, municipal, community and sector plans, policies, regulations, guidelines, standards and protocols.

1 The 2023 Action Plan is a response to the economic challenge facing FSM to reverse the trend over the first 10 years of the Amended Compact where real gross domestic product growth (GDP) averaged –0.5 percent per annum. Implementing a long-term sustainable growth strategy is the Government's top priority. However, the challenge of growing the private sector at a rate sufficient to produce jobs and entrepreneurial opportunities and to close the fiscal gap in FY2024 is daunting. The Action Plan targets average real growth of 2 percent per annum over the remaining years of the Amended Compact. From 2024 onward, the FSM states will face serious fiscal deficits without any interventions or reforms. A key challenge in fiscal reform is that fiscal policy is formulated individually by the national and state governments, with separate expenditure and revenue policies. However, to meet the 2023 challenge, all five governments will need to undertake both revenue and expenditure reforms that reflect the nations long term goals and aspirations. Surpluses for the National Government prior to FY2024 will allow it to achieve two goals. First, it will be able to set aside $15 million per annum into the 2023 Investment Development Fund which will be used to stimulate economic growth. A further $15 million will be invested into the FSM Trust Fund to assist with financing State deficits from FY2024 and beyond. The fiscal challenge in FY2024 occurs at the State level and in particular in Chuuk and Kosrae. The economies of Pohnpei and Yap are stronger and have the capability to partially absorb the fiscal gap of FY2024. The centerpiece of the national strategy for achieving private sector growth is to "ignite tourism" by upgrading over 100 tourism sites and obtaining World Heritage Site status for Nan Madol in Pohnpei (and the associated Lelu site in Kosrae). The intent is to link agriculture and fisheries production to tourism as part of FSM's unique destination, offering the supply of fresh fruits, vegetables, and fisheries produce. This will require development of farmers' and shipping supply chains to boost supply of local food to hotels and restaurants. Source: FSM 2023 Action Plan; http://whc.unesco.org/en/tentativelists/5652/ (Accessed 9 Dec 2015)

2 The Adaptation Fund was established under the Kyoto Protocol of the UN Framework Convention on Climate Change and has committed USD 331 million in 54 countries since 2010 to climate adaptation and resilience activities. The Fund is financed in part by government and private donors and also from a two per cent share of proceeds of Certified Emission Reductions issued under the Protocol's Clean Development Mechanism projects.

The M&E framework was prepared following a Guidance Note prepared by SPREP[3] (see Appendix section 6.1 for a brief outline of the methodology).

Objective

The objective of this M&E framework is to guide a KSG Team and partners to conduct M&E of the proposed IRRI for the municipalities of Malem and Utwe. The purpose of the M&E framework is fourfold, assisting management and adaptation, while supporting learning and accountability.

- Management: tracking progress of intervention implementation against plans and to be able to, in a timely manner, adjust programme inputs, activities, and outputs to successfully achieve expected outcomes where needed.
- Adaptive Management: improving the design and performance of an intervention during its implementation and making overall assessments as to its quality, value, and effectiveness.
- Accountability: reporting on the use of allocated resources to Government, funders, members of the public, and intervention beneficiaries.
- Learning: inform future planning and revisions of the KSG's IRRI by generating knowledge about good practice, learning from experience as to what works and what does not, and why the intervention has been successful or not, in its particular context.

A particular emphasis of the M&E framework is to support adaptive management and learning. This emphasis is used because the IRRI is a new area of work for KSG and will serve as a pilot for future relocation initiatives involving other areas of Kosrae as identified in the KSMP.

M&E Framework Audiences and Use

The primary audiences for this M&E framework and the resulting information and knowledge are the Kosrae State Government and its non-governmental partner in the Malem-Utwe IRRI, the Kosrae Conservation and Safety Organization (KCSO), the Adaptation Fund-related Project Board, Director, and Manager at the National Level, and other development partners who may contribute to the initiative. A key use by the relevant state government departments and KSCO is for ongoing planning and adaptive management. Table 1 summarises the main audiences, uses, and activities of the M&E framework[4].

3 SPREP. 2015. M&E Guidance Note Kosrae.

4 The activities are based on the draft proposal to the Adaptation Fund (v.010915).

TABLE 1. AUDIENCE, USE AND MAIN ACTIVITIES OF THE MONITORING AND EVALUATION FRAMEWORK

AUDIENCE		M&E FRAMEWORK USE	MAIN ACTIVITIES
PRIMARY	Directors and Heads of Divisions of DAF, DREA, DT&I, KIRMA; Director and staff of KCSO;	Build consensus about the purpose, outcomes, and strategies of the, initiative; plan and adaptively manage; assess progress against expected outcomes; evaluate risks and assumptions; identify lessons and recommendations	Monitoring Planning and review meetings Quarterly Report Annual Progress Report
	Development Partners including the AF National Project Board, Director, Manger and Technical working group; Governor's Office; Divisions of DAF, DREA, DT&I, KIRMA Director and staff of KCSO	Assess progress against expected outcomes; evaluate risks and assumptions; inform future climate change adaptation- related initiatives, revisions of the KSDP, and strategic planning for the next KSDP, and future investment	Monitoring Visits Annual Progress Report Project Annual Review Project Board Meetings[1] Independent Mid-term Evaluation[2] Independent Final Evaluation[3][4]
SECONDARY	FSM, Kosrae, Yap, Chuuk, and Pohnpei state leaders	Lessons and recommendations to inform future climate change adaptation-related initiatives	Monitoring Visits Independent Mid-term Evaluation Independent Final Evaluation
	Regional organisations	Assess progress against outcomes; identify areas for support; identify effective practices for knowledge sharing	
	Donors/funding partners	Assess progress against outcomes; identify effective practices for knowledge sharing; inform future investment	

Intervention Profile and Logic Model

Problem Statement[5]

The Malem to Utwe coastal zone area of Kosrae is an 'unstable' storm berm that was created in large part by a series of large typhoons in 1891 and 1905. This coastal margin area is dynamic and subject to continuous change. The rate of change and structure of this area is also affected by climate change-related sea-level rise and changing frequencies and intensities of typhoon events. Uncontrolled mining of beach aggregate and inappropriately designed coastal protection measures are also contributing to coastal erosion in these areas.

The coastal road and a significant number of homes and other infrastructure is located on this narrow (10–50 m wide) berm, with wetland or mangrove between the berm and the upland part of the island. The establishment of the coastal road encouraged settlement along the exposed coastline. Unfortunately, limited information and understanding about the magnitude of flooding hazards and related risks in this area existed at the time of urbanisation. Consequently, homes and other infrastructure located in these coastal zone areas are increasingly vulnerable to erosion and associated overwash from king tide events and typhoons. According to a recent cost-benefit analysis (CBA) of infrastructure options (Holland, 2015), potential overwash events are expected to result in the following consequences:

- impacts (damage) on housing, school, and church infrastructure;

5 Sources for this section: (1) Holland, P. 2015. Cost-Benefit Analysis in Coastal Zone Management in Kosrae (FSM): Economic Assessment of Coastal Road Relocation; (2) Ramsay et al. 2013. Kosrae Shoreline Management Plan; (3) KSG. 2013. Kosrae State Strategic Development Plan 2014–2023. (4) SBOC. 2014. Federated States of Micronesia Household Income and Expenditure Survey 2014/14. Main Analysis Report.

- impacts (damage) on road, power, and other essential public infrastructure;
- impacts (damage) on safety of the community, including potential loss of life; and
- indirect impacts (losses) associated with damage to road infrastructure. These impacts include reduced earnings and educational opportunities and health effects, when access to work, school, and the hospital are hampered by road breaches, and reduced food security through the destruction of home gardens, which are an important element of food security on the island.

The magnitude of these expected impacts is significant. A conservative estimate of this impact for the next 50 years is around USD 146,000 per annum, and this expected impact is increasing in line with increasing frequencies of overtopping and flooding events.

The impact of these effects is exacerbating the already lower economic status of the residents of Malem and Utwe, who have lower average earnings than the residents of the other Kosrae municipalities of Lelu and Tafunsak.

KIRMA estimates that approximately 98 households (HH) (25% of the total number of HH in Malem and Utwe based on the 2010 Kosrae Census) are potentially under threat of overwash/inundation on the stretch of coastal road from Malem to Utwe.

In community consultations, families in Malem and Utwe stated that if the coastal threats were not addressed, the area would cease to be a safe and sustainable place to live and that emigration from Kosrae and/or FSM would be the most feasible option remaining to them. Considering that Kosrae is FSM's smallest state, and that the island lost a quarter of its population between 2000 and 2014 due to economically motivated outward migration, further migration to avoid coastal hazards to could have serious consequences.

The capacity of the Malem and Utwe communities to adapt to/manage these risks through relocation, to safer areas inland in particular, is considered low.

Barriers to Adaptation

The key barriers and constraints affecting the adaptive capacity of the Malem and Utwe communities include:

- lack of an inland road to provide access to safer areas inland;
- lack of land in safer inland areas. Approximately 50% of households located in the vulnerable coastal area do not own land inland. This is complicated by legal restrictions affecting the use and sale of land inland[6]; and
- lack of access to affordable finance.

Objective and Strategies of the Malem-Utwe Inland Road and Relocation Initiative

The primary objective of the IRRI is to increase the capacity of the Malem and Utwe communities to adapt and manage risks associated with coastal erosion and coastal flooding. More specifically, the IRRI aims to create conditions to enable the Malem and Utwe communities located in coastal hazard zones to gradually relocate to safer areas inland over the coming 50 years.

The IRRI consists of five key strategies for achieving this objective:

6 Currently, all land in Kosrae above the so-called *Japanese Line* is under government control. During the Japanese occupation of Kosrae, public lands were expanded to include the shoreline below the mean high water mark, the mangroves, and the upland forests above the Japanese Line, which includes approx. 67% of the total land area of Kosrae. As much as 50% of this area is too steep for any development and should be maintained as forest for watershed protection. A Constitutional amendment (Amen 19, 1995) was passed which allows reclamation of land above the Japanese Line by the original landowners. Land will be awarded by issuing a Certificate of Title to an individual or to the Tenancy-in-Common; however, a procedure for reclamation must be established by law before any advancement can be made. (Sources: FSM 2023 Action Plan (pgs 47-48); Kosrae State Land Use Plan 2003)

- Strategy 1: Construct an inland road and related public infrastructure
- Strategy 2: Increase access to land
- Strategy 3: Increase access to affordable finance
- Strategy 4: Conduct community-based ecosystem management
- Strategy 5: Limit further coastal development

The first three address the three barriers constraining relocation. The fourth is aimed at ensuring that relocation is environmentally sustainable and building resilience to primary climate risks in the inland areas. These primary risks are extreme rainfall events and related flooding and landslide risks. The fifth strategy is limiting further development of public and private infrastructure in the Malem-Utwe coastal hazard zone.

Logic model

The Logic Model (Figure 1) provides a graphic illustration of the IRRI design. It was developed through a process summarised in Appendix 2. It shows how a five-year project focused on construction of an inland climate-proofed road with power and water lines supplying designated inland village areas, supported by efforts to (1) improve access to land and finance (particularly for Malem and Utwe HH who have no land in safer inland areas), (2) protect ecosystems, and (3) carefully manage land converted for agriculture are expected to enable the gradual inland relocation of Malem and Utwe HH over the subsequent 5–50 years. Revetment of the existing coastal road would permit continuity of access to services in the meantime. The main strategies for achieving inland relocation are supported by public information and capacity development. The model also identifies plausible linkages between a road and inland relocation initiative, intended to increase resilience to climate-change, and the KSG/FSM national priority of private sector development.

Before the end of the first five years, KSG will also need to develop plans and access finance for provision of the other critical public infrastructure required for inland village areas and will need to review this approach to identify gaps and opportunities.

The initiative is intended to generate learning to help provide a roadmap for the eventual relocation of other Kosrae communities to safer inland areas and contribute to the 50-year vision of:

A sustainable population of Kosraens are living in inland village areas safe from coastal climate change hazards, protecting their ecosystems, participating in a growing private sector, including the development of inland agriculture, and experiencing rising social well-being and equity.

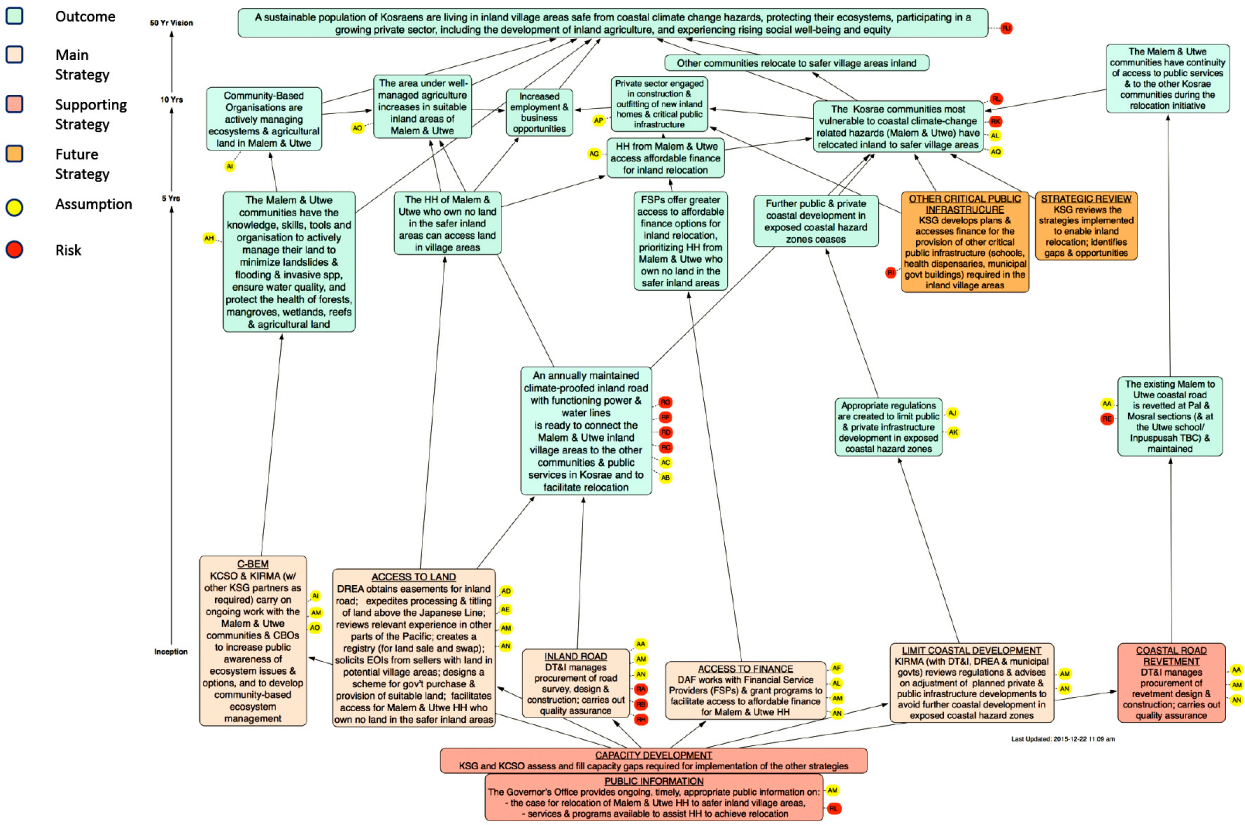
The expected outcomes for the initial five-year period fall in the time zone labelled inception to five years. The outcomes in the ten-year band represent the expected impact of the initiative.

Risks and assumptions relating to each strategy and outcome of the IRRI are also made explicit in the model. A key risk is the potential for environmental degradation associated with inland development. The magnitude of this risk in Kosrae is clear from several older proposals and studies.[7] The environmental risks together with social and cultural issues including land tenure and access are summed up by Monnereau and Abraham (2013)[8] and in the CBA of coastal infrastructure options.

The importance of finding culturally sound solutions to land access matters and the avoidance of degradation through effective community-based ecosystem management cannot be overemphasised.

7 (1) Bell F, 1992. Environmental Analysis for Kuplu Wan Golf Course Proposal Unpublished report USDA Forest Service); (2) Gorenflo LJ. 1993. Demographic Change in Kosrae State, federated states of Micronesia. Pacific Studies 16(2):67-118; (3) Naylor RL, KM Bonine, KC Ewel and Waguk E. 2002. Migration, Markets and Mangrove Resource Use o Kosrae, Federated States of Micronesia. Ambio 31(4):340-50.

8 Monnereau I and Abraham S. 2013. Loss and damage from coastal erosion in Kosrae, Federated States of Micronesia. Loss and Damage in Vulnerable Countries Initiative. Case Study Report. Bonn: United Nations University Institute for Environment and Human Security.



Assumptions:

Infrastructure:
AA: KSG can secure quality contractors to design & build the road/revet the existing road
AB: KSG is able to fund maintenance of the inland road
AC: KSG is able to fund maintenance of the other new power & water infrastructure in Malem & Utwe

Access to Land:
AD: Land swaps happen (between private owners & between private owners and KSG)
AE: KSG is able to successfully negotiate with private land owners for appropriate sites & appropriate prices

Access to Finance:
AF: KSG will be able to apply for GEF6 and other funding in relation to housing and broader development
AG: HH taking loans for relocations have adequate levels of financial literacy

Environmental Management:
AH: Communities & CBOs participate in initiatives for Community-Based Management of ecosystems
AI: Community-based Management of ecosystems is effective

Coastal Development:
AJ: HH will not invest money to build permanent homes in the coastal risk area
AK: Landowners, FSPs & Municipal Govts comply with regulations limiting infrastructure development in coastal hazard zones

Cross cutting:
AL: Malem & Utwe HH willing and able to relocate
AM: Implementing partners have adequate capacity
AN: TA required is available and of adequate quality
AO: Landowners in the inland area opened by the road engage in agriculture
AP: The private sector plays a role in increasing the affordability of house construction
AQ: Relocation occurs gradually with the HH in the most exposed coastal risk zones relocating first

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Risks:

RA: Agreement can not be reached with all landowners on easements required for building the inland road

RB: Climate hazards are more severe than anticipated leading to higher climate-proofing related costs for building the inland road

RC: Landslides damage new inland road

RD: Climate proof-design for the road is not effective

RE: Road revetment de-incentivises and delays inland movement by Malem and Utwe HH

RF: Utwe municipal government fails to permit use of water to supply Malem needs related to inland relocation

RG: Private HH are not willing to negotiate access for to enable power line installation passing through their land

RH: KSG is unable to access sufficient funding for the entire Malam to Utwe inland road

RI: KSG is unable to access sufficient funding for the other public infrastructure needed to facilitate inland relocation

RJ: The opening of the new road and inland area facilitates environmental problems such as incursion of invasive species, forest degradation or erosion

RK: Discord/conflicts between communities and or individuals emerge in relation to land, finance or other issues

RL: Adequate rate and/or density of relocation is not achieved

FIGURE 2. A) LOGIC MODEL FOR MALEM TO UTWE INLAND ROAD AND RELOCATION INITIATIVE; B) ASSUMPTIONS AND RISKS

Evaluation Questions

The logic model shows that achieving relocation to safer inland areas of two of Kosrae's four municipalities is a complex, long-term strategic initiative with several embedded projects, each corresponding to a component strategy and requiring coordination at both the individual and overall levels. This complexity implies a considerable burden of data collection and analysis for M&E. To focus the effort, and reduce the risk of overwhelm, it is critical to develop an M&E framework that is flexible and addresses the most critical information and learning needs. The formulation of priority evaluation questions helps to focus the M&E effort and to ensure it addresses the most critical information and learning needs.

The priority evaluation questions identified by KSG and KSCO are shown in Table 2. The "How Addressed" column shows which questions require the collection of monitoring data that will be fed into evaluation (M®E), and which questions will be handled exclusively through evaluation (E).

TABLE 2. PRIORITY EVALUATION QUESTIONS

	QUESTIONS & SUB-QUESTIONS	HOW ADDRESSED
Efficiency	To what extent were the key actions associated with each strategy (access to land, access to finance, construction of inland climate-proof road, revetment, control of further coastal development, community-based ecosystem management, public information, and capacity development) achieved? Was the new road completed as designed and planned?	1: M®E
Effectiveness	How effective were the strategies? What community-based ecosystem management projects/actions are being implemented, and what are they achieving? What depth and quality of community participation is being achieved in community-based ecosystem management work? How suitable are the sites designated as village areas? How well were the Malem and Utwe HH with no land in the inland area served by the actions to enable access to land? How well were the Malem and Utwe HH served by actions to enable access to finance? How well were the Malem and Utwe HH with no land in the inland area served? How effective are the public information efforts at facilitating community participation and ownership? How well did changes in new and existing policies and regulations function in limiting further coastal development?	2a: M® E 2b: M®E 2c: E 2d: M®E 2e: M®E 2f: M®E 2g: M®E
	What worked well and less well with each of the strategies and why?5	3: E
Impact	What proportion of Malem and Utwe HH are planning, preparing, ready to relocate, or have already done so? What is enabling and constraining readiness for relocation by HH from Malem and Utwe? How are agricultural issues influencing readiness for relocation by HH from Malem and Utwe? How is the private sector influencing readiness for relocation by HH from Malem and Utwe? Were there any unintended effects of the KSG inland road and relocation initiative (positive and negative)?	4: M®E 5: E 6: M®E 7: E 8: E
Sustainability	How resilient is the new road to the heavy/extreme rainfall events and associated climate-change related hazards? What, if any, were the gaps in the overall approach? i) What if any are the gaps in the individual strategies? What opportunities exist for addressing these gaps? How sustainable are the strategies implemented by KSG to enable relocation?	9: M®E 10: E 11: E 12: E
Synthesis	What are the key lessons for Kosrae from the inland road and relocation initiative?	13: E

Monitoring Plan

Good quality information and data are required to address the key evaluation questions outlined in Section 3 (i.e. questions 1; 2a, b, d, e, f, g; 4; 6; 9). This section outlines a plan for ensuring that the basic data needed to help answer these questions are collected. The basic data collected as part of monitoring are 'performance indicators': quantitative or qualitative variables that measure progress in a specific area of intervention performance.

The 'Monitoring Plan' can also serve to collect information needed for regular progress reporting, for the purposes of informing routine management decision-making as well as accountability.

To be consistent with the formats used by the Adaptation Fund, the Monitoring Plan is presented as a 'Project Results Framework'. The detailed Monitoring Plan or Results Framework is provided as Appendix 3.

Evaluation Plan

Monitoring information on its own is generally not sufficient to provide answers to all relevant evaluation questions. In particular, monitoring information is not able to explain the reasons why or why not objectives (or performance areas more generally) were achieved or to identify specific success factors or barriers. More in-depth information collected at discrete points in time is needed for this.

This section outlines a plan to ensure the in-depth information needed to fully answer the evaluation questions (and complement indicators collected as part of monitoring) is collected and that the methods for doing this are appropriate. For the purposes of this M&E Framework, this is called an 'Evaluation Plan'.

The Evaluation Plan is presented in Table 3 below. This format is different from, but also related to, that used in the Monitoring Plan. It specifies the evaluation questions (column 1); a summary of relevant indicator information collected as part of Monitoring (column 2); and the suggested data collection tool/method for collecting in-depth information needed to fully answer the evaluation question (column 3).

TABLE 3. EVALUATION PLAN

QUESTIONS & SUB-QUESTIONS		SUMMARY OF MONITORING	DATA COLLECTION TOOL/ METHOD
Efficiency	To what extent were the key actions associated with each strategy (access to land, access to finance, construction of inland climate-proof road, revetment, control of further coastal development, community-based ecosystem management, public information, and capacity development) achieved? Was the new road completed as designed and planned?	Performance indicators for *Outputs* 3.1.1, 3.2.1, 3.3.1, 3.4.1, 3.5.1, and 3.6.1	1: Analysis of Progress Reports – no additional data collection required
Effectiveness	How effective were the strategies? What community based ecosystem management projects/actions are being implemented, and what are they achieving? What depth and quality of community participation is being achieved in community-based ecosystem management work? How suitable are the sites designated as village areas? How well were the Malem and Utwe HH with no land in the inland area served by the actions to enable access to land? How well were the Malem and Utwe HH served by actions to enable access to finance? How well were the Malem and Utwe HH with no land in the inland area served? How effective are the public information efforts at facilitating community participation and ownership? How well did changes in new and existing policies and regulations function in limiting further coastal development?	Performance indicators for *Outcomes* 3.1, 3.2, 3.3, 3.4, 3.5, and 3.6.	2.a: Analysis of Progress Reports; Key informant interviews to learn about achievements; and Most Significant Change (MSC) stories 2.b: Analysis of Progress Reports; case studies of CBO leaders and of a purposeful sample of CBO members; and possible use of MSC stories 2.c: Analysis of Progress Reports; Key informant interviews comparing views against Village Area Designation Criteria, Direct observation/Expert Opinion 2.d: Key informant interviews 2.e: Survey and/or key informant interviews with Malem and Utwe HH. Include sample of HH with no land inland (prioritised for relocation assistance); Case studies illustrating key learning 2.f: Analysis of Progress Reports; Key informant Interviews 2.g: Analysis of evidence complemented by Key Informant interviews if necessary
	What worked well and less with with each of the strategies and why?6	Builds on monitoring information collected for 1 and 2, mentioned above	3: Analysis of progress reports; and key Informant Interviews
Impact	What proportion of Malem and Utwe HH are planning, preparing, ready to relocate, or have already done so? What is enabling and constraining readiness for relocation by HH from Malem and Utwe? How are agricultural issues influencing readiness for relocation by HH from Malem and Utwe? How is the private sector influencing readiness for relocation by HH from Malem and Utwe? Were there any unintended effects of the KSG inland road and relocation initiative (positive and negative)?	4: Performance indicator for *Impact*	4: Analysis of Progress Reports; and Key informant interviews 5: Analysis of progress reports; and Key informant interviews 6: For change in areas: Rapid survey (Malem, Utwe); Aerial photographs For views: Key informant interviews 7: Key informant interviews and survey of private sector actors, Most Significant Change (MSC) stories 8: Analysis of progress reports; and Key Informant Interviews
Sustainability	How resilient is the new road to the heavy/extreme rainfall events and associated climate-change related hazards? What, if any, were the gaps in the overall approach? i) What if any are the gaps in the individual strategies? What opportunities exist for addressing these gaps? How sustainable are the strategies implemented by KSG to enable relocation?	9: Performance indicator for Outcome 3.1	9: Analysis of progress reports; and Key Informant Interviews 10, 11: Stakeholder workshop; Analysis and synthesis of evidence 12: Analysis and synthesis of evidence
Synthesis	What are the key lessons for Kosrae from the inland road and relocation initiative?	All performance indicators	13: Analysis and synthesis of evidence

An independent evaluation specialist will be responsible for collecting the evaluation information. This will be undertaken as part of the mid-term evaluation and the final/terminal evaluation.

Indicative Terms of Reference for the independent MTE including a cost estimate are in Appendix 4. The team size, the process outline, and the associated budget reflect a comprehensive approach that can be scaled down. The Terms of Reference for the FE would be similar but subject to adjustment depending on the evolution of the initiative and learning from the commissioning of the MTE.

Communication and Knowledge Management

Given the interdepartmental nature of the IRRI, the creation of a common repository for reports, resources and monitoring data is recommended. This could consist of an online password-protected folder accessible to all partners (e.g., via Google Docs or Dropbox) with a clear directory structure for key data, progress, evaluation and research reports. The system could be set up and overseen by the lead agency.[9] Each department would be responsible for managing relevant subfolders.

A plan for communication and knowledge management related to the MTE and FE reports is outlined in Table 4. It recommends ways to pre-package and repackage information and knowledge from these evaluations to ensure effective communication and increase the probability of use.

TABLE 4. COMMUNICATION AND KNOWLEDGE MANAGEMENT PLAN

REPORT TYPE	AUDIENCES	TIMELINE	PRE-PACKAGING & REPACKAGING	DISSEMINATION	COST (USD)	KNOWLEDGE MANAGEMENT
MTE & FE	KSG/KCSO and Development Partners (MTE/ FE Steering Committee)	Inception Phase	Consultation on strategies to ensure achieve effective dissemination and use findings	N/A	See MTE TOR	N/A
	KSG /KSCO implementing team	Before MTE/ FE report is finalised	Validation Workshop (see TOR, Appendix section 6.4)	Workshop for feedback on findings and recommendations and to create ownership. Gather recommendations on dissemination approaches and modify this plan accordingly.	TBD	See recommendation above on creation of repository for IRRI related information
	KSG policy makers	After Validation Workshop	Briefing for Governor	Short presentation of key findings and recommendations accompanied by short written brief. Obtain recommendations for dissemination approaches to FSM national government audience.	See MTE TOR	Knowledge products become part of KSG/ KCSO IRRI repository
	FSM policy makers	After finalisation of MTE/FE report	Action approaches recommended by MTE Steering Committee, implementing team and Governor		TBD	
	Kosrae communities		Depending on recommendations develop press releases to disseminate via Kosrae radio, posters with infographics, and also possibly video, photo essay and web material as appropriate. Churches are powerful institutions in Kosrae and should be considered in the dissemination strategy.		TBD	
	Development Partners		Depending on recommendations develop website, infographics, video etc. material		TBD	

9 The lead agency remains to be determined.

Concluding remarks

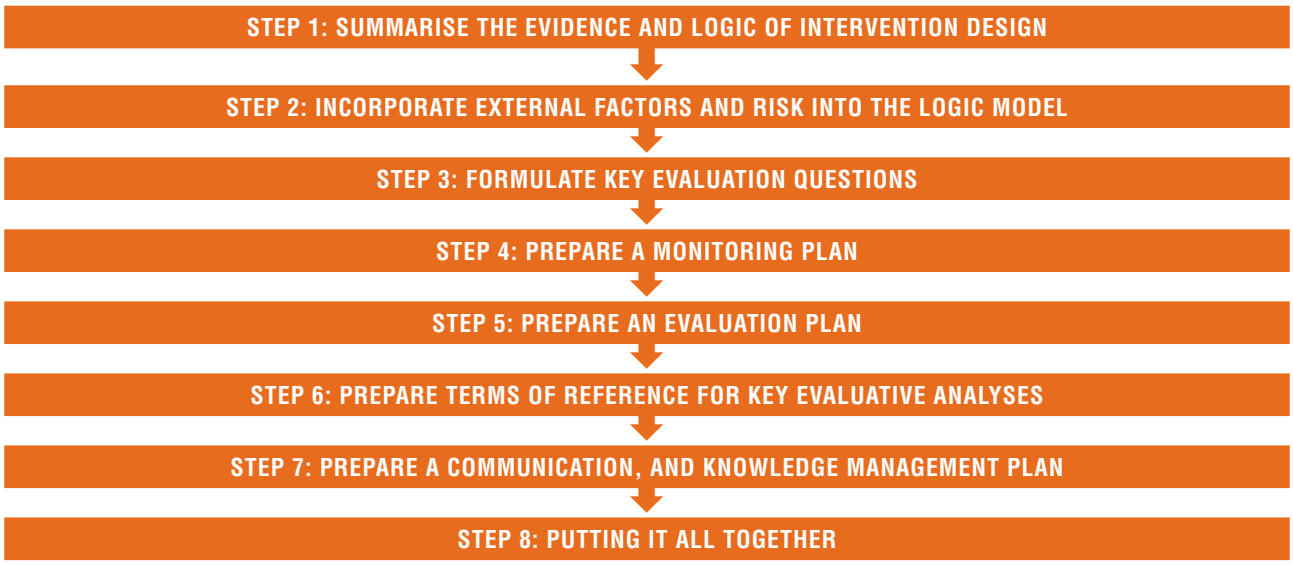
This framework outlines the approach that the KSG will take, working with Development Partners, to monitor and evaluate the implementation of the Malem-Utwe Inland Road and Relocation Initiative (IRRI).

A key feature of the framework is to focus the M&E work on answering a number of key evaluation questions and sub-questions, which were discussed and agreed upon by stakeholders during a workshop in November 2015.

The intention for this M&E framework is to be a 'living document' that will be periodically updated and adjusted according to the priority learning needs of KSG.

Appendix 1. Methodology

This M&E Plan was prepared following the Guidance Note for Developing Monitoring and Evaluation Frameworks: Strengthening the effectiveness and Resilience of Development Efforts in Kosrae. (SPREP, 2015).



Appendix 2. Development of the Logic Model

The logic model for the Malem-Utwe IRRI was developed through a two-step process: (1) initial framing and (2) refinement. The initial framing occurred at a workshop with key stakeholders attended by the key KSG Departments of Infrastructure and Transport (DT&I), Finance and Administration (DFA), Resources and Economic Affairs (DREA), the Kosrae Inland Resources Management Authority (KIRMA), the Governor's Office, and a representative from the NGO Kosrae Conservation and Safety Organization (KCSO). The facilitation style involved the use of plain language and avoidance of M&E jargon. A report of the workshop was prepared by SPREP and is available upon request.

The initial facilitation questions were:

- What changes do you intend to achieve by the end of the project? These were referred to as EOPOs (End-of-Project Outcomes)
- What needs to be in place to achieve the EOPOs: What barriers must be overcome?

These questions led to the identification of a series of outcomes that were grouped into three time horizons: within five, ten and fifty years. The outcomes desired within fifty years were formulated into a broad, guiding statement of vision linked to the KSDP. Achievement of gradual relocation of Malem and Utwe HH inland was seen as being a ten-year process, and the five-year project lifecycle was seen as a first phase and the time required to create conditions to enable relocation. The principal outcomes identified were construction of an inland climate-proofed road, and achievement by Malem and Utwe HH of access to land and finance for inland relocation. Once the desired outcomes were identified for these at ten- and five-year time horizons, a new facilitation question was introduced.

- What are the main strategies (related groups of activities required to bring about the EOPOs)

The main strategies identified were: Inland Road (Malem to Utwe) Construction; Access to Land, Access to Finance, Limiting Further Coastal Development, and Community-Based Ecosystem Management (CBEM). Three supporting and cross-cutting strategies were added: Coastal Road Revetment, Public Information, and internal Capacity Development. Main activities together with institutional responsibilities were identified for the strategies of Inland Road Construction and Revetment, Access to Land, Access to Finance, and Limiting Further Coastal Development. Further work will be required to identify the main activities to be carried out under the CBEM, Public Information and internal Capacity Development.

A visualisation of the emerging logic model was prepared based on the discussions up to this point, shared, discussed, and refined further.

Using the logic model visualisation as the basis for discussion, assumptions and risks were identified in relation to the strategies and EOPOs. The facilitation questions were:

- What are our beliefs (assumptions) about how things will work in this project?
- What are the foreseeable risks (factors beyond our control that may be manageable) associated with implementation of this project?

Assumptions and risks were identified in relation to both strategies and outcomes.

The process of creating the logic model led to the identification of several outcomes, strategies, and related stakeholders that had not been envisioned initially as being within the scope of project (Access to Land, Access to Finance and the supporting strategies of Public Information and Capacity Development). Financial service providers (FSPs) were identified as a key stakeholder group that needed to be brought into the process.

The refinement phase of the logic model involved meetings with each KSG department, KCSO, and with FSPs to revisit or present the logic model. The meetings were also used to collect information for constructing a baseline situation analysis. The discussions and information gathered at these meetings pointed to the need to align the model more closely with the KSDP, and also with the national level FSM 2023 Action Plan, which both emphasise the fiscal and economic development challenges facing Kosrae and FSM, and the need to reduce dependency on the public sector by developing the private sector.

The following facilitation question was used at the M&E workshop with KSG and KCSO to make a first cut at prioritising information needs:

- What are the questions you would like to be able to answer at the 5-year mark to guide the next phase of the 10-year Malem & Utwe relocation initiative?

The evaluation questions prioritised by two working groups at the M&E workshop and draft questions prepared by the M&E specialist were compared and discussed until consensus was reached.

Appendix 3. Monitoring Plan/Project Results Framework

Kosrae Project Results Framework

NOTES:

- This PRF assumes that the cross-cutting areas of public information and capacity development are covered under Component 4 of the overall project.
- Total numbers of HH and residents in Malem, Utwe and other Kosrae municipalities are based on 2010 census and can be updated based on the HIES if we receive information from SBOC in time. Alternatively, DREA might be able to supply the latest figures.
- The numbers of HH in the coastal hazard zone and the number of road easements required were supplied by DREA and are current.
- In a number of cases, the activities corresponding to each output (listed at the end) have been broken down into more steps compared to the budget table set to KSG.
- Yellow highlighting indicates one of the following: (1) missing information that needs to be supplied; (2) baselines or targets requiring checking or endorsement by KSG.

DESIGN SUMMARY	PERFORMANCE INDICATORS	BASELINE	TARGET	SOURCES OF VERIFICATION	RISKS AND ASSUMPTIONS
Impact: The Kosrae communities most vulnerable to coastal climate change-related hazards (Malem and Utwe) are relocating inland to safer village areas	% of Malem and Utwe HH relocated inland	0	Gradual inland relocation over the next 10-20 years of the 236 HH in Malem and the 161 HH in Utwe, starting with the 93 HH (83 in Malem and 10 in Utwe) currently in the coastal hazard zone	DREA and Municipal Govt records	**Risks:** Discord/conflicts between communities and/or individuals emerge in relation to land, finance or other issues Adequate rate of relocation is not achieved Assumptions: Malem and Utwe HH are willing and able to relocate Relocation occurs gradually with HH in the most exposed coastal zones relocating first
Outcome 3.1. An annually maintained climate-proofed inland road with functioning power and water lines is servicing the municipalities of Malem and Utwe and enabling relocation to safer inland areas	No. of people benefitting from the road Condition of road after extreme rainfall event (xx mm)	0	Targeted beneficiaries are the 2,283 people resident in the Malem[7] and Utwe[8] municipalities. Indirect beneficiaries include 4,333 residents of the other Kosrae Municipalities NOTE: A rubric[9] for assessing road conditions after rainfall events will be developed and the target set based on this	DREA and Municipal Government records Expert opinion from DT&I assessment report	**Risks:** The opening of the new road and inland area facilitates environmental problems such as incursion of invasive species, forest degradation, erosion. KSG is unable to access sufficient funding for other public infrastructure (in addition to road, power, water) needed to facilitate inland relocation Landslides damage the new inland road The climate-proof design for the road is not effective

DESIGN SUMMARY	PERFORMANCE INDICATORS	BASELINE	TARGET	SOURCES OF VERIFICATION	RISKS AND ASSUMPTIONS
Output 3.1.1. Malem-Utwe road section plus access routes to the two villages produced	Number road easements obtained/Number road easements required Agreement with Utwe municipal government for provision of water to supply Malem Number power line access agreements obtained/No. power line access agreements required Number of km of inland road produced to climate-resilience standards	0 Current inland road (xx km) is gravel only, in poor condition, and does not meet climate resilience standards No agreement currently exists 0 0	71 road easements (estimate of the number required[10]) are produced Utwe-Malem water supply agreement produced 100% of required powerline access agreements are produced X km of inland road produced to climate resilience standards	DREA and DT&I reports	**Risks:** Agreement cannot be reached with all landowners on easements required for building the inland road Utwe municipal government fails to permit use of water to supply Malem needs related to inland relocation Private HH are not willing to negotiate access to enable power line installation passing through their land Climate hazards are more severe than anticipated leading to higher climate-proofing related costs for building the inland road **Assumptions:** DT&I has adequate capacity DT&I can secure quality contractors to design and build the road KSG is able to fund maintenance of the new road KSG is able to fund maintenance of the new power and water infrastructure in Malem and Utwe
Outcome 3.2. The Malem and Utwe communities have continuity of access to public services and to the other Kosrae communities while new inland road is being built and over the course of gradual inland relocation	Number of people benefitting from the transitional defences at Mosral and Pal	0	Targeted beneficiaries are the 2,283 children resident in the Malem and Utwe municipalities who are affected by the vulnerable state of the coastal road at Mosral and Pal, particularly during extreme tidal surge events. Indirect, potential beneficiaries include the 4,333 residents in the other Kosrae Municipalities who may use the coastal road.	DREA and Municipal Govt records	**Risks:** Construction of transitional defences at Mosral and Pal de-incentivises and delays inland movement by Malem and Utwe HH
Output 3.2.1 Transitional coast protection at Mosral and Pal produced	No. of m of transitional defences produced	0 Ineffective loose boulder defences at Mosral and Pal patched only after extreme events	X m of transitional defences produced	DT&I reports	**Assumptions:** KSG can secure quality contractors to design and build the transitional defences KSG is able to fund maintenance of the transitional defences

DESIGN SUMMARY	PERFORMANCE INDICATORS	BASELINE	TARGET	SOURCES OF VERIFICATION	RISKS AND ASSUMPTIONS
Outcome 3.3. The HH of Malem and Utwe who own no land in safer inland areas can access land to enable relocation	% of HH without land inland who accessed land inland Area (m^2) of safe land inland identified for access	0 0	100% of the HH in the coastal hazard zone with no land inland access land (18 HH in Malem; 9 in Utwe) TBD	DREA records and reports	**Assumptions:** Land swaps occur (between private owners and between private owners and KSG) KSG is able to successfully negotiate with private land owners for appropriate sites and appropriate prices
Output 3.3.1. A State programme established to facilitate access to land in inland areas for homes and public infrastructure (schools, municipal government buildings)	Land purchase/ swap registry used by Malem and Utwe HH who own no land inland Legislative amendment(s) to enable access to and use of land above Japanese line are produced	No programme currently exists to facilitate land access. Land above the Japanese line is currently owned by KSG and cannot be used; however, there is a legislative request to amend the constitution to facilitate access to land above the Japanese line	100% of the HH in the coastal hazard zone with no land inland use the land purchase/swap registry (18 in Malem; 9 in Utwe) All legislative amendment(s) required to enable access to and use of land above Japanese line are produced	DREA records and reports Legislative Amendment(s)	
Outcome 3.4. The Malem and Utwe communities are actively managing land to minimise landslides and flooding associated with the new inland road, and to reduce environmental risks associated with the use of uplands for agriculture	Number and type of risk management responses implemented by the Malem and Utwe communities Quality participation by community members in management of environmental risks associated with the new road and with inland agricultural development Number community members (by gender and age group) reached through campaign to build awareness of and promote priority environmental risk/ environmental management responses Number of households in inland area severely impacted by flooding/ landslide event, if this were to occur	No community-based environmental risk management is currently in place[11]	At least one landslide, flooding and agriculture related response implemented by Malem & Utwe Assessments of participation quality for a cross-section of members using 1–5 scale[12]; **Target:** moderate to high At least xx men, yy women and zz youth reached 0 households in inland area impacted from flooding/landslide event, if this were to occur	KSCO reports	Assumptions Implementing partner has adequate capacity

DESIGN SUMMARY	PERFORMANCE INDICATORS	BASELINE	TARGET	SOURCES OF VERIFICATION	RISKS AND ASSUMPTIONS
Output 3.4.1. Community-based environmental risk and other environmental management responses identified and prioritised	Indicators identified for monitoring effectiveness of implementation risk management responses Community-based risk and other environmental management responses selected through Local Early Action Plan (LEAP[13]) process Time series trends identified from ongoing Forest Inventory Monitoring starting with baseline data collection prior to road development Key risks identified & characterised based on new and existing EIAs	None None None Domains of risk are broadly understood	At least one response effectiveness indicator developed for each key risk area At least 3 risk and/ or other environmental management responses selected through LEAP Forest Inventory carried out before road development & twice annually thereafter XX existing assessments reviewed; up to 3 new EIAs carried out	CBO workplans and KSCO newsletters and reports	Assumptions: Implementing partner has adequate capacity Communities participate in LEAP
Outcome 3.5. HH from Malem and Utwe can access affordable finance for inland relocation	Number of people who have used the adapted finance mechanism Existing housing finance mechanisms adapted	Existing loan mechanisms are offered by Kosrae Housing Authority[14] and FSM Development Bank[15]	At least XX people have used the adapted finance mechanism At least 1 existing programme is adapted to improve affordability of finance for house construction inland	DAF reports	Assumptions: Schemes prioritise vulnerable HH in coastal hazard zones
Output 3.5.1. Mechanisms for improving access to affordable finance for inland relocation identified and support provided to adapt these mechanisms	Recommendations are produced by a review of programmes and practices in Kosrae and other Pacific Island Countries	Most applicants for the FSM Development Bank loans do not meet eligibility criteria; Kosrae Housing Authority loan sizes ae small relative to home construction costs	Recommendations address affordability of finance Recommendations identify ways to serve needs of vulnerable HH in coastal risk zones	DAF and study reports	
Outcome 3.6. Further public and private infrastructure development in coastal hazard zones in Malem and Utwe ceases	Number of new developments (public, private) in Malem and Utwe coastal zone	Planned developments will be identified as part of the review	Once regulations are in place, no new developments are initiated in the Malem and Utwe coastal zones	KIRMA records	Assumptions: Landowners, Financial Service Providers and Municipal Governments comply with regulations limiting infrastructure development in coastal hazard zones
Output 3.6.1. Coastal development infrastructure regulation measures are produced and/or strengthened	Regulations are produced and/ or strengthened	Existing regulations will be identified as part of the review	At least 1 regulation limiting public and private coastal development is produced or strengthened	Text of official regulations	Assumptions: Draft regulations developed after the review are approved by the Kosrae State Government

Activities for Output 3.1.1.
• Reconnaissance survey to determine road route • Finalise road easement terms and conditions (DREA) • Topographic Survey • Procure engineering design for road, water and powerlines (civil, geotechnical and environmental) including climate-proofing • Quality assurance for engineering design for road, water and powerlines • Procure construction of road, water and power lines • Construct road including water and power lines • Quality assurance for road, water and power line construction • Develop maintenance plan • Yearly maintenance of road
Activities for Output 3.2.1
• Procure services for review to finalise design for transitional coastal protection at Mosral and Pal • Quality assurance for transitional coastal protection designs for Mosral and Pal • Procure construction of transitional coastal protection at Mosral and Pal • Quality assurance for construction of transitional coastal protection at Mosral and Pal • Develop maintenance plan • Yearly maintenance of transitional coastal protection at Mosral and Pal
Activities for Output 3.3.1
• Obtain easements for the inland road • Identify private land owners in upland areas including those with traditional ownership claims above the Japanese Line • Identify vulnerable HH in coastal hazard areas that are without land inland • Set up a registry to facilitate land purchases and swaps • Expedite legislative amendments related to land above the Japanese line • Expedite processing, titling related to land above the Japanese line • Research and develop options for a land provision scheme that prioritises vulnerable HH from the coastal hazard zone who are without land inland • Swap/purchase land inland that can be used for schools and municipal government buildings • Swap/purchase land inland that can be accessed by vulnerable HH from the coastal hazard zone through the land provision programme
Activities for Output 3.4.1
• Review existing assessments related to landslide, flooding and agricultural development risks in upland areas and identify gaps; undertake additional assessments if necessary • Establish forest Inventory Monitoring Plots; conduct initial assessment prior to road development and follow up post assessments after road development to gather information on key forest ecosystem processes (e.g., forest cover dynamics, gain or loss of species, tree growth rates, tree harvesting rates, changes in soil and other vegetation) • Identify and select community based risk management responses and objectives (drawing on assessments) through Local Early Action Plan (LEAP) processes • Implementation of community-based risk management responses (e.g. requirements for buffer zones, control of pesticide/herbicide use, etc.) • Implementation of community-based marine and terrestrial ecosystem management activities (e.g. fringing mangrove restoration/protection/ permitting, spatial planning for expanding/creating new upland/mangrove/nearshore coastal protected areas) • Create community-based monitoring programme (Identify and select indicators/metrics for monitoring ecosystem and community response to implementation activities and awareness programme • Campaign developed and implemented to build awareness of and promote key environmental risk/environmental management actions
Activities for Output 3.5.1
• Review existing access to finance (for home construction) programmes/schemes in Kosrae • Review access to finance schemes (for home construction) programmes/schemes in other Pacific island countries • Support adaptations to existing local schemes, ensuring they cater for vulnerable households in coastal hazard zones • Develop applications to the GEF6 via non-grant instrument
Activities for Output 3.6.1
• Review regulations relevant to management of infrastructure development in coastal hazard zones • Strengthen and/or develop regulations for management of infrastructure development in coastal hazard zones • Review planned public infrastructure developments in the Malem and Utwe municipal areas (e.g. schools, municipal offices, health dispensaries) • Develop plan to site public infrastructure in upland areas • Proper application and enforcement of regulations aimed at managing infrastructure development in coastal hazard zones • Develop funding proposals for public infrastructure (e.g. schools, municipal offices, health dispensaries)

Appendix 4.
Draft Terms of Reference for Mid-Term Evaluation

DRAFT

Background and Context

The island of Kosrae is the easternmost island in FSM. Kosrae is a 112 km^2 volcanic island surrounded by mangroves and coastal strand forests that have been historically used for lumber and fuel by residents. There is a shallow fringing reef spotted with boulders of limestone quarried from the fore-reef by high-energy wave events (storms, tsunamis, and other overwash processes). There are no outer islands. The island has steep, heavily vegetated watersheds with unstable slopes. Intense rainfall denudes exposed soil in areas of deforestation. Invasive vegetation is prolific and has taken a foothold in every watershed.

The Kosrae Inland Road and Relocation Initiative (IRRI) is a long-term undertaking by the Kosrae State Government (KSG) to increase the resilience of Kosrae to climate change. The long-term vision is:

A sustainable population of Kosraens are living in inland village areas safe from coastal climate change hazards, protecting their ecosystems, participating in a growing private sector, including the development of inland agriculture, and experiencing rising social well-being and equity.

Within 5 years, the IRRI aims to create the conditions necessary to enable gradual inland relocation, starting with the most vulnerable households in the most vulnerable communities of Malem and Utwe.

The Programme Logic is summarised in Figure 1.

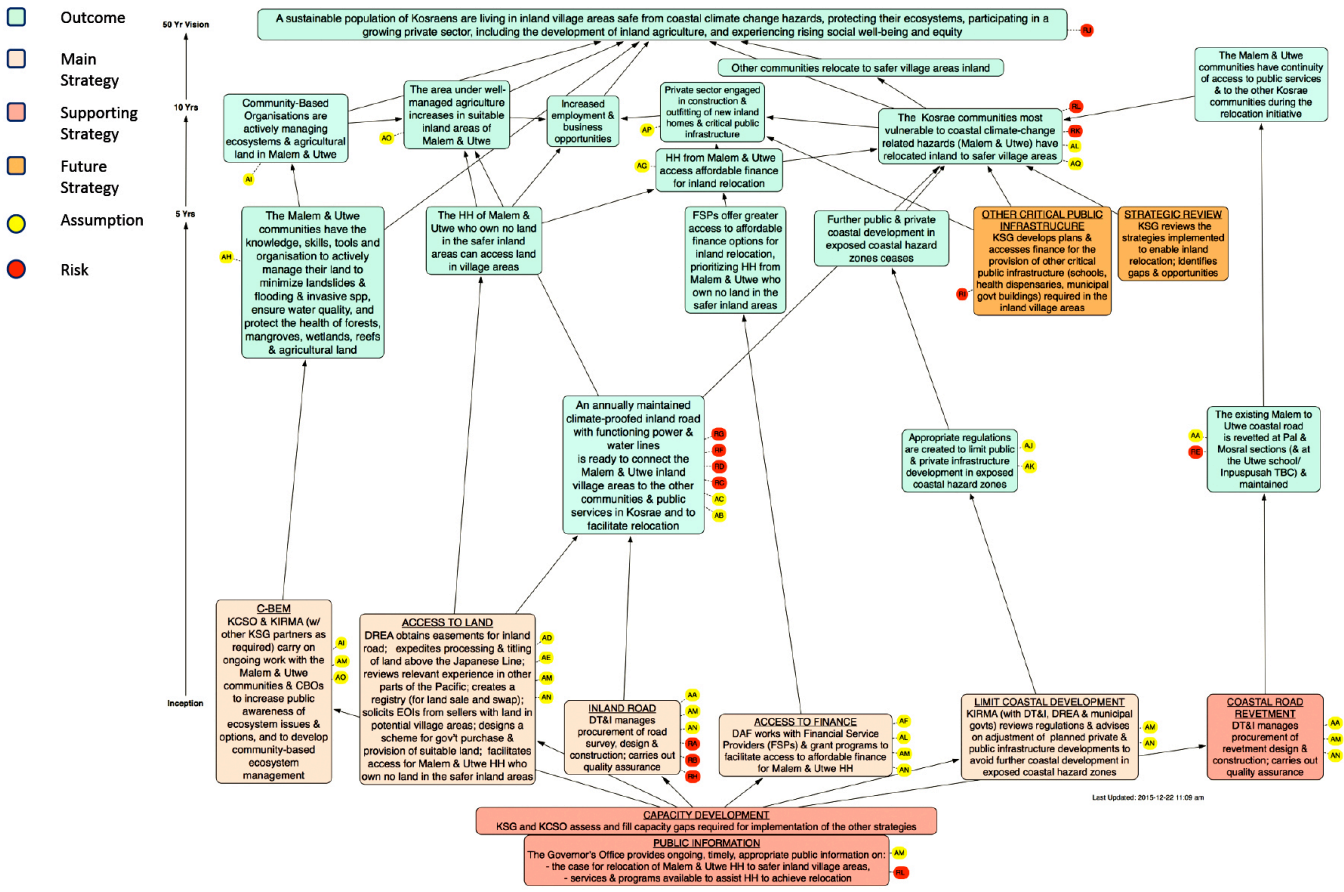


FIGURE 1. PROGRAMME LOGIC

The initiative consists of five main and three supportive strategies. The main strategies are construction of a climate-proofed inland road, access to Land, access to finance, community-based ecosystem management and limitation of further coastal development.

Land access issues are critical to the initiative. The construction of the inland road requires easements for approximately 71 privately owned parcels. Some of the households located in the coastal hazard zone have no land inland for the building of a new home. The relocation of the Malem-Utwe section of the circumferential road to the interior and the relocation of the Malem and Utwe households to the interior (with priority given to those currently living in the coastal hazard zone) both mean engagement with complex issues of land rights and titling. Land in Kosrae is managed under a complex mix of modern and traditional systems and intricately connected to people's perception of inheritance and community. This needs to be tackled with a long-term perspective, and disputes also can take an inordinately long period of time to resolve.

Some of the land required for the IRRI is above the so called *Japanese Line*, which delineates an undeveloped zone consisting of 65% of the interior of the mountainous island. The Government owns all the land above the Japanese Line, and the health of Kosrae' forests, mangroves, reefs and watersheds is due in large part to its existence.

A key risk for IRRI is the potential for environmental degradation associated with inland development. Other risks are that (i) the revetment of the coastal road, essential to keep it functioning while the inland road is built, de-incentivises inland relocation and (ii) the engineering design of the inland road is not 'proofed' from flooding and landslide hazards.

Access to finance for housing and other household relocation costs is also a challenge because the income levels of borrowers is often below the threshold needed to qualify for the loan products that are currently available.

In addition to Coastal Road Revetment, the other supportive strategies are Public Information and Capacity Development. The role of Public Information is to build a case for inland relocation to safer village areas and to inform people of the services and programmes available to assist households to achieve successful relocation. The role of Capacity Development is to ensure that KSG and partners have the capacity to able successfully implement the other strategies.

The first five year phase of IRRI began in [201X] with a total funding envelope of [USD] from [donor1, donor2] and [donor x].

A 'Framework' has been developed to assist monitor and evaluate the IRRI in a systematic and focussed manner. The development of this M&E framework was supported by the Secretariat of the Pacific Regional Environment Programme (SPREP) and Asian Development Bank through the Pilot Programme for Climate Resilience (PPCR): Pacific Regional Track. A copy of this M&E framework document is provided as Annex A.

PURPOSE AND USE

The main purpose of this midterm evaluation is learning for adaptive management. The evaluation will identify practices, opportunities, lessons and corrective actions needed for the next phase of implementation and to ensure the realisation of the expected outcomes.

The findings and recommendations will be used by KSG and IRRI Development Partners to identify key strategic adjustments to the overall approach and/or to the component strategies.

SCOPE

The Midterm Evaluation covers the entire time period since inception of IRRI and will evaluate the efficiency, effectiveness, impact, and sustainability of the five main strategies and the three supportive strategies. In line with the learning purpose of the evaluation, priority will be given to the evaluation criteria of effectiveness, impact, and sustainability.

The Evaluation will aim to include all the relevant stakeholder groups including the implementing KSG departments (DT&I, DREA, KIRMA, DAF, Governor's Office), contractors and consultants, and KCSO, Malem and Utwe municipal governments, households and community-based organisations, financial service providers, the Chamber of Commerce and other private sector actors.

EVALUATION QUESTIONS

During the inception phase, the KSG and its partner, the Kosrae Conservation and Safety Organisation (KSCO), identified the following key evaluation questions. It is intended that these questions will be the primary focus of the mid-term evaluation.

Efficiency	To what extent are the key actions associated with each strategy (access to land, access to finance, construction of inland climate proof road, revetment of the coastal road, control of further coastal development, community-based ecosystem management, public information, capacity development) being achieved? Has the new road been completed as designed and planned?
Effectiveness	How effective are the strategies? What community-based ecosystem management projects/actions are being implemented, and what are they achieving? What depth and quality of community participation is being achieved in community-based ecosystem management work? How suitable are the sites designated as village areas? How well are the Malem and Utwe HH with no land in the inland area being served by the actions to enable access to land? How well are the Malem and Utwe HH being served by actions to enable access to finance? How well are the Malem and Utwe HH with no land in the inland area being served? How effective are the Public Information efforts at facilitating community participation and ownership? How well are changes in new and existing policies and regulations functioning to limit further coastal development?
	What is working well and less well with each of the strategies and why?16
Impact	What proportion of Malem and Utwe HH are planning, preparing, ready to relocate, or have already done so? What is enabling and constraining readiness for relocation by HH from Malem and Utwe? How are agricultural issues influencing readiness for relocation by HH from Malem and Utwe? How is the private sector influencing readiness for relocation by HH from Malem and Utwe? Were there any unintended effects of the KSG inland road and relocation initiative (positive and negative)?
Sustainability	How resilient is the new road to the heavy/extreme rainfall events and associated climate-change related hazards? What, if any, are the gaps in the overall approach? i) What if any are the gaps in the individual strategies? What opportunities exist for addressing these gaps? How sustainable are the strategies implemented by KSG to enable relocation?
Synthesis	What are the emerging lessons for Kosrae from the inland road and relocation initiative?

TIMING

The evaluation will be carried out over a three-month period between [when] to [when] during the last quarter of the initiative.

MANAGEMENT AND GOVERNANCE

The evaluation will be managed by [insert]. [Insert relevant title or role] will be responsible for contracting the evaluation tea and monitoring the evaluation process against the TOR deliverables. An Advisory Committee comprised of a Senior KSG official from the implementing team, representatives of [Development Partner 1, Development Partner 2…] and [Development Partner X], and a Peer Evaluation Adviser designated by SPREP. The Advisory Committee will be responsible for reviewing and approving the MTE TOR, the Inception report and the draft Evaluation reports.

METHODOLOGY

Effective methodologies engender stakeholder ownership, build evaluation capacity, support accountability, foster independence, and ensure the transparency and reliability of findings. These are the principles that SPREP and KSG expect to be upheld over the course of this evaluation:

- **Partnership**: Work in partnership with development partners and other stakeholders to design and implement the evaluation.
- **Transparency and independence:** Ensure the evaluation process is transparent (open and understood by all partners), and independent (carried out in a way that avoids adverse effects of political or organisational influence).
- **Participation**: Ensure that stakeholders are appropriately involved at all stages of the review or evaluation.
- **Capacity building:** Design the evaluation so that KSG capacity to participate in evaluations is enhanced through involvement in the process.

After identification of the team leader and member, the Midterm Evaluation will be conducted in three stages described below. Drawing on the Monitoring and Evaluation Framework, the Evaluation Questions, analysis of relevant documents, and inception meetings, the team leader will prepare the evaluation design and schedule (Evaluation Plan).

The time requirements after the inception phase will be determined by the team leader as part of the evaluation plan.

PHASE	PROCESSES	DELIVERABLES
Inception (Team Leader Only)	Contextual Analysis: Reading/analysis of relevant documents	
	Inception meetings in Kosrae with steering group and with key KSG, KCSO and SPREP staff including stakeholder analysis, identification of key informants for potential case studies, use and dissemination of findings and recommendations	Inception Report
	Preparation of Inception Report and Evaluation Plan including interview guides, surveys, and participatory tools as required	
	Revision of Evaluation Plan based on feedback	Evaluation Plan
Field Work (Full evaluation team)	Orientation of team member	
	Engagement with implementers, contractors, consultants, municipal governments, communities, CBOs, FSPs and private sector actors: Carry out interviews, meetings, workshops, field trips, case studies, surveys etc. as per evaluation plan with emphasis on the evaluation questions related to effectiveness, impact and sustainability	
	Processing and preliminary analysis of data from field work and review of stakeholder surveys/feedback	
	Carry out remote interviews (Skype/phone) as required. Further field work to fill information gaps, check hypotheses	
Briefing	Workshop with the KSG/KCSO implementing team and SPREP to review the programme model in light of the findings and identify key strategic changes	
	Preparation of briefing to Steering Group	
	Briefing of Steering Group	Briefing: Preliminary Findings
Analysis and Writing (at SPREP for at least part of the time to enable team to work together)	Processing and analysis of data	
	Draft Report preparation	Draft Report
	Preparation of Advanced Draft Report	Advanced Draft Report
Validation (Team leader only)	Preparation of validation workshop	
	Validation workshop in Kosrae Briefing for Governor	
	Preparation of Final Report	Final Report
Total Days		

EVALUATION TEAM

The evaluation team will consist of two members with the following profiles:

- **Team Leader (TL):** A senior evaluator with a minimum of 10–15 years of experience in designing and managing programme theory-based evaluations, plus experience of conducting evaluations of community-based ecosystem management (or similar programmes), and access to finance and/or land programmes. Pacific experience is essential. Experience with designing evaluations for road infrastructure and/or climate change adaptation programmes is highly desirable.
- **Infrastructure Specialist (IS):** A road infrastructure specialist with a minimum of 10–15 years of experience including experience with climate-proofing designs. Experience in evaluating infrastructure projects is highly desirable. Pacific experience is essential.

DELIVERABLES

See above

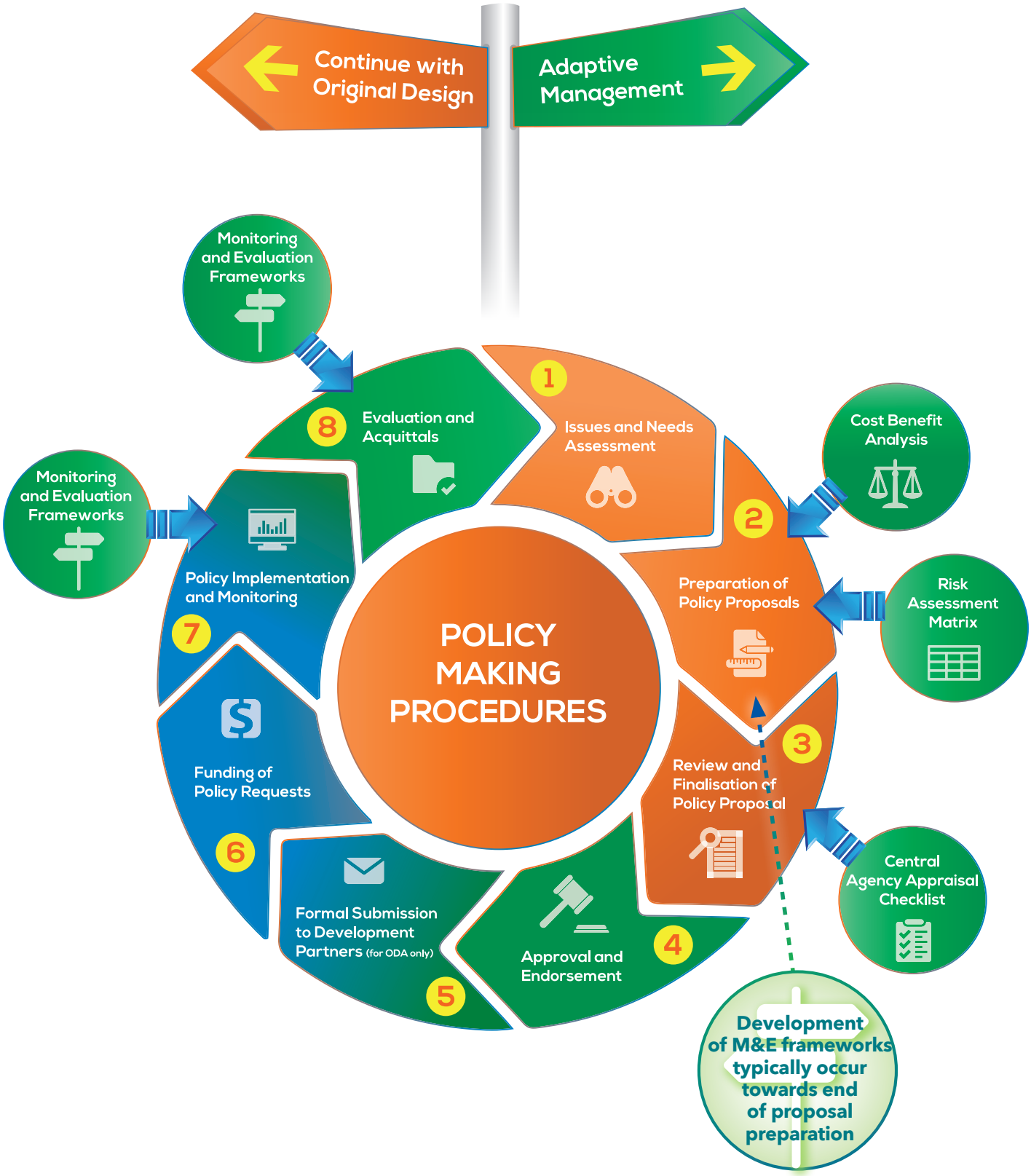
INDICATIVE BUDGET

TASKS	DAYS, TL	DAYS, IS	TOTAL DAYS	COST (USD) @ 550 USD/DAY
Planning and Preparation	6	1	7	
Field work	10	5	15	
Preliminary analysis & Briefing	2	2	4	
Analysis	5	4	9	
Reporting	5	4	9	
Validation	0	0	0	
SUBTOTAL	28	16	44	24,200
TRAVEL	**TL**	**CCS**	**TOTAL**	**COST (USD)**
Kosrae @ USD 5000/trip	1	1	2	10,000
Samoa @ USD 3000/trip	0	0		
Rental car days @ USD 50/day	20	10	30	1,500
Per diem days @ USD 166/day	20	10	30	4,900
SUBTOTAL				16,400
TOTAL				40,600

KEY DOCUMENTS

- IRRI project design document
- FSM 2023 Action Plan
- Kosrae Strategic Development Plan
- Kosrae Shoreline Management Plan
- Infrastructure Cost Benefit Analysis
- IRRI Progress Reports

Appendix 5. Monitoring and Evaluation Framework



The **Pilot Program for Climate Resilience: Pacific Regional Track (PPCR-PR)** is a regional program which aims to strengthen integration of climate change and disaster risk considerations into 'mainstream' policy making and related budgetary and decision-making processes (i.e. 'climate change and disaster risk mainstreaming').

The PPCR-PR is implemented by the Secretariat of the Pacific Regional Environment Program (SPREP) and Asian Development Bank (ADB) and is funded through the Climate Investment Funds (CIF).

SPREP
Secretariat of the Pacific Regional Environment Programme