

**INDEPENDENT MID-TERM REVIEW AND EVALUATION OF  
PROJECT CLIMATE TWIN PHOENIX - RESILIENCE AND  
PREPAREDNESS TOWARD INCLUSIVE DEVELOPMENT  
(PCTP-RAPID) PROGRAM**

**FINAL REPORT**

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<b>ACRONYMS .....</b>	<b>i</b>
<b>EXECUTIVE SUMMARY .....</b>	<b>ii</b>
<b>1. BACKGROUND AND PROJECT DESCRIPTION .....</b>	<b>1</b>
<b>2. PURPOSE AND SCOPE OF THE EVALUATION. ....</b>	<b>1</b>
<b>3. METHODOLOGY AND EVALUATION QUESTIONS .....</b>	<b>2</b>
<b>4. PROJECT STATUS AND FINDINGS .....</b>	<b>4</b>
<b>4.1. PROGRESS TOWARDS OUTCOME .....</b>	<b>4</b>
4.1.1. C/DR ASSESSMENTS .....	5
4.1.2. MITIGATION ACTIONS (CPs & EWS etc.) .....	5
4.1.3. AWARENESS /COMPETENCE BUILDING .....	6
4.1.4. MAINSTREAMING IN LOCAL PLANS .....	9
4.1.5 RISK TRANSFER AND LIVELIHOODS .....	10
4.1.6. KNOWLEDGE MANAGEMENT .....	10
4.1.7. CBDRM IN RAPID – YOLANDA .....	10
<b>4.2 RELEVANCE .....</b>	<b>11</b>
4.2.1. PROJECT DESIGN .....	11
4.2.2. CONTINUING RELEVANCE .....	12
<b>4.3. EFFECTIVENESS.....</b>	<b>12</b>
4.3.1. SCIENCE KNOWLEDGE GENERATION, COMMUNICATION AND ACTUAL USE. .....	12
4.3.2. CAPACITY FOR CONVERGENCE AND INTEGRATION. ....	13
4.3.3. INCLUSIVENESS. ....	14
<b>4.4. EFFICIENCY .....</b>	<b>14</b>
4.4.1. PLANNING AND PROGRAMMING. ....	14
4.4.2 M&E AND REPORTING .....	15
4.4.3. FINANCIAL /ADMIN MANAGEMENT .....	15
4.4.4. OVERALL MANAGEMENT ARRANGEMENTS .....	15
<b>4.5 IMPACT .....</b>	<b>17</b>
<b>4.6. SUSTAINABILITY .....</b>	<b>18</b>
4.6.1. FINANCIAL SUSTAINABILITY .....	18
4.6.3. INSTITUTIONAL SUSTAINABILITY .....	19
4.6.4. ENVIRONMENTAL .....	21
<b>5. CONCLUSION .....</b>	<b>21</b>
<b>6. RECOMMENDATIONS .....</b>	<b>23</b>
<b>7. LESSONS LEARNED AND CONTRIBUTION TO THE PROJECT’S THEORY OF CHANGE .....</b>	<b>26</b>
<b>ANNEXES.....</b>	<b>33</b>
<b>ANNEX 1. TERMS OF REFERENCE OF MID-TERM REVIEW .....</b>	<b>33</b>
<b>ANNEX 2. LIST OF DOCUMENTS REVIEWED .....</b>	<b>39</b>

<b>ANNEX 3 – LIST OF KEY RESPONDENTS .....</b>	<b>41</b>
<b>ANNEX 4. KEY QUESTIONS .....</b>	<b>47</b>
<b>ANNEX 5. RATING TABLES.....</b>	<b>52</b>
<b>ANNEX 6- PTCP RAPID MTR: PROGRESS TOWARDS OUTCOME - RATINGS.....</b>	<b>54</b>

## LIST OF TABLES

Table 1	Planned project interventions and location
Table 2	Quick summary of actual progress by partner LGUS
Table 3	Progress towards outcomes- summary of ratings
Table 4	Financial sustainability
Table 5	Social sustainability.
Table 6	Institutional sustainability.
Table 7	Summary of ratings for sustainability.

## LIST OF FIGURES

Figure 1.	Tracer study 1 ( CC- FHM, CP and FEWS in Sendong )
Figure 2	Tracer study 2 ( CLUP in Pablo )
Figure 3.	Summary of Project Results Framework (Using PTCP as illustration)
Figure 4.	Clarification of Results Framework and presentation of “ideal assumptions”
Figure 5a.	Assumptions per lessons learned for outputs 1 and 3 ( <i>refer to Figure 4 for complete picture of diagram</i> )
Figure 5b.	Assumptions per lessons learned for outputs 2 and 6 ( <i>refer to Figure 4 for complete picture of diagram</i> )
Figure 5c.	Assumptions per lessons learned for outputs 4 and 5 ( <i>refer to Figure 4 for complete picture of diagram</i> )

## **ACRONYMS**

CBDRRM-	COMMUNITY BASED DISASTER RISK REDUCTION AND MANAGEMENT
DRR/CCA	DISASTER RISK REDUCTION / CLIMATE CHANGE ADAPTATION
CCA	CLIMATE CHANGE ADAPTATION
CDP	COMPREHENSIVE DEVELOPMENT PLAN
CP	CONTINGENCY PLANNING
CC- FHM	CLIMATE ADJUSTED FLOOD HAZARD MAPPING
CLUP	COMPREHENSIVE LAND USE PLAN
FEWS	FLOOD EARLY WARNING SYSTEM
LCCAP	LOCAL CLIMATE CHANGE ADAPTATION ACTION PLAN
PLGU	PROVINCIAL LOCAL GOVERNMENT UNIT
MLGU	MUNICIPAL LOCAL GOVERNMENT UNIT
NRA	NATURAL RESOURCES ASSESSMENT
RRI	RAPID RESULTS INITIATIVE

## EXECUTIVE SUMMARY

The PTCP RAPID project aims to achieve the following outcome: *“Adaptive capacities of vulnerable communities and ecosystems are strengthened to be resilient to threats, shocks, disasters, and climate change.”* To achieve this outcome, the following are the expected output(s) in selected LGUS in Sendong, Pablo and Yolanda affected areas:

- 1) Climate/disaster risk vulnerabilities assessed in LGUs /river basins are assessed
- 2) Priority climate/disaster risk mitigation actions enhanced;
- 3) Awareness of the general populace and competencies of local actors are enhanced
- 4) C/DRM mainstreaming demonstrated in local land use/development plan(s)
- 5) Socio-economic resilience of the poor and most vulnerable LGUS enhanced;
- 6) Local knowledge management system for communities in LGUS established
- 7) Barangay level CBDRRM plans established in Yolanda affected areas.

The CCC is the implementing partner under the UNDP, together with key partners among National Agencies and local Governments. The National Implementation Modality (NIM) is being followed. The Mid Term Review and Evaluation (MTRE) has the following objectives:

- 1) Assess the continued relevance of the Project’s interventions and the progress made
- 2) Identify lessons, recommend to improve effectiveness, delivery and implementation;
- 3) Recommend mid-course adjustments to implementation as needed

Between October to Dec 2016, an independent reviewer conducted key informant interviews and focus group discussions among LGUS and communities in Sendong, Pablo and Yolanda affected areas. The Review built on the review frameworks of GEF, UNDP and DFAT and used the following criteria a) Progress Towards Outcome; b) Relevance; c) Effectiveness; d) Efficiency, e) Impact and f) Sustainability. The following are the ratings based on the findings.

**PROGRES TOWARDS OUTCOME.** The performance under each component /output in each area is indicated in Table 3. Overall, Sendong has achieved the most. Performance in Pablo is in “suspended animation”, while most of Yolanda is between start up and midstream stages.

**RELEVANCE.** The project is highly relevant at policy level and in each geographic area, now as before. However project design nuances, combined with implementation constraints could undermine the full appreciation of this relevance.

**EFFECTIVENESS.** The ratings build on the detailed analysis of progress towards outcome above. **Sendong is Satisfactory(S)** - Notable early outcomes in 5 of planned 6 outputs. **Pablo is Unsatisfactory (U)** - Only two of 4 planned outputs was started and early outcome is discernable only in one of 4 LGUS. The rating can be potentially overturned if appropriate “tying of loose ends,” e.g. resolving access to available data sets, is made. **Yolanda is moderately unsatisfactory (MU)**. At least 4 of the planned 7 outputs are moving beyond start up and into full implementation. The recent decisions made in collaboration with partner agencies to firm up technical delivery approaches are good developments but the pace of implementation is still slow.

**EFFICIENCY.** Most of the components of efficiency are not leading to efficient project implementation and adaptive management. **Sendong is Satisfactory(S)**. There was relative efficiency in operations, and some substantive results were achieved as a result. **Pablo is Unsatisfactory (US)**. Abrupt withdrawal of operations left LGUs hanging. No major outputs can

be expected unless there are consolidation interventions This can still be overturned if some corrective action is applied .**Yolanda is Moderately unsatisfactory (MU)**. Earlier delays are being corrected.

**IMPACT.** The Results and Resources Framework of the PRODOC referred to outcome indicators in terms of number of LGUs where DDR /CCA are mainstreamed in plans; reduction in loss and damage, decrease in environmental degradation). There is no discernable early impact yet of the project. Early stages of outcomes however are discernable from Sendong Project Area. These include the initial mainstreaming of DRR/CC in CP, FEWS and land use plans. Potential outcomes are expected from the catch up work in Yolanda in the formulation of CLUP, and CDP and possibly LCCA by at least 12 LGUs. Further impact in terms of plans formulated can be achieved from Pablo if the Project decides to revisit the work that was abruptly suspended.

**SUSTAINABILITY.** Four dimensions were studied- financial, social institutional and environmental. **Sendong exhibits moderately likely (ML)** sustainability in all the 4 dimensions. In **Pablo, sustainability is moderately unlikely (MU)** because of the abrupt suspension of interventions. **Yolanda has moderately likely sustainability (ML)** (except in one dimension) due to recent enhancing measures in its interventions

**CONCLUSION.** The expected project mission as a “first stage “of a long term capacity building process may only be partly accomplished. It does not have the “numbers” yet (critical number of practicing LGUS ) and most emerging good processes are not yet “mature” enough. Also, there is still no clear mechanism yet to assess and consolidate gains and elevate learnings into the national discourse (i.e. in the spheres of science, policy and local governance). Notable gains have been made in demonstrating practices that improve stakeholder “preparedness” in DRR. It is now time to also deepen attention on investments in “prevention and adaptation“ The forthcoming risk analysis exercises (CDRA) and mainstreaming into local plans, provide opportunity to catalyze more decision making on “prevention “aspects.

## **RECOMMENDATIONS**

- Fill in senior project coordination /leadership gap in the context of the evolving “program” approach initiated by CCC leadership.
- Unlock the data “gridlock” On NRA, Climex.db and other data sources.
- Translate research results into user friendly forms to make up for lost time; reduce the learning curve of LGU users; and broaden constituency within the LGU (beyond the DRRMO and MPDC).
- Rationalize the huge physical targets of RAPID-( more time for developing quality models).
- As input to meaningful CDP preparation, facilitate dialogue on CC - adjusted ecosystems management measures. This addresses partly Output 5, and can focus in Yolanda area.
- Enhance the current mainstreaming actions with key national agencies (HLURB, DILG, NDRRMC, DOST) through increased post activity reflection and assessments.
- Consolidate the knowledge gains in SENDONG and PABLO AND eventually in YOLANDA.
- Consider project extension of between 1 to 2 years to jive with LGU planning cycles.

## **1. BACKGROUND AND PROJECT DESCRIPTION**

PTCP RAPID project aims to achieve the following outcome: *“Adaptive capacities of vulnerable communities and ecosystems are strengthened to be resilient to threats, shocks, disasters, and climate change.”* To achieve this outcome, the following are the expected output(s):

1. Climate/disaster risk vulnerabilities of Cagayan de Oro (CDO) and Iligan cities, including all the municipalities around the CDO and Mandulog river basins assessed;
2. Priority climate/disaster risk mitigation actions for priority cities and municipalities around the Cagayan de Oro and Mandulog river basins implemented;
3. Awareness of the general populace on Climate/Disaster Risk Management (C/DRM) and competencies of key local actors in target cities and municipalities around the CDO and Mandulog river basins on mainstreaming climate change adaptation and disaster risk management into local planning and regulatory processes enhanced;
4. C/DRM mainstreaming demonstrated in local land use/development plan(s) and regulatory processes in CDO and Iligan cities and other municipalities around the CDO and Mandulog river basins;
5. Socio-economic resilience of the poor and most vulnerable in Cagayan de Oro and Iligan cities enhanced; and
6. Local knowledge management system for communities around the CDO and Mandulog river basins established.

The CCC is the implementing partner under the UNDP, together with key partners among National Agencies and local Governments. The National Implementation Modality (NIM) is being followed. A mid-term review and evaluation (MTRE) was conducted for the project for the period covering April 20, 2012 to September 2016.

## **2. PURPOSE AND SCOPE OF THE EVALUATION.**

The MTRE has the following objectives:

1. Assess the continued relevance of the Project's interventions and the progress made to date towards achieving its planned objectives;
2. Identify lessons learnt and propose recommendations to improve effectiveness, delivery of quality outputs, and strengthen implementation;
3. Provide an opportunity to make mid-course adjustments to implementation to ensure the achievement of objectives for the remainder of the Project from 2016-2017.

Per TOR (Annex 1), the Mid-Term Review and Evaluation focused on answering the following key questions:

- To what extent has the Project been able to achieve its development objectives and operational targets?
- To achieve targets, what are the key areas (interventions, approach, and policy) that need special attention?
- How effective and efficient have the implementation strategies or management systems adopted with regards to planning, coordination, monitoring and evaluation and use of the designated resources?
- How has sustainability context or the extent to which the Project outputs and outcomes lead to benefits beyond the life of the Project?

**DFAT framework.** Following the Australian Department of Foreign Affairs and Trade (DFAT) Monitoring and Evaluation (M&E) standards and guidelines, the progress of the project was assessed based on the following criteria:

- Contributed to higher level objectives of Australia's aid program on sustainable growth and poverty reduction in the country and important for the Philippine Government and aligns with their development priorities (Relevance)
- achieved its stated objectives at this point in time (Effectiveness)
- used appropriately Australia's and our partners' time and resources to achieve outcomes (Efficiency)
- produced positive or negative changes, directly or indirectly, intended or unintended (Impact)
- worked to ensure that benefits of the project will continue after funding completes (Sustainability)
- made use of its M&E system to effectively measure implementation progress, and progress towards meeting expected outcomes (M&E)
- made a difference to gender equality and empowering women and girls (Gender Equality)

The MTRE included a tracer study. The study aimed to analyze the (a) the changes in knowledge and practice of individuals, organizations, and communities (b) the extent to which the said changes have contributed to emerging outcomes ; and (c) the enabling factors that facilitated the use of knowledge

### **3. METHODOLOGY AND EVALUATION QUESTIONS**

The MTR implementation followed a set of questions developed according to the aforementioned criteria. To generate the answers, the MTRE utilized a mix of tools that will yield the most reliable and valid answers to the evaluation questions within the limits of resources available and availability of data. The methodology was based on guidance provided by GEF and UNDP and the DFAT.

The MTRE reviewed key project related literature, and conducted a series of focus group discussions (FGD) and key informant interviews (KII). Several categories of literature were studied and listed in Annex 2. Categories of Respondents included the following (Annex 3 shows the detailed list of key informants):

- CCC Commission, Project Board and Key Officers of Project Management Unit, (previous and current officers).
- Participating National Government Agencies (NGAs) national and local offices and Academic institutions (OCD, PAGASA, HLURB, DILG, NEDA, UP, XU, MSU).
- Participating Local Government Units (3 MLGUS in Sendong; 4 MLGUs and 2 PLGUs in Pablo, 1 PLGU and 5 MLGUs in Yolanda and selected 5 Academic institutions and NGOs, and 7 community councils/ associations.
- Bilateral /Global Partner: UNDP, DFAT and GIZ.

The MTRE utilized a set of questions based on suggested areas of investigation for Relevance Effectiveness, Efficiency, Impact and Sustainability from the GEF UNDP Guidelines for MTRE and the DFAT AID QUALITY CHECK guidelines. The same set of questions also embedded



concerns raised by CCC, UNDP and DFAT during the inception meetings. These questions are indicated in Annex 4.

In compliance with the TOR, the MTR also developed a Theory of Change to help guide the preparation of questions. A second round of theory of Change was prepared as a way to identify lessons learned useful for future project design efforts. This is discussed in Section. 7. The following overall schedule was followed:

<b>Activities</b>	<b>Inclusive Dates</b>
• Initial Manila Interviews and Preparation of Evaluation plan	Sept 2017 ( intermittent )
• PTCP - Sendong Area	Oct 10- Oct 15, 2016
• PTCP-Pablo Area	Oct 25- Oct 28 , 2016
• RAPID- Yolanda Area	Nov 15- Nov 18 ,2016
• Presentation of findings	Nov 3-4 2016 CCC PLANNING WORKSHOP Dec 9, 2016 UNDP and PMU Feb 16 2017 CCC, UNDP and DFAT

To cap the analysis of findings, the MTR used a rating system adapted from the UNDP GEF Guidelines. The summary table presents the rating system on how the Project met various parameters (see also Annex 5 for more detailed explanation):

<b>Rating for Progress, Effectiveness, Efficiency Respectively</b>	<b>Sustainability ratings</b>	<b>Relevance ratings</b>
<b>6--</b> Highly Satisfactory (HS); no shortcomings	<b>4--</b> Likely (L); negligible risks to sustainability	<b>2--</b> Relevant (R)
<b>5--</b> Satisfactory (S); minor shortcomings	<b>3--</b> Moderately Likely (ML); moderate risks	<b>1--</b> Not Relevant (NR)
<b>4--</b> Moderately Satisfactory (MS)	<b>2--</b> Moderately Unlikely (MU); significant risks	
<b>3--</b> Moderately Unsatisfactory (MU); significant shortcomings	<b>1--</b> Unlikely (U); severe risks	
<b>2--</b> Unsatisfactory (U); major problems		
<b>1--</b> Highly Unsatisfactory (HU); severe problems		

## 4. PROJECT STATUS AND FINDINGS

### 4.1. PROGRESS TOWARDS OUTCOME

This parameter measures the extent to which activities and outputs are leading to the desired outcomes. Table 1 below indicates what components/activities were actually planned and located for implementation. Table 2 on the other hand summarizes the actual physical accomplishments at the LGU level. A discussion is then made for each component below on the baselines and expected outputs described under the respective PRODOC of PTCP and RAPID. Site specific observations and ratings under each component are presented in Annex 5.

**Table 1. Planned project interventions and location**

Nu.	KE COMPONENTS /OUTPUTS	PTCP-SENDONG	PTCP-PABLO	RAPID-YOLANDA
01	C/DR assessment	Yes	Yes	Yes
02	Mitigation actions	Yes	NA	Yes
03	Awareness/capacity	Yes	Yes	Yes
04	Mainstreaming in local plans	Yes	Yes	Yes
05	Risk Transfer and livelihoods	NA*	NA	NA
06	Knowledge Management (including IEC)	Yes	Yes	Yes
07	CBDRRM	No	No	Yes

The term “01” represents “Output 1”. The component on Risk Transfer and livelihoods was actually dropped from plans.

**Table 2. Quick summary of actual progress by partner LGUS**

LGU	Output Number ( See table above for legend)						
	01-	02-	03-	04	05	06	07
CDO	3	3	3	3	NA	3	NA
Iligan	3	3	3	3	NA	3	NA
<b>Opol</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>3</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>
<b>Pablo</b>							
Baganga	2	NA	3	2	NA	1	NA
Cateel	2	NA	3	2	NA	1	NA
Boston	2	NA	3	2	NA	1	NA
<b>Yolanda</b>							
Tacloban	2	1	2	1	NA	1	2
Abuyog	2	1	2	1	NA	1	2
Dulag	2	1	2	1	NA	1	2
Palo	2	1	2	1	NA	1	2
Tanauan	2	1	2	1	NA	1	2

Tolosa	2	1	2	1	NA	1	2
Mayorga	2	1	2	1	NA	1	2
Mc Arthur	2	1	2	1	NA	1	2
Basey	2	1	2	1	NA	1	2
Marabut	2	1	2	1	NA	1	2
Lawaan	2	1	2	1	NA	1	2
Bagalinga		1	2	1	NA	1	2

**Level of Accomplishment:** 3- completed; 2 – ongoing; 1 not yet started. The level of physical accomplishment presented here does not reflect the quality of output. The accomplishment level reflects largely the location of accomplishment and does not necessarily reflect on the totality of LGU performance. LGUs in this case are largely dependent on the initiating interventions (or absence thereof) of National agencies made possible through the project .

#### 4.1.1. C/DR ASSESSMENTS

PTCP was able to generate risk information generated for Sendong sites (CDO and Iligan). These were utilized for Contingency Planning (CP). CC adjusted- Flood hazard maps ( CC- FHM) were shared by LGUS with agencies e.g. DPWH etc. Various data sets were generated ( CC-FHM, exposure data ) in Pablo sites, but await full processing to be useful. The roles and responsibilities for data management tasks is not very clear among partner LGUs and the UP Mindanao (designated technical support partner in Pablo area). LGU requests for IT related troubleshooting from partner DILABS, has not been addressed promptly. In RAPID- Yolanda areas, some quality nuances have been raised on some information sets under the Natural Resources Assessment ( NRA). Due to the above information gaps, the actual conduct of the Climate and Disaster Risk Assessment or CDRA as advocated in the HLURB supplemental guidelines still has to be completed in most sites, as basis for local planning decisions.

There is high interest in ClimEx.db among practically all partner LGUS . Some partners have in fact tried to adapt ClimEx.db data for its own needs ( e.g. used for producing an interim hazard map in Baganga LGU; while the Mindanao State University ( MSU) tried to use it for barangay information management etc.).

#### 4.1.2. MITIGATION ACTIONS (CPs & EWS etc.)

Contingency Plans ( CPs) and Flood early warning systems( FEWS) were prepared in Sendong LGUs (CDO and Iligan). They used among others the CC adjusted maps with exposure information embedded. CPs were supported by ordinance and subjected to city wide drills.

The CPs developed in both Cities are LGU-specific. There was no attempt to promote an inter-local (LGUs within a common watershed) exercise as originally designed (this could have been an opportunity for infusing a CC oriented perspective in DRR). LGU officers in Iligan perceived that the FHM maps were primarily relevant only to lowland and central business district (CBD) concerns of the City. In CDO, the Cagayan de Oro River Council did not have immediate access to the FHM maps and had to request for copies from the CDO LGU. The OCD in Region 10 noted as a missed opportunity, the lack of discussion of how the processes under CC-FHM, CP and FEWS could contribute to watershed planning.

The Flood early warning system or FEWS were successfully developed and tested in CDO and Iligan through collaboration with PAGASA. These are supported by MOAs between the LGUs and PAGASA. Recently, there are signs reported of inadequate maintenance of field equipment.

CP and FEWS were not planned for Pablo. Contingency planning and EWS formulation has not yet started in RAPID.

#### **4.1.3. AWARENESS /COMPETENCE BUILDING**

This is done at two levels - Awareness raising for general public and Capacity building for LGU teams. Progress in awareness' raising included the conduct of information, education and communication to support understanding of FHM in Sendong and Pablo; contingency plan implementation in Sendong and CBDRM in a few pilot barangays in Yolanda. This included orientation sessions and actual implementation of drills. Academe and NGO partners were most active in Sendong (Xavier University and MSU). They developed follow up information campaigns. There is a notable absence of communication campaign plan for the public.

Region 8 media practitioners participated in media education effort supported by the Project. They remain an asset that have yet to be tapped.

In terms of Capacity building for LGU teams and partner support organizations, this covered the topics of basic CC- DRR planning ( all sites), CP ( Sendong ) and land use planning ( Sendong Pablo ). There is a notable absence of guiding framework and baselines for capacity building work in Sendong and Pablo. In Yolanda, capacity baselines and priorities were identified, but monitoring is absent.

*Knowledge from science partners have been shared*, but the relevant language need to be simplified and adapted to LGU level learning skills. LGU focal points demonstrate high literacy for basic concepts of DRR CCA (probably due to a progression of ODA assisted projects ); but actually still lack hands on experience in actual quantitative risk analysis. This is largely explained by the delay in availability of data to work on.

Local universities in Sendong areas demonstrate high interest in research methods used by national partners. A local university based expert wished for more deliberate technology transfer of the more complex research methods used to generate information sets. Two universities in Yolanda area are involved in one component—providing technical support for RRI.

Overall, there was high interest on local risk information shared among LGU and community. LGU focal points (MPDC and DRRMO) are exposed to DRR and CCA due to multi donor exposure. The value addition of PTCP RAPID is the CC information embedded in DRR geo information as well as ClimEx.db. Lower class LGU teams appear constrained from full application of knowledge due to systems constraints (changing leaders, unstable access to GIS staff, and lack of access to basic NRM information).

Delays in information generation /processing and absence of follow up support in Pablo and Yolanda areas is constraining the application of knowledge for LGU planning purposes (e.g. unanswered problems with ClimEx.db configuration in Pablo; lack of updated on status of research results etc. in Yolanda).

A tracer study was done to “trace’ the effects of awareness building actions as well as capacity building actions for LGUs. The tracer study was done for two cities in Sendong to determine the community awareness levels resulting from work on CP and FHM (See Case 1 below). It was also done for LGUs in Pablo affected areas, who received training on CC/DRR sensitive CLUP preparation (Case 2 below).

**In Tracer Study Case 1 (Figure 1),** the LGUs and civil society partners in CDO and Iligan respectively were trained on CP and FEWS:

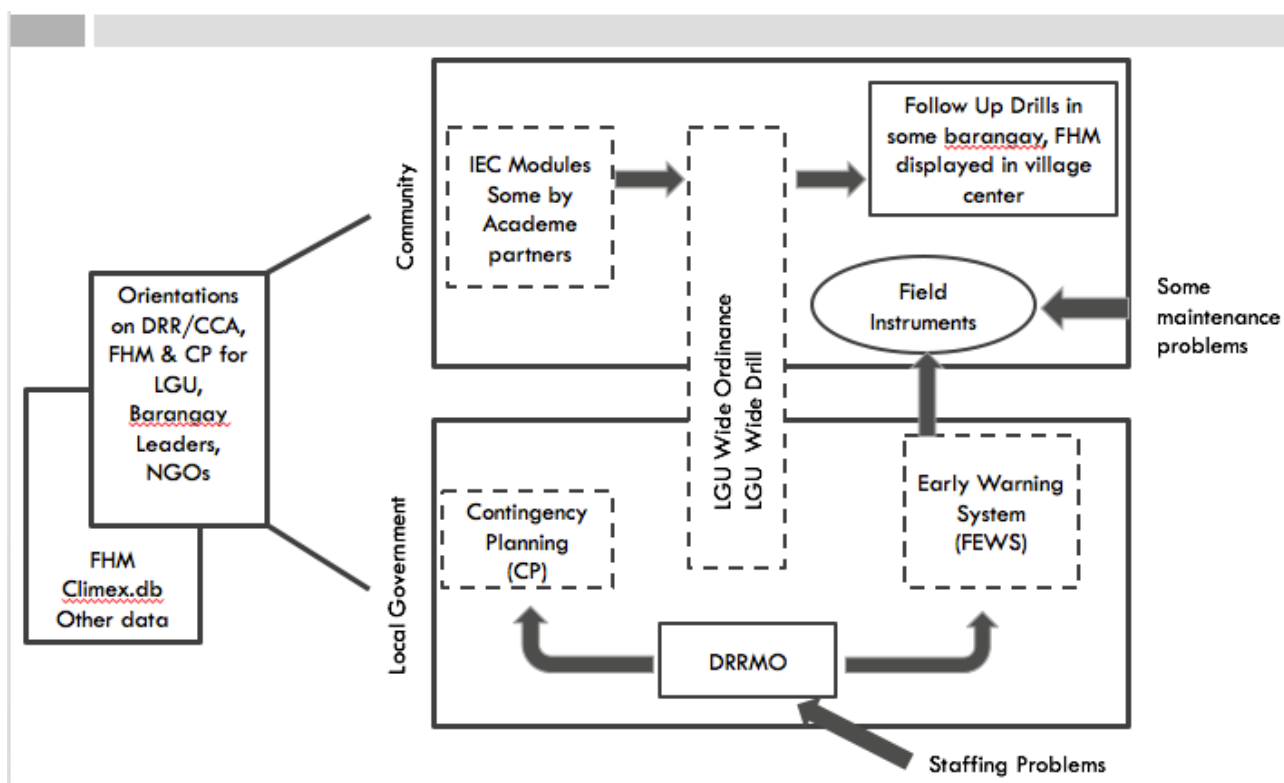
- Key stakeholders in government (MLGU and Barangay Captains experienced a common training process. University based teams and other Key NGOs joined these trainings, University teams also helped in the conduct of trainings. After the project, training modules were further used in their own outreach programs.
- Subsequent activities include village level IEC, using the CC-FHM maps. Barangay captains led the processes with NGO assistance. Village leaders disclose the readiness of villagers in CBD areas to participate in Drills.
- At the MLGU levels, these included CP planning and ordinance formulation. Trained LGU DRRMO staff led this. LGU DRRMO offices reflect a reasonable level of readiness in terms of staff, facilities and equipment.
- Implementation of CP was done on a municipal wide basis through a coordinated DRILL facilitated by the DRRMO staff.
- A subsequent activity – the FEWS, was established covering the two cities and supported by MOAs. Recent observations indicate problems in equipment maintenance. Lack of systematic feed backing between PAGASA and LGU is a concern. Instability of DRRMO staffing patterns existed in Iligan for a while but appear resolved during MTRE.
- LGU officers demonstrate strong knowledge of DRR concepts /practices and attribute this to exposure to multi donor interventions. PTCP interventions are noted for the use of quantitative information such as the use of Climex.db.
- NGOs in CDO such as Balay Mindanao who received orientation under PTCP are able to discuss DRR CCA concepts in their outreach programs. They are also part of the local DRRM Council in CDO.

**In Case 2 (Figure 2),** LGUs in Pablo area received training on the preparation of CLUP using the supplemental guidelines for DR CCA mainstreaming. They also received orientation on CC FHM and Climex.db.

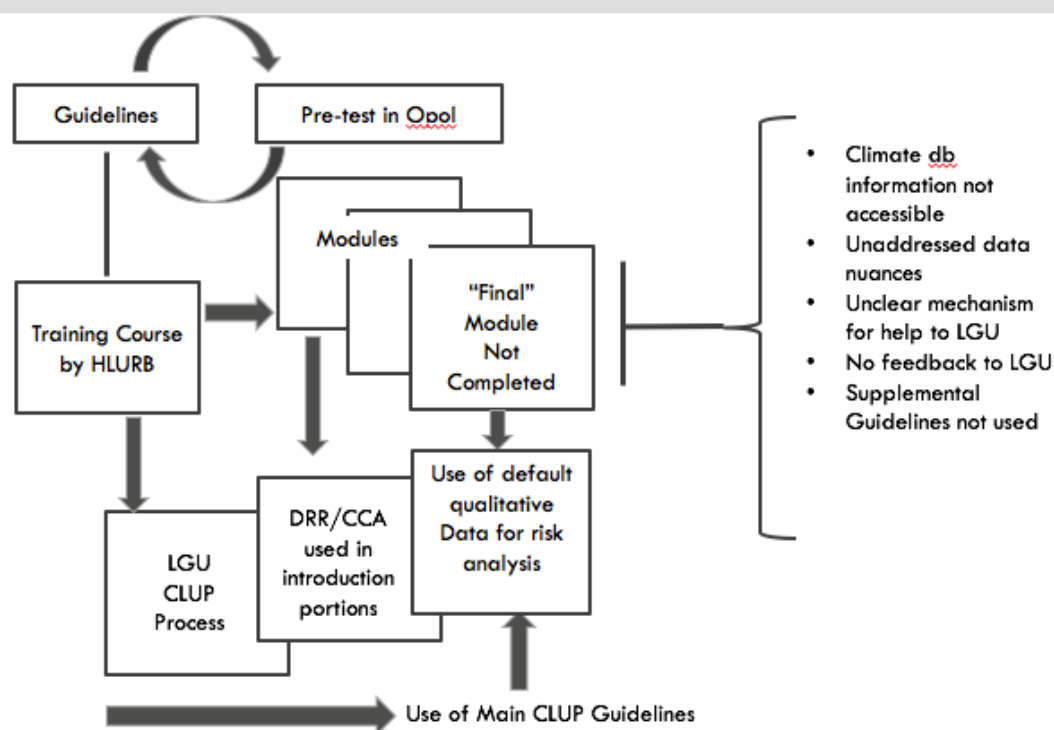
- CLUP training in Pablo LGU sites was very much affected by the lack of access to processed ClimEx.db data as well as delayed availability of CC- FHM data sets from PTCP partner the UP Diliman.
- Accordingly, the FHM data sets prepared earlier for local watersheds, were still under PAGASA peer review during the MTRE. UP Diliman partners conducted IEC sessions on the value of CC FHM. However there was no follow up. Only a few LGU officers can recall this CC- FHM exercise.
- An ADB assisted project in the 3 LGUs of Cateel, Baganga and Boston on CCA adaptation in watersheds indicated the desire to avail of the same CC- FHM information based on an earlier agreement for collaboration with CCC. As of the MTRE period, the project management was at a loss as to the status of the said research and about the prospects of still availing CC- FHM information
- A planned support system for GIS and exposure data management, involving the UP Mindanao is not yet working and the lack of clarity of roles was cited by both LGUs and UP Mindanao. IT related questions by LGUs (addressed to UP Diliman group) remain largely unanswered.
- Meantime the PLGU of Compostela provided interim assistance in resolving some of the data management issues with Climex.db. They are looking forward to have access to the entire program.

- Given the above, the final HLURB CLUP training module involving the actual use quantitative exposure data (ClimEx.db etc.) and CC FHM among others has not yet materialized.
- LGU staff trained by HLURB demonstrate high literacy in terms of DR/CCA concepts. They were able to incorporate the concepts in several sections of their respective CLUP dealing with ecological profiles and DRR –CCA situation. Three of four LGUs assisted were able to do this. All LGU staff express apprehension on lack of hands on skills for actual risk assessment using among others quantitative exposure data.
- In a related development, the DILG, utilizing its own program funds, is also promoting the HLURB supplemental guidelines to conduct a trainers training for its regional DILG offices as part of preparatory work to help LGUs with LCCAP preparation. NEDA Region 10 on the other hand, worked with the League of Planners in helping in the sharing process for updated CLUP.

**Figure 1. Tracer study 1 (CC- FHM, CP and FEWS in Sendong)**



**Figure 2. Tracer study 2 (CLUP in Pablo)**



#### 4.1.4. MAINSTREAMING IN LOCAL PLANS

**CLUP** - The supplemental guidelines for mainstreaming into CLUP was formulated and adopted by HLURB. These guidelines were pre tested in one Sendong site( Opol) , but it is not yet fully practiced in other LGUs in Pablo due to delayed access to processed information (ClimEx.db, flood models etc.). In Yolanda, negotiations between CCC and HLURB for support is ongoing. Partner LGUs understand the overall concept and flow of the supplemental guidelines and used the supplemental guidelines to help prepare several parts of the CLUP (parts of ecological profiling). But they stopped short of actually doing the quantitative approach to CDRA. HLURB regional staff indicated that in the meantime they relied on the default qualitative methods for risk analysis articulated in the existing 3 volume Guidebook of HLURB.

**LCCA , CDP, LDIP in Yolanda areas.** The CCC and DILG are in the final stages of negotiation for the latter's technical leadership in working with the LGU partners. As cited under component 3, the DILG using its own program funds conducted training on CDRA among its regional staff in accordance to the HLURB supplemental guidelines. However, DILG staff covering the areas under RAPID were not included in the training to avoid duplication. This is part of increased advocacy for the preparation of CDPs and LCCAPs. It is not clear if the CDRA trainings were able to utilize quantitative risk information but it is nonetheless a good initial move to increase awareness of DILG regional staff.

**DRR CCA in Investment programming processes** - As planned, complementary preparation of DRR CCA sensitive guidelines for investment program /project preparation we also started by NEDA Central Office. Supplemental guidelines are being developed for the PDEM (Project Development and Evaluation Manual). An inception workshop was conducted among planning and project preparation staff of key agencies to agree on key considerations for guidelines development. Examples from the ANR and infrastructure sectors will be tackled

#### **4.1.5 RISK TRANSFER AND LIVELIHOODS**

This component was dropped from the Project although there official documentation could not be found

#### **4.1.6. KNOWLEDGE MANAGEMENT**

The PRODOC design for KM under PTC{P focused on knowledge systems development for community level CP and EWS planning. It is unclear on the knowledge management needs for upscaling. The gaps in clarify were not adequately addressed in the inception workshops nor in subsequent plans. To date there are no clear plan of action to support the role of the project as catalyst for policy instruments (DRR CCA in CLUP etc.) and generator of good practices among LGUs.

Good quality national info materials on 3 documented innovations in Sendong were developed (FHM, ClimEx.db, and FEWS) but the practice was not sustained – it is very much needed now at the final leg of the project.

The process of establishment of the GIS platform or CRISP in Region 10 demonstrated good inter agency collaboration supported by a well-crafted MOA. But sustaining web based participation by participants is currently a challenge. One reason advanced was a temporary staff movement at NEDA. Another was the recent emergence of portals (e.g., DOST) of agencies directly generating the information. CRISP produced 3 good land use policy notes for use by the RDC. No feedback from users was available at the time of interviews.

Similar efforts are being undertaken in RAPID (Yolanda) for geo information management for Region 8. NEDA is seen as a potential key partner although other candidates (VSU) are also considered. However an initial exploratory talk between CCC and NEDA 8 has not yet matured into a full negotiation.

#### **4.1.7. CBDRRM IN RAPID – YOLANDA**

In Yolanda, the Rapid Results Initiative or RRI, a pre CBRM start up, was done in 12 of 150 target sites. RRI is perceived relevant by communities but due to delays in NGO mobilization for CBDRRM planning, the RRI might potentially run on an independent course, potentially diverting attention from CBDRRM.

An example of RRI case is hydroponics vegetable production. While still in the formative change, the findings indicate that it needs to be linked early on to markets and linkage with the local DA agribusiness team to enhance feasibility.

The CCC is engaging the OCD to co-lead the process while the technical approach will build on the proven practices of the national network on DRR (DRRNET). This is a viable decision but the pacing towards implementation is a concern. The protracted decision making process on the



approach and actors for CBDRRM threatens the viability of large targets (150) for implementation during the remaining year of the project.

Summary Of Ratings – Progress towards Outcome – Based on the above findings and detailed analysis cited in Annex 5, the following rating can be made for the components in each Project Area.

**Table 3. Progress towards outcomes- summary of ratings**

OUTPUTS	RATINGS		
	SENDONG	PABLO	YOLANDA
1 RISK ASSESSMENT	S	US	MU
2 MITIGATION	S	NA	MU
3 AWARENESS/ COMPETENCY	S	MS	MS
4 LOCAL PLANS	MS	US	MU
5 SOCIECONOMIC RESILIENCE	US	NA	US
6 KNOWLEDGE	MS	US	US
7. CBDRRM - RAPID			MS

## 4.2 RELEVANCE

### 4.2.1. PROJECT DESIGN

The project is originally perceived to be largely a “response” oriented project. It is generally perceived that CCA oriented provisions were included at the “tail end” of project preparation. The short duration of each area based program was sufficient for strengthening capacity for “preparedness” but clearly not enough for the CCA oriented interventions that requires longer discourse and negotiation.

There was insufficient articulation of expectations of Knowledge Management (KM) in the PTCP project design particularly in relation to analysis and upscaling of good practices. This is critical because the project is supposed to be the “first stage of strategic action for convergence of DRR CCA at local levels “(from project document).

The timing of support (provided while the disaster memory, was still fresh), enabled better preparedness to disaster situations. However a key challenge was the abrupt ending of a preceding phase in favor of a new phase (Sendong, then PABLO, then RAPID). This meant a

much lesser timeframe to elevate the discourse at the local level, from preparedness to prevention. There was inadequate mechanism to thematically link the 3 projects through time, and promote forward and back ward linkage.

The Project provided discrete opportunities for embedding a more quantitative approach to risk/vulnerability analysis in local planning, is major hallmark that builds on earlier DFAT work. This orientation to localized DRR CCA planning lifts off from AUSAID's earlier investment in DRR CCA mainstreaming at subnational levels which started at the provincial level through the Provincial planning processes. It also provided opportunities for partner agencies to further achieve their policy making and capacity building mandates: HLURB, PAGASA, and DILG (forthcoming).

The design nor subsequent planning provided limited opportunities for substantive interaction with OCD – a missed opportunity for joint learning towards convergence. The Sendong example for CC adjusted FHM used for CP as well as in FEWS was a good starting point for substantive joint learning but the actual opportunity for interaction was limited only to the provision of the physical deliverables from the Project .

#### **4.2.2. CONTINUING RELEVANCE**

The planned project outputs, if successful would support advocacy DRR- CCA convergence. It would likewise theoretically support the points raised by the recent Sunset review of the NDRRM law. Among LGUs, there is clear demand for the projects information products. In some cases the long wait for some knowledge products predisposed LGUS to use raw data (from studies) to support immediate local planning needs (e.g. Baganga, MSU etc.). The concept of ownership however did not go beyond the individual agency or individual LGU level. The CP planning was not elevated to inter LGU level (watershed level) as planned in Sendong areas.

**RATING FOR RELEVANCE-** Overall, the project is highly relevant at policy level and in each geographic area, now as before, given the continuing demand for the results of its research interventions. However, project design nuances cited above combined with implementation constraints will tend to undermine the full appreciation of this relevance.

#### **4.3. EFFECTIVENESS**

The analysis of effectiveness builds on the discussion under Item 4.1 i.e. “Progress towards outcome” under each component as applied in each of 3 project areas. Additionally, three cross cutting perspectives are considered: knowledge generation and actual use; capacity for convergence and inclusiveness.

##### **4.3.1. SCIENCE KNOWLEDGE GENERATION, COMMUNICATION AND ACTUAL USE.**

The project was able to generate specific sets of science based information that were consequently used in selected CC oriented DRR planning in 2 LGUS in Sendong. There was also observed high literacy on preparedness among pilot communities involved in CP planning in this area although a determination could not be made on the incremental knowledge actually achieved, in the absence of baseline information on knowledge levels.

There were at least 3 cases (Iligan CDO and Opol) of emerging land use planning decisions that are factoring the knowledge generated that has been made accessible by the CC adjusted FHM

(decisions to adjust settlement plans in accordance to worse case flood scenario). In the case of CDO, they are starting to review their zoning plans, incorporate aspects of CC- FHM in the mapping and community mobilization plans.

Two LGUs (Iligan and CDO) even shared the updated information sets with national agencies like DPWH so that the latter could also use them in fine-tuning their on-site engineering design activities. The Local academe on the other hand played key roles in Sendong public awareness building and may be expected to continue their advocacy work at their own investment levels. Clear champions exist in most of LGUs visited (either the MPDC or DRRMO in most cases). They believe they have better understanding of concepts but are concerned that they lack actual practice in actual risk analysis that uses updated science based information.

National agencies had the opportunity to more fully address mandates (HLURB) in terms of standards setting (e.g. supplemental CLUP guidelines). HLURB regional staff have high confidence in overall framework introduced. But they express desire for better access to timely information that actually generates opportunities to apply skills in actual risk assessment.

The DILG on its own initiative utilized the HLURB supplemental CLUP guidelines during the conduct of DRR CCA training for the DILG regional training staff in all regions. However they did not cover Region 8 on the anticipation that RAPID would be implementing similar trainings in the province.

#### **4.3.2. CAPACITY FOR CONVERGENCE AND INTEGRATION.**

Agency collaboration between CCC and OCD on specific activities (FHM, CP and FEWS in Sendong provided a good window for promoting convergence between DRR and CCA processes. However this activity based collaboration has not been subjected to post activity substantive analysis and reflection, nor its results elevated to a national level discourse for DRR/CCA convergence.

The nature and direction of the knowledge generation process was mostly done through Expert Group Meetings (EGMs). However the same EGM mechanisms were fully utilized for subsequent assessment, and reflection on implementation experience, using the interdisciplinary approach. The non-mobilization of National Technical Working Group to support the PMB ( per project design), tends to deprive the project of the opportunity for cultivating interdependence, strategic coordination and learning among partner agencies to support integrated delivery of outputs and mainstreaming.

Engagement of LGUs are strongly activity based (LGUs not familiar with the range of outputs and no one could tie them together). This may be a practical approach especially for lower class MLGUS.( partly due to the limited absorptive capacity for new tasks ). However, this engagement was very dependent on field presence of CCC field facilitator and didn't encourage coordinated and holistic planning of project activities at the LGU level.

Within CCC, it is not clear what mechanisms can be tapped for capturing the learnings from the 3 project areas and factoring the same in strategic planning for CCCs flagship programs like the CORE project.

#### 4.3.3. INCLUSIVENESS.

Equal participation among gender is evident in decision making /communication processes in the project. Majority of project management staff are female. Female leader's co lead with the men in the village level planning for RRI- supported activities. Indigenous peoples (IP ), on the other hand (particularly in Pablo area) were able to participate in the early planning processes through consultative mechanisms set by the LGU.

The project however missed the opportunity to demonstrate the value of updated hazard and exposure information and improved CRDA in developing resilient livelihood systems that would have helped ensure that benefits of improved DRR planning would reach the marginalized sectors of society.

**RATING FOR EFFECTIVENESS.** The following ratings are provided (i.e. Synthesis of individual output ratings on the table under the section on Progress towards outcome plus consideration of the 3 perspectives above):

- **Sendong –Satisfactory.** Notable early outcomes under Outputs 1, 2, 3, 4 and 6; or 5 of 6 planned outputs.
- **Pablo –Unsatisfactory.** Only two of 4 planned outputs was started and early outcome discernable only in one of 4 LGUS (New Bataan). However, the efforts in selected activities of some LGUS like Boston, Baganga and Compostela PLGU needs recognition. Likewise, the rating can be potentially overturned if appropriate “tying of loose ends,” e. g resolving access to available data sets is made in the final year of the project.
- **Yolanda – Moderately unsatisfactory.** At least 4 of the planned 7 outputs are moving beyond start up and into full implementation (i.e. 1,3,4,7). Some subcomponents like NRA under Component 1 and RRI under component 7 are in midstream. The recent decisions made in collaboration with partner agencies (DILG, HLURB and OCD) to clarify and firm up technical delivery approaches are positive developments. But the pace of implementation of such decisions is still relatively slow considering that this is supposed to be the last year of RAPID.

#### 4.4. EFFICIENCY

Efficiency is discussed from the perspective of 5 themes below.

##### 4.4.1. PLANNING AND PROGRAMMING.

Effective implementation planning and programing was affected by the insufficient depth of Inception workshops (IW) . In Pablo the IW took the form of a PMB meeting, but with representation from mostly national line agencies and region 10 agencies. Only one from South Mindanao was present (one South Mindanao governor) thus, limited actual participation from the region. On site scoping sessions however were done parallel to the IW.

In Yolanda, the documentation indicates good interaction among stakeholders to understand the scope. But the IW stopped short of consensus on adequately clarifying the overall work implementation schemes. In all the 3 areas, there was insufficient leveling off and planning for the livelihoods and KM components.

Nonetheless, component plans as well reflected in technical MOAs with line agencies which helped clarify the overall the project intent at the output levels. The negotiations were able to tap high level, resident expertise in government. Most MOAs however were handicapped by underestimation of time needed to for government based expertise to produce the deliverables. There was also limited corrective and contingency measures built into the MOAs in case of major failures in delivery of outputs.

#### **4.4.2 M&E AND REPORTING**

The absence of a relevant M& E system (with agreed upon indicators and baselines) hampered result oriented and timely capturing of issues as basis for adaptive management at PMB and PMU levels. The planned engagement of a specialist to help this, did not materialize. A provisional monitoring framework (largely RAPID oriented) has been developed for physical planning purposes. Component plans were served well by the conduct of EGMs but the latter was not fully tapped for assessment and reflection which are important in developing models /pilots. Tripartite meetings (2 times) among DFAT, UNDP and CCC /PMU in recent years attempted to “trouble shoot” operational issues in Y. The risk logs in report do not adequately reflect early identification of key management problems early on.

#### **4.4.3. FINANCIAL /ADMIN MANAGEMENT**

Based on the financial analysis shared by the project finance office as of 3<sup>rd</sup> quarter 2016, the total amount received so far from DFAT/UNDP is USD 9.3 Million. Of this, USD 4.3 M or 46% was cumulatively disbursed as of 2016. The same financial analysis indicated the following expenditure levels that increased from 2011 to 2015, (USD 0.218 M for 2012; USD 0.740M for 2013; USD 1.102 M in 2014; USD 1.609 M in 2015) only to decrease in 2016 (USD 0.747 M). The reduced 2016 expenditure situation may be partly linked to leadership transitions and absence of a full time coordinator in this year. While this is true however , the high disbursement figures in preceding years is also partly a product of the fact the work plans and budgets were revised and reduced in the middle of each year, thus reducing the numerical base upon which disbursement rates are calculated.

Clearly the disbursement pattern reflects the challenges encountered in terms of procurement delays both at CCC /UNDP levels as well as within the financial systems of partner agencies themselves (e.g. internal delays in PAGASA HLURB etc.).

The project undergoes one spot check and one external audit yearly. The audit report of 2016 indicates challenges in programming and system of prioritization and recommended management actions to address this. The Audit memorandum and working tables indicate the detailed status of work plans and practically echo the observations made under the MTR under each component.

The balance of total amounts left (approx. USD 4.9 M) can theoretically support up to 2 years' worth of operations, if the disbursement pattern of previous years were taken into account.

#### **4.4.4. OVERALL MANAGEMENT ARRANGEMENTS**

**a) Leadership and staffing.** The documented discourse in PMB meeting tends to be relatively rich in ensuring the understanding of underlying concept and rationale, but the discussions may not have fully benefited from ample discussion of key operational issues on the ground. This may be partly be explained by the low frequency of meetings and the non-activation of the national

technical working group to discuss on issues through an integrated perspective, in between PMB meetings

There was also no clear evidence of a proper “turn over process” among departing senior CCC project officers. Records management to support institutional memory is practically dependent on one person. This may have weakened the results orientation of planning, control and monitoring. The current CCC Project Officer currently handles 5 big programs including the flagship project “CORE” and the PTCP RAPID itself. There is no regular mechanism yet for the project to directly contribute to and benefit from outcome level discourse at CCC level as well as for senior management to provide more regular operational attention including

The current absence of a full time CTA /project coordinator (for more than 6 months) and absence of focal point for some components especially on KM, threaten the actual generation of deliverables in Yolanda and the knowledge management mandates at the conclusion of the project.

The PMU staff tend to demonstrate reasonable technical planning insights and skills but need guidance /support to be able to negotiate with senior personalities of academe / NGA partners. PMUs technical assets would be an advantage, if teamed up with a new CTA /coordinator who should ideally have strong multi-tasking skills in troubleshooting, negotiating, relationship management and knowledge management skills.

**b) Current plans of senior CCC leadership.** A recent CCC decision as shared by a member of the commission and senior program managers, aim to transpose the project to “whole of government, whole of society” approach in recognition that DRR. CCA cannot be effectively done by one or two agencies alone. CCC also decided that henceforth, Project sites would be part of CORE Program. Proactive assistance would be provided for availing of support from PSF.

The Commission is contemplating on creating a senior coordinator position who will act as project manager. The planned TOR articulates the need to proactively mainstream at least 2 related projects into mainstream programs, However the TOR is not very clear on how the more urgent management and partnership issues that require more operational inputs will be addressed with a sense of urgency

#### **4.4.5 STAKEHOLDER PARTICIPATION**

**a) Partnership management with national partners.** The National Project technical working group has not been mobilized, Rather, interdisciplinary /interagency inter- disciplinary interaction was done through output/task - specific Expert Group Meetings (EGM). The conduct of Expert Group meetings (EGMs) were important in levelling off and setting the direction for research studies (E.g. CLUP). However the EGM approach has not been utilized so far to effectively monitor, coordinate, assess /reflect on results of studies

There are pervasive delays in most of services covered by the Memoranda of Agreements. The NRA- UP contract relied on inputs of experts from other agencies with UP lacked control thus current nuances in quality and timeliness of progress. Internal Procurement processes of line agencies (HLURB, PAGASA) prevented timely delivery of their deliverables. There is insufficient management of delivery of interdependent outputs (e.g. delivery of ClimEx.db, outputs, and updated DRR/CCA projections and their eventual use in CDRA).

There was a perceived delays in the procurement management processes within CCC and UNDP itself. Early detection of operational issues may have not been optimally achieved (delayed citation in Risk Logs).

**b). LGU partnership management.** MPDCs provided generally good oversight of LGU commitments. However the project relies on narrow base of LGU staff for engagement of LGUS (focused on MPDC/DRRMO ). So far there have been limited opportunities for engaging the ENRO and Agri officer who play important roles in designing local plans for the preventive aspects of DRR and CCA actions.

Among the RAPID LGUs, the Province wide MOU do not clearly articulate the corresponding roles of MLGUs. MLGU level MOA focuses only on ClimEx.db. The Leyte PLGU was minimally involved in LGU planning processes. The PLGU is interested and can be more fully tapped. HLURB's process oriented approach in Pablo and Sendong, coupled with hands on TA by back up CCC consultant was a good approach at start; but the TA was prematurely discontinued, leaving LGUs "hanging" particularly in Pablo. There is currently no clear system for LGUS to obtain feedback to their work and to the issues they raised. Many questions are left unanswered (Pablo and Yolanda).

The pace of LGU progress is usually a function of the variety of internal issues, the timely delivery of project support (ClimEx.db etc.) and the presence of LGU based champions who can help troubleshoot shortcomings. Given the lack of field presence of CCC, the constraints encountered particularly in Pablo could have been mitigated by the presence of an area based "process manager (part time presence). Such process management could help LGU-based champions deal with Leadership Transitions; coordination and troubleshooting of project deliverables; liaison with national support agencies and maintaining stakeholder participation

#### **RATING FOR EFFICIENCY:**

The rating for efficiency adapts the rating scale of Project implementation and Adaptive Management from **GEF UNDP Guidelines for MTR of 2014** Overall, most of the components of efficiency are not leading to efficient and effective project implementation and adaptive management.

- **Sendong. Satisfactory.** Relative efficiency in Sendong operations, where some substantive results were achieved as a result. However some low hanging fruits can stand further consolidation.
- **Pablo – Unsatisfactory.** Abrupt withdrawal of operations left LGUs hanging. No major outputs can be expected. This can still be overturned if some corrective action is applied on at output categories 1, 4 and 6, in the final year.
- **Yolanda – Moderately unsatisfactory.** Earlier delays are being corrected but the pace of implementing is still a source of worry.

#### **4.5 IMPACT**

The Results and Resources Framework of the PRODOC referred to as outcome indicators in terms of number of LGUs where DRR /CCA are mainstreamed in plans; reduction in loss and damage, decrease in environmental degradation).

There is no discernable early impact yet of the project. Early stages of outcomes however are discernable from Sendong Project Area. These include the initial mainstreaming of DRR/CC in

CP and land use plans. Potential outcomes are expected from the catch up work in Yolanda in the formulation of CLUP, and CDP and possibly LCCA by at least 12 LGUs. Further impact in terms of plans formulated can be achieved from Pablo if the Project decides to revisit the work that was abruptly suspended.

#### 4.6. SUSTAINABILITY

There are 4 dimensions of sustainability – financial, social, institutional and environmental. The discussion is made on a per Project area basis. The rating is provided at the last row of each table below. The discussion focuses more on the Institutional dimension which will include policy, organization, and human resources.

It may be noted that it is difficult to analyze the sustainability of actions in Pablo and Yolanda, This is because the activities in Pablo are hardly complete yet while that of Yolanda is just about to enter into the midstream stage.

##### 4.6.1. FINANCIAL SUSTAINABILITY

Factors enhancing financial sustainability include the presence of mandatory DRRM budgets and the prospects of preparation of CDP which will then trigger the preparation of investment programs to support DRR CCA measures proposed in CLUPs. CCC has committed to include partner LGUS as targets for PSF support.

As cities, the 2 LGUS in Sendong have larger funding base, more immediate capacity to submit proposals for funding, and can provide larger sustainable funding. Lower class LGUS in Pablo and Yolanda may have more difficult time. Yolanda LGUS however will have the opportunity to be supported for their CDP preparation.

Potential funding support from the DA and DENR programs and their access to overseas development assistance (ODA) for CCA has not been optimally tapped.

**Table 4. Financial sustainability**

SENDONG	PABLO	YOLANDA
•DRRM budget > CP	•NA	•DRRM > CBDRRM
•CLUP > long term changes	•CLUPs- unfinished	•CLUPs to start yet
•CDP not assisted	•CDP not assisted	•CDP process to start yet
• Budget for DRRM more assured than for CCA		
• Most LGUS aiming for PSF; have basic knowledge for starting LCCA planning		
• DENR And DA marginally involved – important for investment programming		
•Mostly big cities	•Small M LGUS	•Small M LGUs except <u>Tacloban</u>
•ML	•MU	•ML



#### 4.6.2 SOCIAL SUSTAINABILITY

There has been limited attention so far to develop and promote actual CCA practices that make livelihoods more resilient. The livelihoods and risk transfer component of project have not taken off.

**Table 5. Social sustainability.**

SENDONG	PABLO	YOLANDA
• Most stakeholders including women and IPs involved in CLUP planning processes		•NA
•High involvement in CP	•NA	•High involvement in RRI
•Interest & Involvement sustained by risk data & systems e.g. FHM maps, CPS & FEWS	• No assessment results and maps to sustain involvement yet	
•Some communities to be displaced if CLUP/zoning plans to be followed		
•Support systems for displacement likely from cities	•Support system not defined ( NO CD, no output 5)	•Support system not defined yet( No CDP yet , no Output 5)
•ML	•MU	•MU

#### 4.6.3. INSTITUTIONAL SUSTAINABILITY

The enabling factors for institutional sustainability include the following:

- DRR councils have been created while most DRRMO has been designated. Many partner LGUs desired to prepare their LCCAP, partly to avail of PSF support. Some have in fact took their own initiative in attending available training courses (e.g. in Albay).
- Certain proactive champions exist in most LGU (e.g. personnel) who clamor for follow on information support from the CCC (ClimEx.db information support). Some have shared CC adjusted flood hazard map to DPWH. Some LGUs in Pablo have used raw ClimEx.db data for immediate planning needs. The League of LGU planners in Sendong are helping spread information on innovation.
- In Sendong, there is active participation in local DRRM councils, of academe and local CSO exposed earlier to CCA – DRRM discourse. MSU in Iligan in Iligan attempted to further adapt ClimEx.db program to barangay level administrative record keeping.
- There are efforts of trained local staff of HLURB Region 10 to adapt the CDRA approach in revised CLUP guidelines , using qualitative information pending availability of quantitative information.
- Increased visibility of efforts of DILG at ground level to leverage its supervisory powers to accelerate development of LCCAs. It conducted a trainers training for al regional offices

on the conduct of CDRA as preparatory activity for encouraging LCCAP preparation by LGUs.

- Increased visibility of other agencies such as MGB and DOST on making available more updated DRR related maps.
- The CCC Commission recently adopted a “whole of government “ approach to promoting DRR CCA convergence. CCC plans to incorporate LGU sites as organic part of the CORE program and improved assistance for LCCA development and PSF support. CCC is also now catalyzing consensus among CCC DILG and HLURB to co-develop an approach for preparing CLUP and CDPS based on a common CDRA.

On the other hand there are certain constraining factors for institutional sustainability:

- Due to various delays, there are still “insufficient numbers” of LGUs that can demonstrate good practice as per project design.
- There is narrow base of champions that understand the concept of a quantitative approach to CDRA at LGU levels (usually limited to MPDC and LDRRMO).
- Lack of phase out planning for LGUS in Sendong, e.g. reflected in some challenges in maintenance of early warning systems ( FEWS ) in Sendong.
- Delayed completion of CCA –DRR enhanced in Pablo area CLUPs (due to access to needed data) tend to affect the confidence of HLURB to more effectively train more LGUs (*premature withdrawal of hands on technical assistance in Pablo*).
- CCC has no physical presence in the region to help catalyze sustained actions.
- The Leyte PLGU is not optimally involved in project planning and assessment. DA and DENR regional offices are also not optimally involved in planning interventions.
- There is limited knowledge management (KM) actions. There is limited venue to draw out lessons learned and disseminate principles and practices to be emulated. Media has not been optimally used after earlier investment to educate them on the concept or DRR CCA convergence.

**Table 6. Institutional sustainability.**

SENDONG	PABLO	YOLANDA
• DRRM Councils & offices established for DRR concerns		
• Most LGUS aim to prepare LCCA for PSF support ; CDP to be done in Yolanda		
• CCC aims to include pilot LGUs under proactive assistance for LCCA and PSF		
• HLURB mandated /capacitated to provide basic concepts DRR/CCA in CLUP		
• Increasing DILG advocacy for preparation of LCCA by LGUs		
• CCC has no regional presence to perform long term catalyzing tasks		
•Proactive RBOs covering 2 cities; NEDA in advocacy work	•PLGUs are actively involved in project	•PLGU not actually involved in project , though can still be involved
•Has risk data to back up investments	• No risk data yet to support investment planning	
• DENR And DA marginally involved - investment programming not yet done		
•ML	•MU	•ML

#### 4.6.4. ENVIRONMENTAL

Project intervention are basically designed to be environmentally sound. There are no proposed interventions that would cause natural resource extractions or residual management that may threaten environmental sustainability. There are no likely aberrations in climate change trajectories that may happen during the short project period.

Rating: moderately likely (ML) for all Project areas.

**Table 8. Summary of ratings for sustainability.**

Dimension	Sendong	Pablo	Yolanda
Financial	ML	MU	ML
Social	ML	MU	MU
Institutional	ML	MU	ML
Environmental	ML	ML	ML

## 5. CONCLUSION

Overall progress towards outcomes indicate that that the PTCP and RAPID continue to be relevant to stakeholders. Likewise activities in at least one project area (PTCP - Sendong) has catalyzed improved disaster preparedness actions as well as land use decisions. Important results can be potentially “harvested” from the completion of CDRA and CLUP actions in Pablo but there is a need for more attention to tie “loose ends” (ClimEx.db and flood models) to produce results (i.e. land use decisions).

Implementation plans for Yolanda through RAPID, is generally now in the right direction but the generation of results is threatened by both the time available and pace with which management

issues are being addressed. The relatively low ratings in effectiveness in Pablo and Yolanda sites may still be slightly improved by project end if appropriate physical measures are put on the ground, coupled with calibrated investments in Knowledge Management.

The expected mission of both the PTCP and RAPID as a “first stage “of a long term capacity building process through CC-DRR convergence will only be partly accomplished.

- It does not yet have the “numbers” (i.e., number of LGUS with completed activities). There are too few LGUs that indicate with good substantive practices (CDO, Opol, Iligan and possibly New Bataan in Pablo). Except in one Project area and in 2-3 innovations (FHM, CP and FEWS in Sendong), most processes are not “mature” enough to produce results.
- Also, there is still no clear mechanism yet to “tie loose ends” (as part of the innovation or piloting process) and consolidate initial gains. No clear mechanism exists yet to assess and reflect on experience and elevate the learnings into the national discourse (i.e. in the spheres of science, policy and local governance).

Project efficiency has been a major weakness. A key gap is the absence of a full time project manager /coordinator who can troubleshoot largely management issues and at same time facilitate mainstreaming. Some useful, research based knowledge remain unused due to largely to delays in delivery of inputs. Maintaining the very large targets of Yolanda is not justified by current track record.

Notable gains have been made in demonstrating practices that improve stakeholder preparedness. It is now time to also increase attention on investments in “prevention “. The forthcoming risk analysis exercises (CDRA and the development of CLUPs CDPs provide the good opportunity to heighten dialogue on “prevention “aspects. There is a need to start contemplating on what “best as of the moment “technical options for CCA would serve as the main content of the LCCAS and CDPs. This can also partly address Output 5.

To address the above challenges on the final year(s), the Project will need to build creatively on some important assets that have somehow been generated:

- The main “value added “is the ability to provide quantitative risk information. Research based information generated from the project areas just awaiting to be “unlocked” and used by expectant LGUS in Pablo and Yolanda (stimulated by the exposure to ClimEx.db).
- “Low hanging fruits” exist in Sendong and Pablo represented by gains made in mitigation actions in Sendong and initial stages of land use planning in Pablo.
- The CCC leadership recently announced verbally to more proactively incorporate project actions in the sphere of CCC’s flagship CORE program and benefit from potential opportunities from PSF. Once put in writing, this will be a solid encouragement to partner LGUs.
- An emerging good working relationship between CCC, HLURB and DILG exists as partly evidenced in the degree of building on each other’s work. DILG for instance proactively used the CDRA guidelines produced by HLURB for its regional trainings for DILG staff.
- There are individual “champions” in the LGU and Agencies involved under the project, regardless of the status of their agency’s performance under the project. PMU staff would know them well. They tend to be ready to do an extra mile and can be valuable for follow up consolidation work that the project may undertake.
- Members of the media who participated in an orientation series can likewise be further tapped.

## **6. RECOMMENDATIONS**

### **6.1. FILL IN SENIOR PROJECT COORDINATION /LEADERSHIP GAP IN THE CONTEXT OF THE EVOLVING “PROGRAM” APPROACH INITIATED BY CCC LEADERSHIP**

In the context of CCC’s plan for institutionalization /mainstreaming into CORE, further revise the draft TOR for coordinator contemplated by CCC to better cover the more urgent operational issues that constrain delivery of support intervention (e.g. “unlocking NRA results, addressing ClimEx.db IT related issues).

Based on above, appoint a full time CTA/ Coordinator and at the same time, introduce organizational strengthening measures within the PMU to increase ability to address two concurrent demands.

- Troubleshooting current gridlocks on research outputs that can be used in local level planning
- Mainstream selected project good practice into the mainstream programs (developing guides etc.)

Of the two above concerns, the most urgent now is to troubleshoot the issues that prevent early utilization of quantitative risk information to support the piloting of DRR CCA sensitive planning processes. By making these information available (though the first urgent task of management i.e. troubleshooting), catch up work of pilots can be made possible and there is then “something concrete that can be mainstreamed” (2nd concern of management as cited above).

### **6.2. UNLOCK THE DATA “GRIDLOCK” ON NRA, CLIMEX.DB AND OTHER DATA SOURCES**

In the case of NRA in Yolanda sites, distill the current reports into those that can be immediately communicated to and used by say, selected advanced LGUs ( e.g. Buoy ) and those that require further study. As proposed by the PMU deploy peer reviewer and use the results to determine the corrective action to fill in data gaps and allow timely use by LGUs. Consider also a senior level negotiation with the NRA leadership and key team members.

In the case of Climex.db for Pablo, senior management needs to call a multi stakeholder meeting in Davao or Compostela to conduct systems review and generate consensus on how to troubleshoot the gridlock in information availability. This dialogue would include UP Mindanao, Diliman Labs, PLU, MLGUs and HLURB).

The case of the peer review by PAGASA of the FHM produced by UP for Pablo sites also need to be accelerated.

### **6.3. TRANSLATE RESEARCH RESULTS INTO USER FRIENDLY FORMS TO MAKE UP FOR LOST TIME, REDUCE THE LEARNING CURVE OF LGU USERS AND BROADEN CONSTITUENCY WITHIN THE LGU (BEYOND THE DRRMO AND MPDC).**

Make information sets on risk analysis more readily understandable in order to broaden the LGU constituency (not just to the well exposed MPDC DRRMO who are usually more exposed to the discourse and literature on DRR/CCA. Organize a task force of professional writers with science education background and DRR/CCA experts (including PMU staff) in order to prepare *laymanized* or more user friendly versions of research results related to NRA , FHM, data on storm surge and landslides. This task force also need to engage local practitioners such as

MPDCs who understand the thinking processes of local officials and local stakeholders and can thus suggest how information can be treated for better appeal to the reader.

The end in view is to ensure the new important information sets are better appreciated by LGU based professionals such as the leaders of the offices for Environment, Agriculture and Engineering, who will form the key “technical base” for the preventive type of work of DRR and CCA. Also target local elected officials (including the Chief executive and local legislators), other LGU based professionals (health and social work officials etc.) and to some extent, local education officials, opinion leaders, local media, civil society, student leaders etc.).

#### **6.4. RATIONALIZE THE HUGE PHYSICAL TARGETS OF RAPID**

The current track record of RAPID and the limited time remaining cannot justify the very large targets for Yolanda. Thus, consider “tweaking” the physical targets for local planning to increase the attention and support to fewer LGUs that have higher chance to produce quality demonstration of good practices. A possible approach as suggested also by PMU, is to provide the training opportunities to all the targeted LGUs and barangays. However, choose only a few where project personnel will spend more quality time to help said LGUs actually apply what they have learned and serve as models for others. Consequently, develop good quality IEC material to describe experience of early LGU practitioners and communicate to non-pilot LGUs.

Consider focusing on LCCA, CLUP and CDP to ensure focus, and consider dropping the preparation of guidelines for LDIP and AIP. This will also “free up” time to provide more substantive attention to technical options for CCA during the discussion on the CDP (refer also to Recommendation 6.5 below).

Likewise, involve representative local planner practitioners (MPDCs etc.) in the design of planning methods to make sure that the thinking processes of their peers are fully taken into consideration, leading to write ups that can be more appealing to the end users of the planning guides.

In the case of the 150 barangays where CBDRRM will be conducted, consider three modalities to rationalize the load. Modality 1 would be those barangays (12) involved in RRI and where CBDRRM planning will be given a CCA slant. Modality 2 would be those without RRI but with a CCA slant. Modality 3 would be those where barangays to be provided with straightforward CBDRRM training without RRI or CCA slant.

#### **6.5. AS INPUT TO MEANINGFUL CDP PREPARATION, FACILITATE DIALOGUE ON CC - ADJUSTED RESOURCE MANAGEMENT MEASURES. THIS ALSO PARTLY ADDRESSES OUTPUT 5- LIVELIHOODS AND CAN FOCUS IN YOLANDA AREA.**

To provide effective direction to LGU investment planning, CDPs need to be engendered with quality ideas for programs and projects that begin to consider CC adjusted hazards. In this regard, the project is advised to proactively facilitate dialogue that will consider “adjusting” ecosystems oriented approaches to hazards that are accentuated by CC. The current body of scientific knowledge may not be sufficient to support exact solutions, but the dialogue should be able to draw consensus on “best as of the moment”, no regrets actions. Such actions can combine current scientific knowledge breakthroughs as well as local ecological knowledge.

Region 8 10 and 11. To this end, encourage NEDA 8 (CRISP R8 partner) and DENR8, academe and local Media to convene a dialogue series among members of the science community, development agencies, LGU and media. This can build on existing dialogues or platforms such as the regional development council sub committees, regional or provincial DRRMCs, or the provincial chapter of LGUs. Begin the groundwork with the national climate change offices or

related programs of the DENR (e.g. Ecosystem Based Adaptation or EBA initiative facilitated by the EMB, and the DA (Adaptation and Mitigation Initiative in Agriculture). Where the opportunity exists, utilize locally initiated watershed /river basin councils as venues for discussing the results of the risk analysis and their application for improved CCA at watershed level.

Tap national researchers/practitioners of above agencies and non-government groups to share studies and innovations for ecosystems based livelihood support systems (e.g., re design of mangrove belts, redesign of MPA protocols etc.). Consider partnership with the GIZ who has long term presence in Leyte working on resource management issues.

**NEDA Investment Guidelines.** NEDA and CCC can utilize the process of developing the supplemental guidelines for PDEM as an opportunity to systematically identify and prioritize information gaps that need to be subjected to strategic research by the R& D community. These information gaps include new design standards in ecosystems management and infrastructure planning that can match the magnitude of anticipated climate events under varying return periods. Consider engaging the DOST Research councils for ANR as well as industry /engineering for this purpose.

## **6.6 ENHANCE THE CURRENT MAINSTREAMING ACTIONS WITH KEY NATIONAL AGENCIES (HLURB, DILG, NDRRMC, DOST) THROUGH INCREASED POST ACTIVITY REFLECTION AND ASSESSMENT.**

The CCC leadership is ensuring that that the processes (i.e. Expert Group Meetings of EGMs), started by the project are proactively planned with line agencies to ensure high ownership. This should be continued. As part of KM, the ownership process can be deepened further by ensuring that the EGMs are conducted at midstream and end of joint activities in order to reflect on and assess experience, leading to the gradual mainstreaming of relevant good practices into agency programs.

## **6.7. CONSOLIDATE THE KNOWLEDGE GAINS IN SENDONG AND PABLO AND EVENTUALLY IN YOLANDA**

Identify the existing and potential innovations and good practices that can be elevated to the national discourse. Apply calibrated, catalytic interventions to solidify these practices. Examples of emerging good practices are cited below side by side with illustrative shortcomings that need to be addressed to ensure the full play of good practices do materialize:

<b>Emerging good practice</b>	<b>Observed gaps in the good practice</b>
CC- FHM in CP in Iligan, and CDO	Sustainable system for recurrent conduct of drills and introduction of this practice in the context of river basin/watershed planning
FEWS in CDO and Iligan	Developing locally based protocols for maintenance of field equipment
CLUP process in Opol, Baganga and New Bataan	IT related problems with ClimEx.db data sets

Examples of catalytic actions may include the deployment of a part time area based process facilitator to provide special attention to the proactive LGUS in Sendong and Pablo. Such attention may include troubleshooting remaining gaps that are illustrated above. Tap NEDA 10(still has

fund left) s, NEDA 8 and other academic partners (XU, MSU, VSU) to produce localized policy briefs especially for RDCs. These briefs would be an analysis of the good practices. These may also be shared during the annual CCC week in 2017 or 2018. Engage an IEC /knowledge manager for this purpose and incorporate aspects of consolidation work in the TORs of existing PMU staff.

It is also suggested that the verbal assurances of CCC leadership to incorporate partner LGUS in the CORE program be put in writing and communicated to the LGUS concerned as an additional encouragement to the said LGUs.

## **6.8. CONSIDER PROJECT EXTENSION OF BETWEEN 1 TO 2 YEARS TO JIVE WITH LGU PLANNING CYCLES.**

Given various delays, there is a clear need for project extension to allow for quality catch up. If needed, it would be advisable to reduce physical targets and realign funds to have more time in a fewer target LGUs to develop complete and mature models of good practices in localized action. The catch up work also need to consider that LGU planning cycles follow particular calendars (e.g. preparation of CDPs is partly aligned to the electoral process). Thus, a one to two year extension depending on funds available, will allow the project to apply innovations at the right time within the recurrent planning cycles of LGUs.

## **7. LESSONS LEARNED AND CONTRIBUTION TO THE PROJECT'S THEORY OF CHANGE**

Figure 3 summarizes the Hierarchy of Objectives and Outputs per PRODOC using PTCP. The current results framework does not indicate the causal assumptions that “bridge” lower level results to higher level results (e.g. objectives to outcomes).

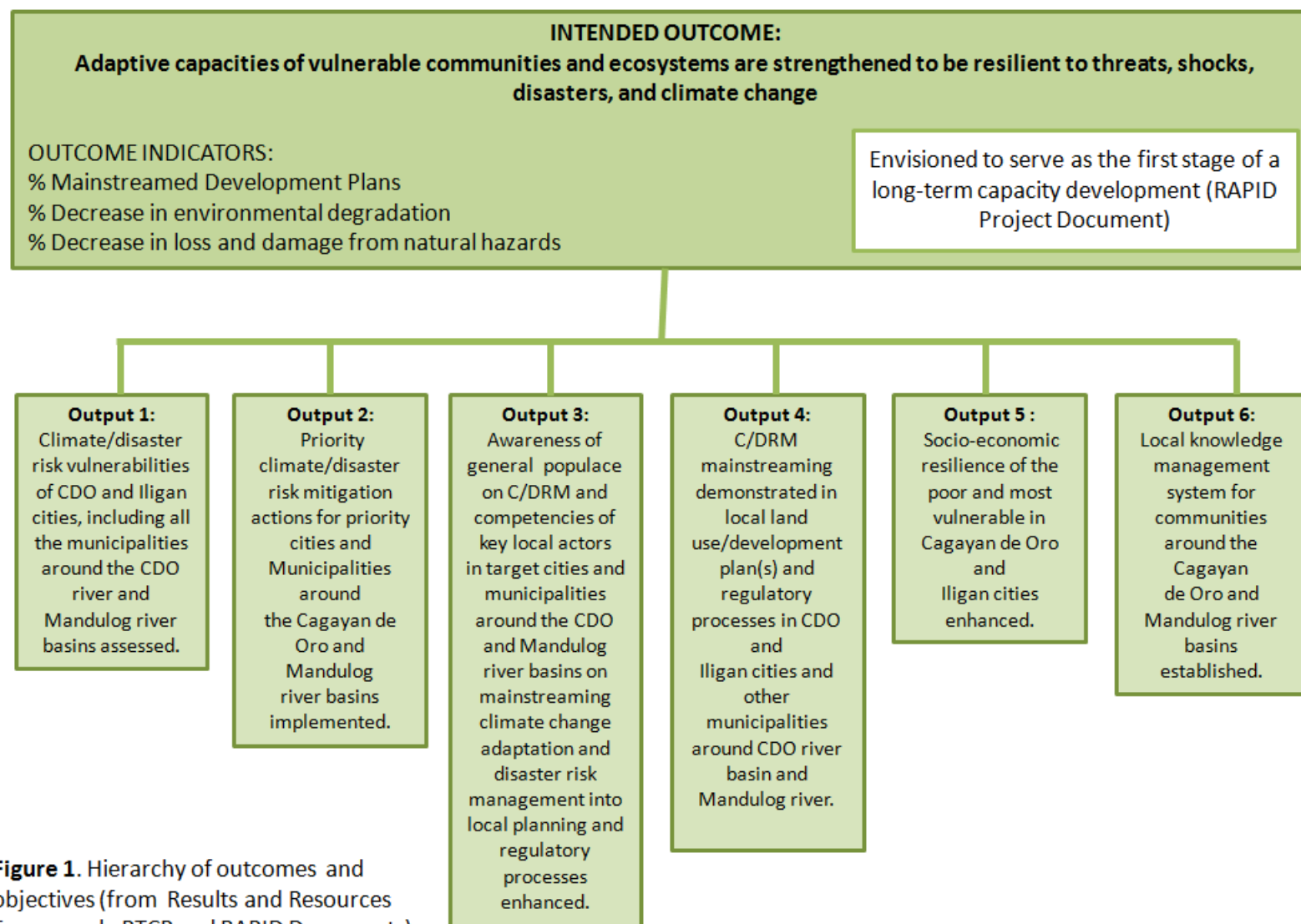
For lessons to have lasting value especially for the design of future interventions, they (i.e. the lessons learned) are presented in the form of “assumptions” or conditions that make possible the attainment of a higher level of results from a preceding result ( activity > output > outcome).

Figure 4 is an iteration of Figure 1. It articulates the logical relationship of outputs to each other and paraphrases output statements to have an initial picture of the Theory of Change. In compliance with the TOR, certain assumptions were identified during the preparation of the evaluation plan to help formulate questions. These are also presented in Figure 2 (text in bubbles entitled “ideal assumptions”). These assumptions are based on generally accepted norms in developmental work associated with development assistance related to ecosystems management.

Based on actual feedback by stakeholders during the MTR implementation, a set of lessons learned were derived. These are consequently presented in Figure 5a to 5c as “Assumptions” per Lessons Learned” (bubbled text).



**Figure 3. Summary of Project Results Framework (Using PTCP as illustration)**



**Figure 1.** Hierarchy of outcomes and objectives (from Results and Resources Framework, PTCP and RAPID Documents)

**Figure 4. Clarification of Results Framework and presentation of “ideal assumptions” based on currently accepted norms in development assistance oriented towards ecosystems management**

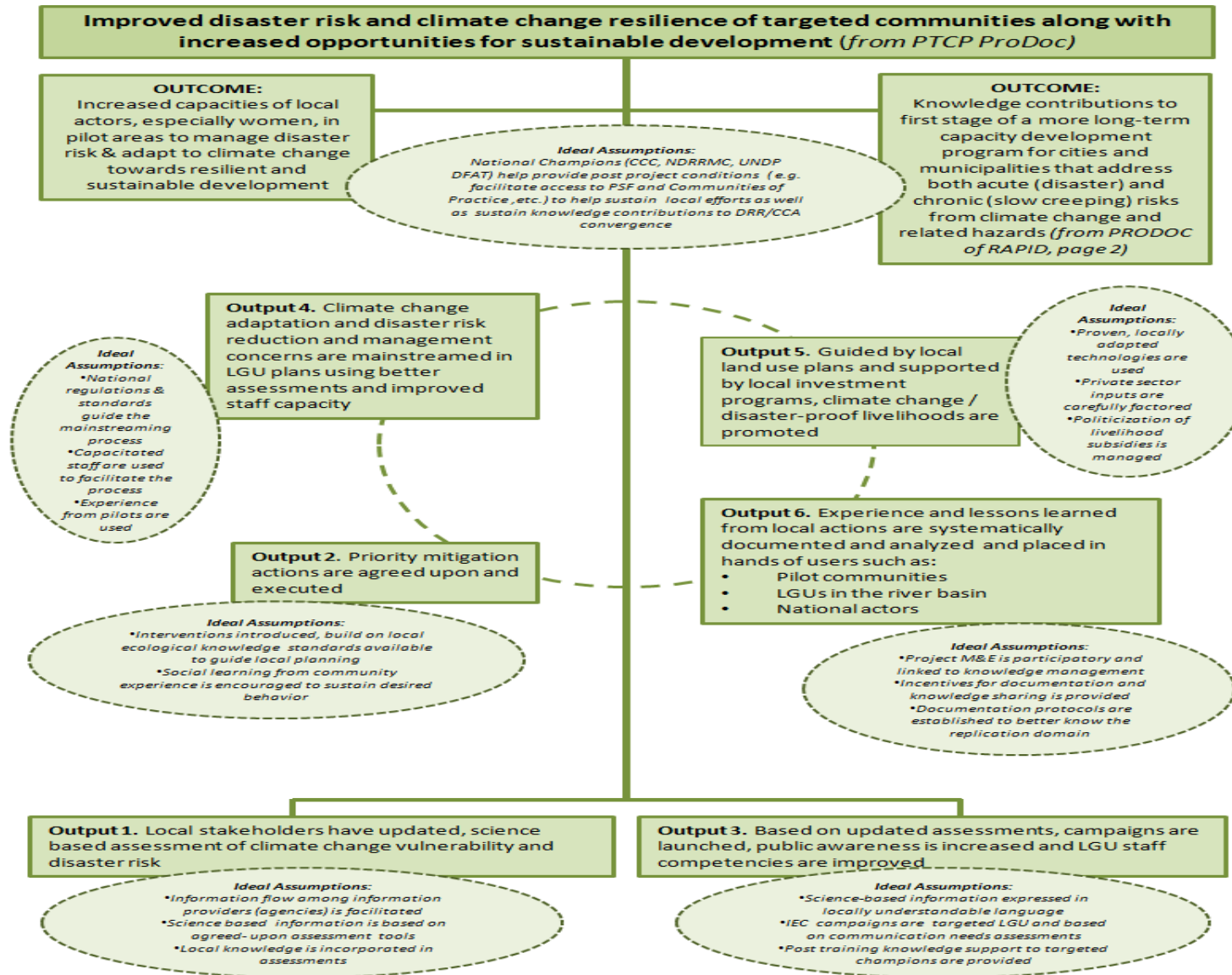


Figure 5a. Assumptions per lessons learned for outputs 1 and 3 (refer to Figure 4 for complete picture of diagram)

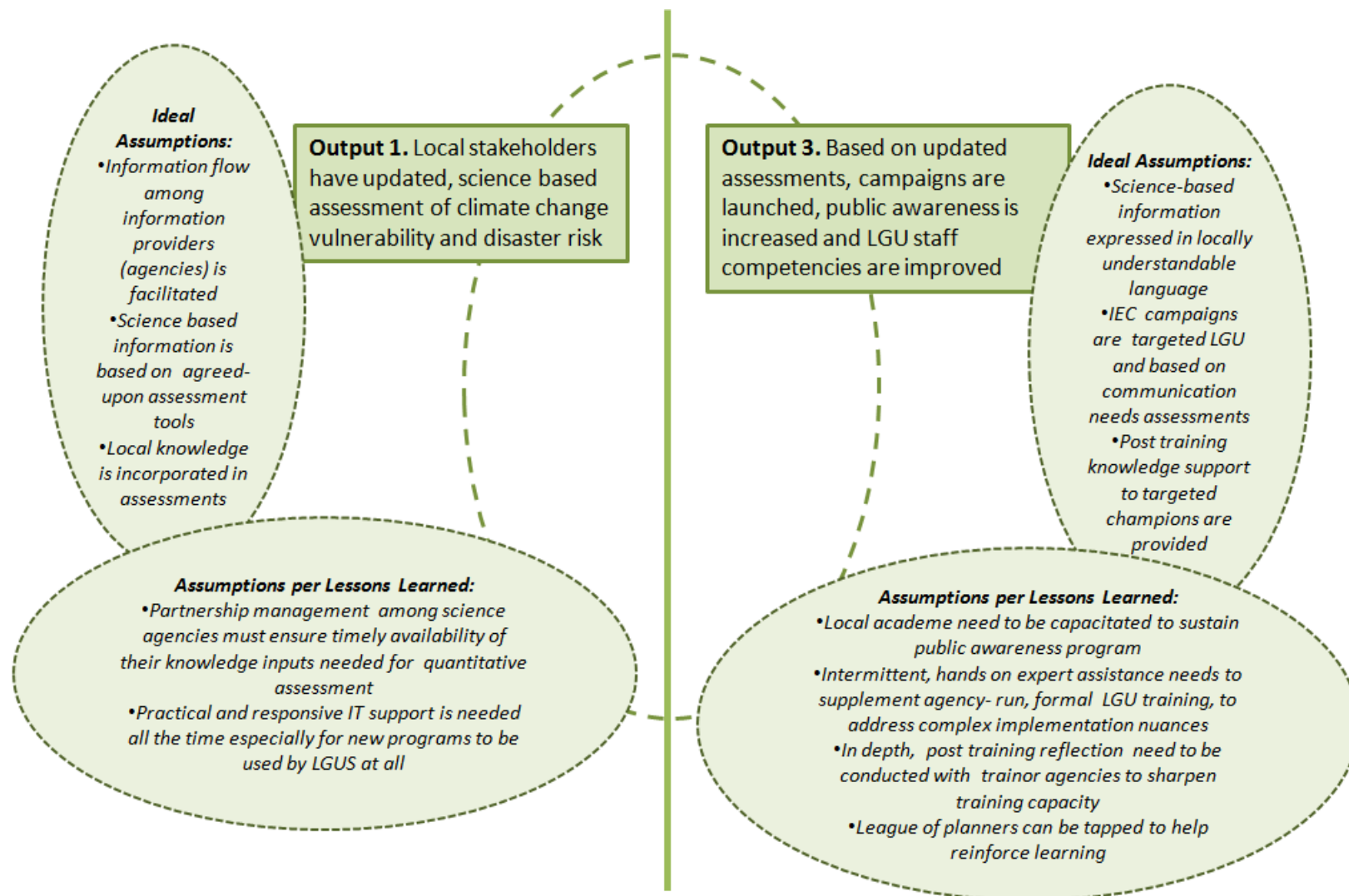


Figure 5b. Assumptions per lessons learned for outputs 2 and 6 (refer to Figure 4 for complete picture of diagram)

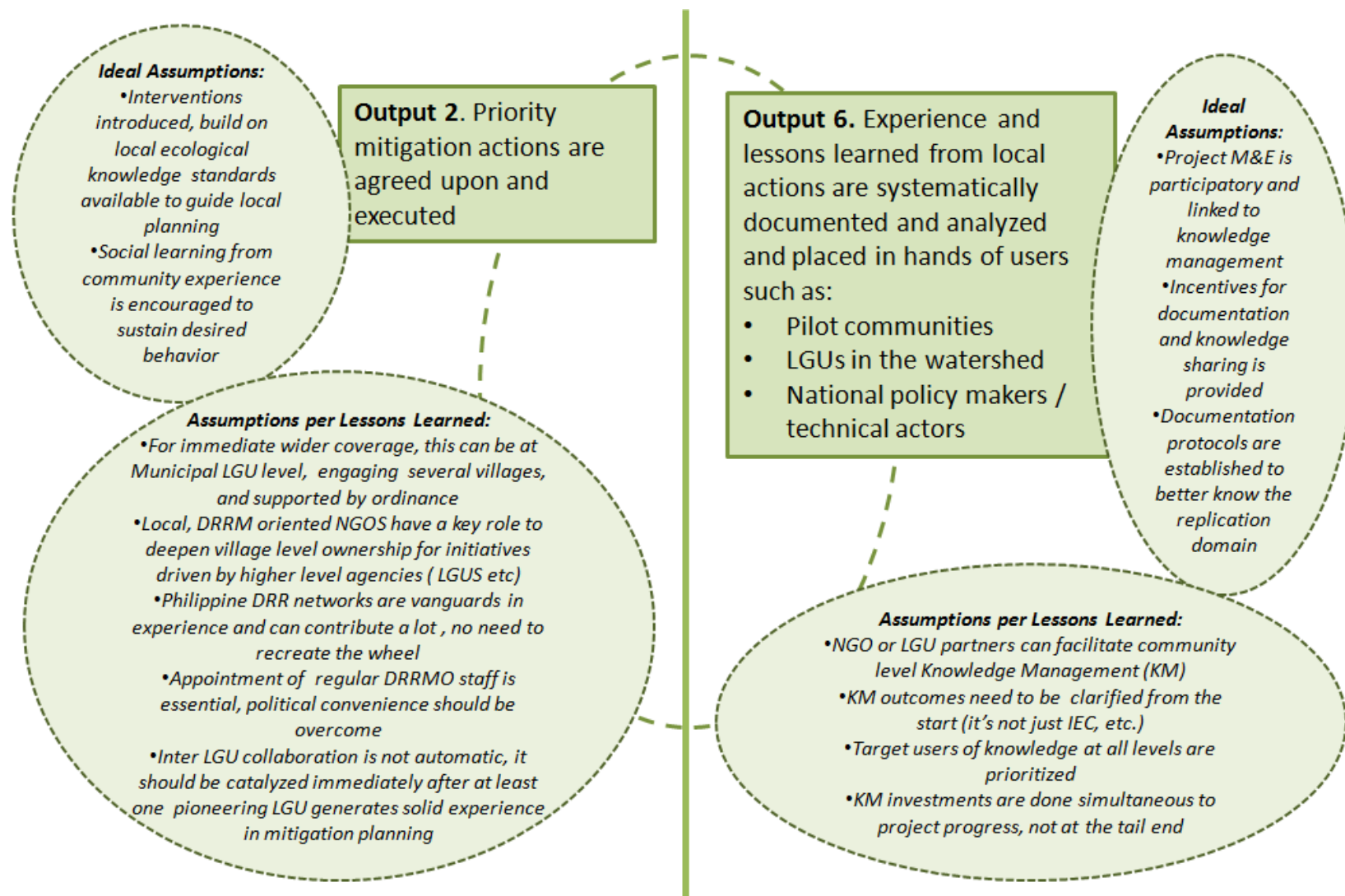


Figure 5c. Assumptions per lessons learned for outputs 4 and 5 (refer to Figure 4 for complete picture of diagram)

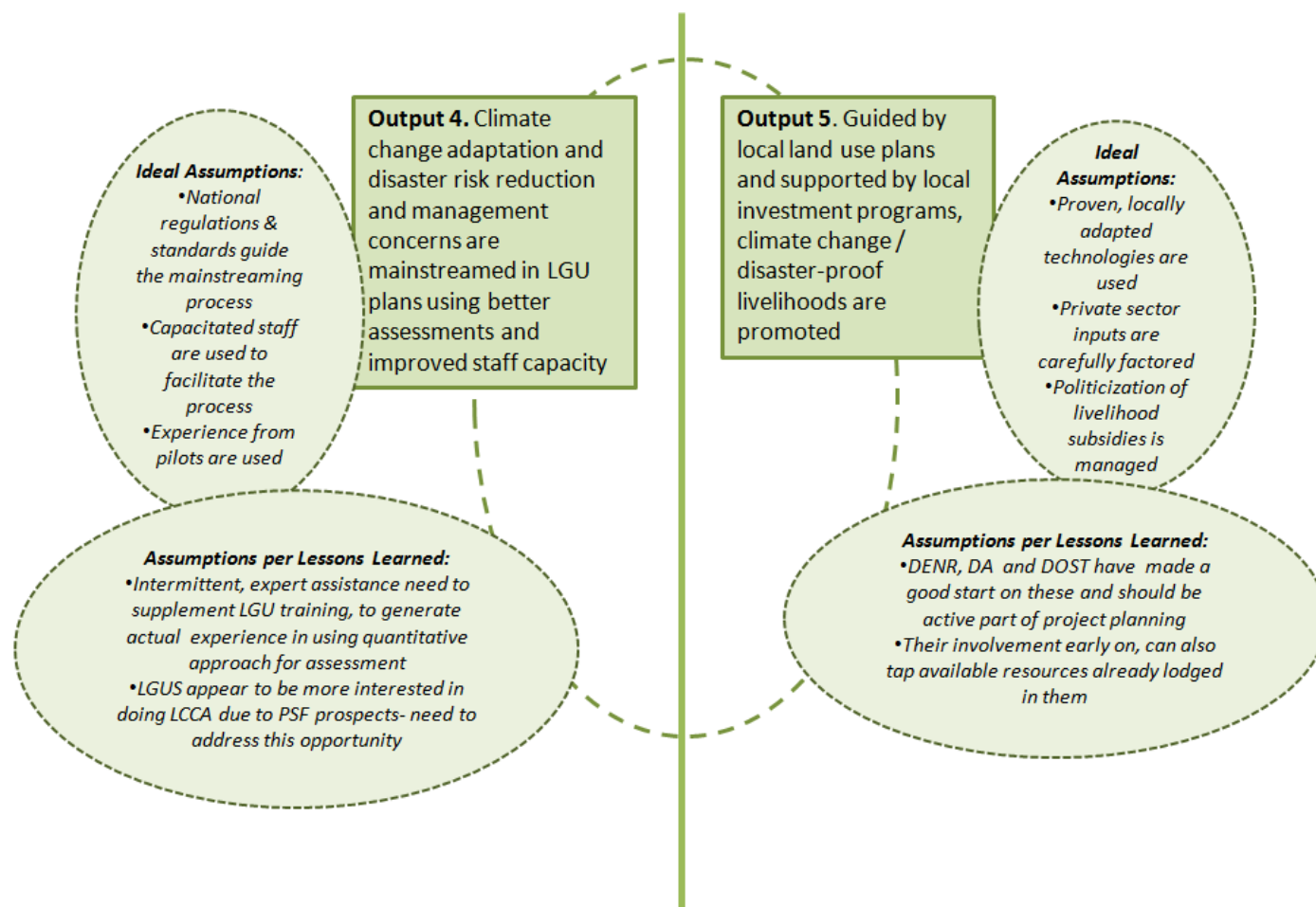
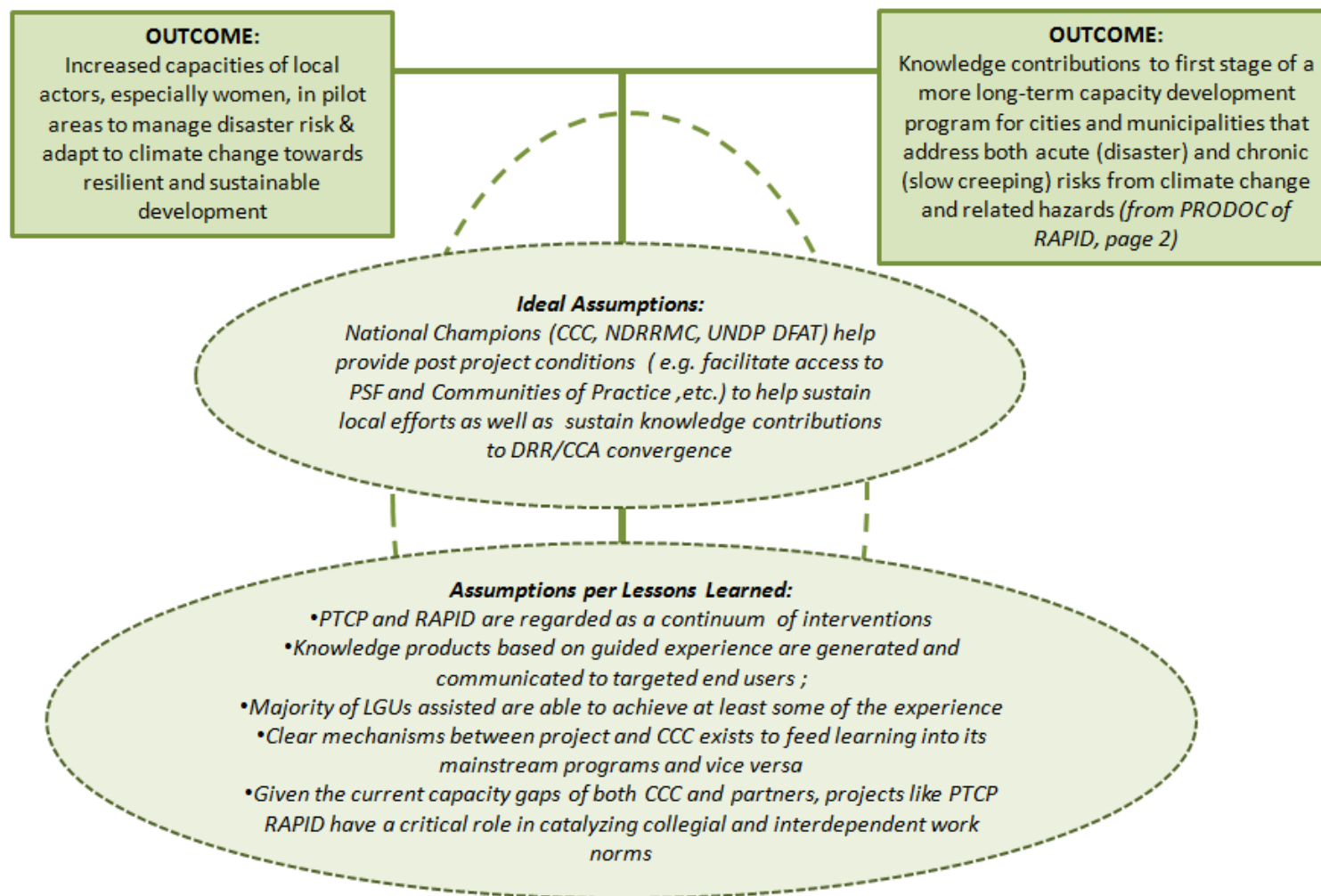


Figure 5d. Assumptions per lessons learned for attainment of outcomes (refer to Figure 4 for complete picture of diagram)



## **ANNEXES**

### **ANNEX 1. TERMS OF REFERENCE OF MID-TERM REVIEW**

#### **Consultancy Services for the Conduct of an Independent Mid-Term Review and Evaluation of Project Climate Twin Phoenix - Resilience and Preparedness toward Inclusive Development (PCTP-RAPID) Program**

**Project Title:** Project Climate Twin Phoenix - Resilience and Preparedness toward Inclusive Development

#### **Project Description**

The Climate Change Commission-Climate Change Office (CCC-CCO) is implementing Project Climate Twin Phoenix- Resilience and Preparedness toward Inclusive Development (PCTP-RAPID or the Project) which aims to support the long-term recovery of specific areas affected by Typhoons Sendong (Washi, 2011), Pablo (Bopha, 2012) and Yolanda (Haiyan, 2013), as well as enable these areas to cope with the impacts of climate change.

There are six (6) outputs under PCTP-RAPID: (1) Climate/Disaster Risk and Vulnerability Assessments, (2) Priority Preparedness and Mitigation Actions, (3) Awareness Raising and Capacity Building, (4) Mainstreaming Climate/Disaster Risks in Local Plans, (5) Building Resilience of the Poor and Vulnerable, and (6) Knowledge and Information Sharing.

Period of implementation is from 2012-2017, through an A\$9.3 million grant financing from the Australian Government, administered by the United Nations Development Programme (UNDP).

#### **Scope of Work**

The main objective of this consultancy is to undertake an Independent Mid-Term Review and Evaluation (MTRE) of the implementation of PCTP-RAPID from 2012-2015 to:

- assess the continued relevance of the Project's interventions and the progress made to date towards achieving its planned objectives
- identify lessons learnt and propose recommendations to improve effectiveness, delivery of quality outputs, and strengthen implementation
- Provide an opportunity to make mid-course adjustments to implementation to ensure the achievement of objectives for the remainder of the Project from 2016-2017.

The MTR covers all interventions of PCTP-RAPID including all activities and outputs produced, and program partners (implementing and responsible parties, local and community stakeholders, grant administrator and donor, other donors implementing relevant projects). It will also cover all areas covered by the Project, although the evaluation mission may visit only selected areas.

The Mid-term Review and Evaluation will focus on answering the following key questions:

- To what extent has the Project been able to achieve its development objectives and operational targets?
- To achieve targets, what are the key areas (interventions, approach, and policy) that needs special attention?



- How effective and efficient have the implementation strategies or management systems adopted with regard to planning, coordination, monitoring and evaluation and use of the designated resources?
- How has sustainability context or the extent to which the Project outputs and outcomes lead to benefits beyond the life of the Project?
- Recommendations to improve management and implementation arrangements for the achievement of targets within the available timeframe.

Towards this end, the individual consultant will design and execute an agreed evaluation process that will look into the project performance, effectiveness of approaches or processes adopted including good practices for replication and partnership strategies.

Following the Australian Department of Foreign Affairs and Trade's (DFAT) Monitoring and Evaluation standards and guidelines on design and conduct of independent evaluation and progress reporting of projects, the progress of the project will be assessed based on the following criteria that will determine the extent to which the Project has:

- Contributed to higher level objectives of Australia's aid program on sustainable growth and poverty reduction. In the country and important for the Philippine Government and aligns with their development priorities. (Relevance)
- achieved its stated objectives at this point in time (Effectiveness)
- used appropriately Australia's and our partners' time and resources to achieve outcomes (Efficiency)
- produced positive or negative changes, directly or indirectly, intended or unintended (Impact)
- worked to ensure that benefits of the project will continue after funding completes (Sustainability)
- made use of its M&E system to effectively measure implementation progress, and progress towards meeting expected outcomes (M&E)
- made a difference to gender equality and empowering women and girls
- (Gender Equality)

To undertake the Independent Mid-Term Review and Evaluation, a Consultant will be contracted. The Consultant is required to develop the project's theory of change as analytical framework for the evaluation, analyse all relevant sources of information such as annual reports, programme documents, internal reports and summaries, programme archives, national development documents and documents that can outline evidence to assess the worth of the different dimensions of analysis.

Building on the project's theory of change, the methodology of the evaluation will be described in detail in the inception report and in the final report of the evaluation. The methodology shall include a tracer study to document (a) the changes in knowledge and practice of individuals, organizations, and communities who participated in the capacity building activities of the project; (b) the extent to which the said changes have contributed to emerging Project impact; and (c) the enabling factors that facilitated the use of knowledge.

### **Methodology: Evaluation techniques and data collection**

The followings are proposed methods and it should be refined by the consultant. The consultant will submit an inception report with an evaluation plan proposing appropriate methods for the



evaluation questions posed. Triangulation of methods should be proposed to enhance the rigor of the evaluation finding and conclusion.

It is expected that the consultant will seek to apply a variety of evaluation techniques and data collection options – desk review, field visits, meetings with stakeholders, surveys, interviews, focus group discussions, informed judgement and possible scoring, ranking or rating techniques.

The preliminary findings of the evaluation will be presented during a stakeholder meeting. The purpose is to validate the initial results and conclusions and emerging recommendations in response to specific and relevant questions during the stakeholder meeting.

The evaluation will include a preparatory desk phase (home-based), a field phase (in selected project sites in Region 7, 10 and 11 to be agreed upon during the inception report), and synthesis and reporting phase (home-based). Specific tasks of the consultant include, but not limited to:

### **Preparatory Desk Phases**

- Review information and documents of the project (to be provided to the consultant –
- Receive briefing from PTCP-RAPID Project Management Unit, CCC, UNDP and DFAT
- Prepare and submit an inception report which includes evaluation instrument, evaluation plan for the field phase, proposed data collection and analysis approaches to the Project Management Unit

### **Field Phase**

- Briefing with PTCP-RAPID Project Management Unit, CCC, UNDP and DFAT
- Conduct the evaluation as per agreed upon approach and work plan
- At the end of the evaluation mission, conduct a stakeholders workshop to present a preliminary findings to key stakeholders and conduct debriefing to PTCP-RAPID Project Management Unit, CCC, UNDP and DFAT

### **Reporting Phase**

- Consolidate and analyse/synthesize all the information during the desk phase and the field phase
- Provide a draft Mid-Term Evaluation Report including the draft Theory of Change of up to 30 pages (excluding annexes) to the Project Management following the suggested content below
- Based on the feedback received from CCC, PCTP-RAPID team, UNDP and DFAT constituents, submit the revised report to UNDP for quality check. If quality has been met, PTCP-RAPID Project Management Unit will consider it to be a final version (subject to approval of DFAT and UNDP)

### **Expected Outputs and Deliverables**

In summary, the independent consultant selected to undertake the mid-term review and evaluation (MTRE) shall submit the following outputs:

- Inception report which clarifies the objectives, MTRE approach/methods (i.e. data collection methodologies, criteria for selecting interviewees, benchmarks for assessing review criteria etc.), evaluation plan and timeline (schedule of tasks, activities and deliverables of the MTRE) and provide outline for the draft and final reports;

- Stakeholders workshop. Preliminary findings of the evaluation will be presented to Key stakeholders, wherein they will have the opportunity to provide input and feedback during this process;
- Draft Mid-Term Evaluation Report including the Theory of Change (not more than 30 pages excluding annexes, see proposed outline in Annex XXX) presenting initial findings after review of documents and conduct of field interviews, highlight the result of the tracer study and guide Project Team and other stakeholders to draft response to the recommendations in the draft report; all stakeholders should be given the opportunity to comment on the draft MTRE report and to provide additional information relevant to the final MTRE; annexed to the report are the instruments and tools used to collect information and analyse data (documents, interviews, field visits, questionnaires, participatory techniques, etc.); and
- Final evaluation report with executive summary, which reflect how findings/comments on the draft report have been addressed; it shall be ensured that the final MTRE report covers all requirements outlined in the TOR.

All draft and final outputs, including supporting documents, analytical reports and raw data should be provided in electronic version compatible with WORD for Windows. Ownership of the data from the evaluation rests jointly with the CCC, UNDP, and DFAT. The copyright of the evaluation report will rest exclusively with the CCC, UNDP and DFAT. Use of the data for publication and other presentation can only be made with the agreement of CCC, UNDP and DFAT. Key stakeholders can make appropriate use of the evaluation report in line with the original purpose and with appropriate acknowledgement.

### **Institutional Arrangement**

For the duration of the contract, the Consultant will report to UNDP, and shall work in close coordination with the Project Management Unit, identified Responsible Partners and Local Government Units. The PTCP-RAPID Project Team shall ensure that all outputs of the MTRE comply with the quality and performance requirements of the TOR and endorse to UNDP and DFAT for acceptance and approval. The cost of the contract shall cover services rendered only; travel and meeting costs (including stakeholder's workshop) and all other necessary expenses at the project sites will be covered by the project.

### **Duration of the Work**

The Independent Mid-Term Review and Evaluation will be conducted from April to July 2016, including site visits, consultations and interviews, desk reviews/research, presentation of findings, drafting and finalization of report. The Consultant shall be engaged for sixty (60) man-days over a period of four months commencing from the effectivity of the contract.

### **Duty Station**

Metro Manila. The position is Manila-based for accessibility and availability to allow for discussions/reporting on progress of activities as may be required by the project. Domestic travel will be required in some phase of the engagement.

The Consultant will not be required to report to office regularly but status report on the outputs shall be expected from time to time.

### **Qualifications of Consultant**

The national independent consultant must not have been involved in designing, executing, or advising on the project. Other selection criteria are as follows:

Education: Master's degree in economics, development, public policy, social science, or related field. Further education on evaluation would be an asset.

Experience: At least 5 years of recognized expertise in conducting project, programme, thematic or country evaluations especially on disaster risk reduction and management and climate change s

Competencies:

- Possess Skills and knowledge in evaluation methods and sensitive to the needs and belief of different group of stakeholders in data collection/gathering.
- Possess analytical and writing skills and able to facilitate stakeholders workshop
- In-depth knowledge on Philippine climate and disaster risk reduction and management, and recovery frameworks
- Familiarity with current practices and emerging trends on mainstreaming DRR/CCA in development planning
- Conceptual thinking and analytical skills
- Excellent communication skills

### **Schedule of Payments**

- 20% upon submission and acceptance of MTRE inception report
- 40% upon submission and acceptance of draft MTRE report
- 40% upon submission and acceptance of final MTRE report

### **Recommended Presentation of Offer**

Interested parties should submit the following:

- Curriculum Vitae highlighting experience in similar projects/assignments and indicating at least three references;
- Letter of Interest with a brief description of why the individual considers him/herself as the most suitable; and
- Concept Note (maximum two pages) providing an overview of the proposed approach in conducting the mid-term evaluation.

### **Criteria for Selection of the Best Offer**

The offeror will be rated based on the following criteria:

- Educational Background – 25%
- Work Experience – 40%
- Concept Note – 35%

### **Key Documents to Review**

- Title page (standard UNDP template)

- Table of contents
- Executive summary
- Acronyms
- Background and project description
- Purpose of evaluation
- Evaluation methodology and evaluation questions
- Project status and findings by outcome and overall
- Conclusions and recommendations
- Lessons learnt and potential good practices and models of intervention
- Annexes (list of interviews, overview of meetings, proceedings stakeholder meetings, other relevant information)

#### Outline of the Evaluation Report

- Title page (standard UNDP template)
- Table of contents
- Executive summary
- Acronyms
- Background and project description
- Purpose of evaluation
- Evaluation methodology and evaluation questions
- Project status and findings by outcome and overall
- Conclusions and recommendations
- Lessons learnt and potential good practices and models of intervention
- Annexes (list of interviews, overview of meetings, proceedings stakeholder meetings, other relevant information)

## **ANNEX 2. LIST OF DOCUMENTS REVIEWED**

### **A. CORE DOCUMENTS**

1. PRODOC
2. Cover page/inside cover page of RAPID PRODOC (project grant /administrative specifications), if any
3. Inception Report or equivalent (i.e., Project Profile prepared by Susan in late 2012 and submitted to Board)
4. Approved Life of Project Work plans Annual Work plans
5. M& E plan, if any
6. Project Board TOR, Members (old and new), information and highlights /proceedings of meetings
7. Technical Working Groups, composition and reports, if any
8. List of other key project partners and stakeholders and focal points consulted at national /local levels
9. Key focal points in each partner Agency and Component Plans and TORS (if any)
10. Activity x site matrix (what activities were done where) to include Province, Municipality and Barangay), Also include name of LCE and Focal points( MPDC and DRRMO)
11. Accomplishment reports including cumulative report for PTCP ( received some )
12. Cumulative Financial Report ( showing budget, disbursements and accruals )
13. Project Organogram ( PTCP period ) and post PTCP period, and historical number and profile of staff and key focal points
14. Highlights of Project assessment and planning workshops (with lessons learned etc.)
15. Gender Sensitivity protocols and Plans used, if any
16. Sustainability and Phase Out Plans, if any

### **B. TRAINING AND IEC**

1. Capacity Needs assessments
2. Profile of Trainings conducted (topic, date, venue nu, target audience, actual profile of participants i.e. type of stakeholder, gender, etc.)
3. Training Modules
4. Training Reports including post training assessments (including self-ratings)
5. IEC plan(s) at all levels, if any
6. IEC materials used at all levels (national, local, community)
7. News clippings, if any (national or local)

### **C.NATIONAL PARTNERS**

1. MOU with National technical partners ( including TOR/activity descriptions )
2. Contact persons
3. Progress reports
4. Description of decision support tools and relevant knowledge products,
5. List and description of other national institutions worked with (media, etc.)

### **D. END PRODUCTS AND WORKS IN PROGRESS RESULTING FROM INTERVENTIONS**

1. LGU Focal Point and contacts
2. LGU Contingency Plans, Integrated Contingency Plans
3. Plan of action by project and LGU, and LGUS reports, if any
4. CLUP in progress (e.g. draft sections of CLUP)
5. CDP and AIP in progress of LGUS covered by this type of intervention
6. Information on inter-LGU basin wide consensus, plans

7. Community Plan, highlights of community workshops (early warning systems, etc.)
8. List of sites with emerging good practices, success stories

**E. MAINSTREAMING INTO CCC AND OTHER KEY PARTNERS**

1. Relevant CCC Strategic Programs (e.g., ECOTOWN, COR, etc.) and list of sites in regions where PTCP is located
2. Reports and analysis prepared by project for CCC, if any
3. Information on how results are being considered by CCC for their planning
4. CCC annual reports, strategic plans
5. MOU with DRRMC and other agencies towards convergence of CCA and DRRM

## ANNEX 3 – LIST OF KEY RESPONDENTS

### National Agencies:

AGENCY	NAME AND POSTION
CCC	<ul style="list-style-type: none"> <li>• Comm Noel Gaerlan, Commisioner</li> <li>• CCC Coordinator Kat Firmeza</li> <li>• Program Officer Alexis Lapis</li> <li>• Jocelyn Goco , former ASEC</li> <li>• Helena Gaddi , former Proj Officer</li> </ul>
PTCPP RAPID	<ul style="list-style-type: none"> <li>• Susan Jose, former CTA</li> <li>• Pykes Abdul, Tech Coordinator</li> <li>• Bayani Barcenas, Sr Project Staff and OUTPUT 2 Focal Point</li> <li>• Paul Kevin Villarico, M&amp; E</li> <li>• Marc Marcos, OUTPUT 1</li> <li>• Ana Francesca Cubos , OUTPUT 7- CBDRRM</li> <li>• Desa Payo , Tacloban Staff</li> <li>• Patricia Mae De La Cruz, OUTPUT 4- PLANS</li> <li>• Land use planning Consultant : Kyan Punongbayan</li> <li>• Catherine Cuba, Finance Officer</li> </ul>
OCD	<ul style="list-style-type: none"> <li>• Director Ana Cañeda, OCD 10</li> </ul>
HLURB	<ul style="list-style-type: none"> <li>• Central Office: Ms Emma Ulep</li> <li>• Reg 10: Dir Charito Ragaas</li> <li>• REg 10: Rey Niog, Staff</li> <li>• Reg 11: Dir Mauro Palma Gil</li> <li>• Reg 11: Jovita "Jovy" Solarte, Staff</li> </ul>
DILG	<ul style="list-style-type: none"> <li>• BLGD:Jenny Galoport, Deputy Division Chief , Project Dev.</li> <li>• Central : Sir Jom Balawing, Staff</li> </ul>
NEDA	<ul style="list-style-type: none"> <li>• Central ( ICC): Kathleen Capiroso-Coballes</li> <li>• Central ICC: Julius Casabal, _</li> <li>• NEDA 8: Ms Meylene Rosales</li> <li>• NEDA 10: Nila Cajarte, Sr Staff</li> <li>• NEDA 10: Jeffy John Tomarong, Sr Staff</li> </ul>
PAGASA	<ul style="list-style-type: none"> <li>• Central: Gine Niaveres, RAPID Team Leader</li> <li>• Central: Shiela Schneider</li> <li>• El Salvador Station: Ann Fortich, Station Head</li> </ul>
DENR	<ul style="list-style-type: none"> <li>• Reg 10: Peri Madridado, Information, Systems Analyst III</li> <li>• PENRO, Leyte: Ranulfo Arbiol, PENRO</li> </ul>
DA	<ul style="list-style-type: none"> <li>• Reg 8 Research Division: Rolando B Hipe, Section Chief</li> </ul>
UP Diliman	<ul style="list-style-type: none"> <li>• NRA Study: Dr. Ariel Blanco , Team Leader</li> </ul>

**PTCP- SENDONG AND PABLO LOCAL GOVERNMENTS, COMMUNITIES AND NGO PARTNERS CDO**

AGENCY	NAME AND POSITION
CDO	CPDC: Eng Sid Borja <ul style="list-style-type: none"> <li>• City DRRMO: Allan Portadilla</li> <li>• DRRM Consultant: Col. Mario Verner Monsanto</li> <li>• CDO River Basin Council: Hilly Ann Quiaoit</li> <li>• CDO River Basin Council: Eng Dexter Lu</li> <li>• CDO River Basin Council: Anegline Edyesca</li> <li>• Bagangay Captain of Iponan: Rudy G.Guligado</li> <li>• Balay Mindanao: Kalayaan Anjuli Aili Gatuslao</li> <li>• Balay Mindanao: Rochelle Y.Mordeno - Executive Director</li> <li>• Balay Mindanao: Donna Banaynal - Logistics officer, DREAM unit</li> <li>• Private Sector: Raoul Geollegue , Watershed /NRM Expert</li> </ul>
Iligan	CPDO Architect Gil Balandao <ul style="list-style-type: none"> <li>• CPDO Staff Boy Bordeus</li> <li>• City Council Staff- Ms Armien Alorro</li> <li>• City DRRMO – Mr Patrick Nunez</li> <li>• City ENRO : Atty Ranulfo Cenas</li> <li>• City ENRO staff Antoinette Obach</li> <li>• Bgy Hinaplanon: Kagawad Nestor Aquino</li> <li>• Mindanao State University( MSU) : Ma Theresa Ignacio</li> <li>• MSU: Darwin Manubag, Extension Dir</li> <li>• MSU: Karyl Marie Dagoc</li> <li>• MSU : Elizabeth Edam Albiendo</li> <li>• MSU: Daniel Mostrados</li> </ul>
Opol	<ul style="list-style-type: none"> <li>• MPDC_: Ely Ebuna</li> </ul>



### PTCP- PABLO: LOCAL GOVERNMENTS, COMMUNITIES AND NGO PARTNERS

AGENCY	NAME AND POSITION
Davao Oriental	<ul style="list-style-type: none"> <li>• PPDO Staff: Kent Dan Albite, Planning Eval Officer</li> <li>• PPDO Staff: Mark Kenneth Albite , Statistics Officer</li> </ul>
Compostela Valley	<ul style="list-style-type: none"> <li>• PPDO: Romeo B. Celeste</li> <li>• PDRRMO: Raul Villocino</li> </ul>
Baganga	<ul style="list-style-type: none"> <li>• DRRMC: Designate Dewey Clark</li> <li>• MPDC Designate: Eng Norman Sia</li> </ul>
Boston	<ul style="list-style-type: none"> <li>• MPDC: Floro Butulan</li> <li>• MDRRMO: Mr. Judith Castres</li> <li>• MPDO Staff: Sophia Marzo</li> <li>• Budget Office: Edlando Butulan</li> <li>• MDRRMC Staff: April Toregosa</li> <li>• MEO: Elden Bagiohanon</li> <li>• NGO Partner: Plan International Erwin Ocampina</li> </ul>
Cateel	<ul style="list-style-type: none"> <li>• MPDO: Lessa Vitor, Sr Staff</li> <li>• MPDO: Anthony Fernandez, Staff</li> <li>• Exec Asst: Nemesio Magno</li> </ul>
New Bataan	<ul style="list-style-type: none"> <li>• Mun Adminstrator: Sotero L. Vigil</li> <li>• MPDO Deputy: Lucrecia T. Lumen Polinar</li> <li>• MDRRMO: Lynne M Dollolasa</li> <li>• Ms Lovelle Trapa, former Enumrator Climex db, Teacher</li> </ul>

### RAPID YOLANDA LOCAL GOVERNMENTS, COMMUNITIES AND NGO PARTNERS

Leyte	PPDC: Vice of PPDC, Romeo B. Celeste Dr Marge de a Cruz, c/o University of the Philippines Tacloban VSU: Dr. Salas Media: Ms Lotie Salarda
Abuyog	MPDO: Rodulfo Cabias Cecelio Atienza - Punong Barangay, Brgy Buenavista, Abuyog Raul Alonzo - President, Buenavista Hydroponic Farmers Members of Village Association
Tolosa	MPDO - Cecilio Marilla MAO Zosimo G. Advincula
Mayorga	MPDC Marilyn Robedillo San Roque Village Association: see separate complete list
Bagalinga	Barangay Council /Captain( San Miguel ) : Rodito Degorio San Miguel MPA Association: See separate complete list
Basey	MPDC Ms Nelly Adel ENRO Corazon Tabucao

**DONOR AND IMPLEMENTING PARTNER**

DFAT	Ann Orquiza Francisco Morito
UNDP	Floradema Eleazar Imee Manal Michael Joseph Jaldon

**OTHER**

GIZ	Dolores Nuevas, NRM/ EBA advisor Shaleh Jose , Advisor
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### YOLANDA VILLAGE INTERACTION – BGY SAN ROQUE MAYORGA

	NAME	F	M	OFFICE/ POSITION
1	Escoro, Renalyn A.	X		SRA
2	William C. Sia		x	
3	Evangeline A. Morales	x		Member
4	Lizelda A. Lauzon	x		Member
5	Edita C. Mangantibo			Treasurer
6	Glezandra P. Nebora			CCC
7	Reny G. Gerona	x		VSU
8	Ernesto P. Monte Jr.		x	
9	Alma S. Sevilame	X		Secretary
10	Remedios L. Lopez	X		BHW
11	Rosario A. Salar	X		DOH, VSU
12	Myrna D. Legarto	X		
13	Jofel B. Lagaro		x	Brgy Chairman
14	Everida V. Catantan	X		Kagawad
15	Erma C. Superio		x	Brgy Secretary
16	Junney C. Reduban		x	Tanod
17	Arnel L. Calobao		X	
18	Giovanni P. Olandesia		X	Chief Tanod
19	Cristino Sinborio (?)			Kagawad
20	Poleampo Cartu (?)			Tanod
21	Camps, Danishlok		X	Tanod
22	Rafael G. Camayo Jr.		x	Association President
23	Ramie P. Inopia			Kagawad

### VILLAGE INTERACTION IN SAN MIGUEL BALANGIGA

	NAME	F	M	OFFICE/ POSITION
1	Raymonda A. Alas	x		Bookkeeper
2	Anita E. Lagobrio	x		Business Manager
3	Rosalina L. Elacion	x		Barangay Kagawad
4	Renato D. Fabillon		x	Pres (?)
5	Evelyn H. Alvariva	x		Brgy. Kagawad

6	Edna (?) S. Salazar			Brgy. Kagawad
7	Felipe M. Sabido			Vice President MPA
8	Rommel E. Hilaria		x	Brgy. Kagawad
9	Evencio A. Dagami, Jr.		x	M.P.A. Association Bantay Dagat
10	Maria Riniesa V. Salazar	x		Secretary
11	Carmen L. Hadoypa		x	Treasurer
12	Simplicio S. Simagbas		x	Brgy. Kagawad
13	Rosemarie C. Lacbayen	x		Brgy. Secretary
14	Luzardo P. Osario		x	Chief Tanod
15	Eddie Tercio		x	Batay Tagato
16	Rodito Detorio			Brgy . Captain
17	William G. Agner, Jr.			CCC – RAPID
18	Delia P. Pacad			CCC – RAPID
19	Kim Robedin			CCC – RAPID
20	Ed Queblatin			CCC – RAPID
21	Ka Neyon			CCC – RAPID
22	Glezandra Naboron			CCC – RAPID
23	Delia Pagad			CCC – RAPID
24	Anna Francesca Cubos			CCC – RAPID

## **ANNEX 4. KEY QUESTIONS**

### **RELEVANCE**

#### **QUESTIONS**

1. What was the underlying expectation of the project advocates at the project design stage?
2. What was the extent of consultation in the design stage to ensure relevance and feasibility?
3. Is there internal coherence between objectives, interventions and manpower and financial resource?
4. Could there have been better ways (e.g. other types of project) to address the key challenges that the project aimed to address? How would one redesign the project if one had the chance? What basic features would be changed and why?
5. Compared to other initiatives of similar nature, what is the niche (distinctive value) of the project to the attainment of your organization's key priorities or portfolio? Please cite examples.
6. How does project results support the advancement of emerging convergence policy for CCA and DRRM?
7. Are there local level conditions that demonstrate a potential direct link between project interventions and support for actual economic growth at the local levels?
8. 8. Has the project relevance gained new meaning among its stakeholders beyond what was planned?

### **EFFECTIVENESS**

#### **QUESTIONS**

#### **OVERALL**

1. Is the overall progress of various components on track to achieve outputs and outcomes?
2. What is the overall strategy being used at the ground level to capacitate LGUs to internalize the results of assessments and mainstream into plans?
3. What national level knowledge management mechanisms are in place to support project learning and its contribution to the body of knowledge on CC/DR convergence ?

#### **FOR NGAs**

4. To what extent has the assessment results and decision support tools been effectively used on the ground and what are the learnings?
5. To what extent has policies and regulations for mainstreaming been developed, communicated and piloted and what has been the gains and gaps so far?
6. What are the perceived benefits and issues of the assessment tools being used and what are potential implications for the strengthening of protocols? Are there opportunities for fine-tuning the tools and guidelines at this time based on actual implementation experience?

#### **For LGU/local stakeholders**

7. To what extent has local ecological knowledge been incorporated in the CC /DR assessments and mitigation actions?

8. To what extent has the communication of assessment results been adapted to the sociocultural context and how effective has the communication process been?
9. To what extent are the results of assessments factored in pilot sites for Risk Mitigation Actions and what has been the progress in implementation and institutionalization? Are there opportunities provided to encourage social learning among communities i.e. reflect on the value of the actions based on actual application or simulated applications to disaster situations ?
10. To what extent are the result of the assessments being factored in formal planning instruments such as CLUP, CDP and well as other support plans e.g. LCCA and DRRM plans? What challenges are being encountered and how has this been overcome?
11. What CC /DR sensitive livelihoods and risk transfer mechanisms are in place or are being contemplated? What is the progress and learnings so far?
12. What local knowledge management mechanisms are in place to support community level actions as well as local policy and strategy formulation?
13. Are there instances where unique, location - specific governance strategies/styles are being employed or being contemplated, to install a CC/DR sensitive culture in the locality?
14. To what extent have the views of women , IP, youth and other marginalized sectors been considered in incorporating assessment results in local plans
15. What would be ideal final project steps in the remaining project period to consolidate gains and the tapping of opportunities to towards attainment of outcomes
16. Where are the emerging examples of good practices?
17. What lessons can be drawn regarding effectiveness for other similar projects in the future?

## **EFFICIENCY (INCLUDING M&E)**

### **QUESTIONS**

1. Are project support interventions adequate and delivered in a timely manner?
2. To what extent is results- oriented, adaptive management exercised by the Project Board and the Project management? How is risk management addressed?
3. Is the ME system adequately planned, funded and implemented to capture progress, early results, and issues and adequately processed to support adaptive management?
4. Are financial resources utilized efficiently to support physical targets?
5. Are mandated procurement and financial management protocols being observed while responsiveness to field needs maintained?
6. Is project organization and management (including personnel and consultant management) adequately configured to perform its functions?
7. How has the partnership with NGAs and LGUS been managed
8. To what extent were local manpower resources tapped?

## **IMPACT**

### **QUESTIONS**

1. To what extent have participating LGUs actually enforced plans developed so far including spreading the good practices from pilots?

2. Are there early signs of improved livelihoods, enforcement of CC/DR proofed measures in public works design, and environmental management, educational plans etc.? that resulted from plans that factored CC/DR risk assessment results?
3. To what extent has project experience and learnings been incorporated in inter LGU dialogue, as well as in the policy planning processes within in CCC and in partner agencies?

## **SUSTAINABILITY**

### **QUESTIONS**

1. To what extent are relevant practices being incorporated in LGU long term local investment plans and organizational structure?
2. What is the nature and intensify of participation of other sectors in planning and implementation – e.g., civil society, business , academe etc.
3. Based on progress so far, what is the level of LGUs readiness to secure support from the PSF or GCF and other funding windows? What needs to be done to improve the LGU leveraging capacity?
4. How are LGUs and support line agencies interacting in order to ensure post project technical support and feedback to LGU technical needs
5. What mechanisms actually exist for identifying and incorporating the project's contributions to the CCC's assessment and planning processes in support of policy and strategy formulation

## TRACER STUDY- PROCESS GUIDE

Part of the Mid Term Review and Evaluation (MTRE) of PTCP – RAPID is the conduct of Tracer Study. As the title of the study implies, it is process of “tracing “what happened to the knowledge and skills learned by participants to the trainings conducted under the Project.

The key objectives of the Tracer Study are to document (a) the changes in knowledge and practice of individuals, organizations, and communities who participated in the capacity building activities of the project; (b) the extent to which the said changes have contributed to emerging project impact; and (c) the enabling factors that facilitated the use of knowledge (UNDP 2016. TOR).

This study will be done for at least six municipal LGUs and at least three communities covered by the project. This study will, among others, be an expanded version of the topics covered under the MTRE parameters on Effectiveness and Sustainability.

In an LGU, two FGDs (2 hours each) will be conducted among a sample of the participants who attended selected specific training session (or cluster of training sessions).

- The first FGD would be among LGU participants to a training session /cluster of training sessions
- The 2nd FGD would be among community participants to a community oriented IEC /training event.

A facilitator will ask questions to be able to generate information that answers the above 3 objectives. The following process will be followed by the MTRE consultant in close consultation with PTCP RAPID officers and LGU focal points.

### A. PRE- FGD with the LGU focal person (1 hour session). This will be a discussion with the LGU focal person for PTCP- RAPID

1. **Determine the training theme** and specific training session (or cluster of related sessions) to be studied from among the list of topics covered by the capacity building initiative of the project. This determination will be made for two levels where FGD will be conducted: a) among LGU staff who participated in training courses and b) among community members who were the subject of IEC cum training type of activities were conducted.
2. **Identify the set of knowledge and skills that the chosen training module aimed to strengthen** as reflected in the training module /agenda.
3. **Review available training reports and obtain general feedback from the LGU focal point** on the strengths and weaknesses of the training session. The focal point will be asked for his observed trends on how the knowledge from the training are being used so far.
4. **Apply the criteria** for selecting participants to be consulted for the subsequent FGDs.

Level where training /learning event was conducted	Composition of FGD participants and criteria for selecting FGD participants
LGU level	<ul style="list-style-type: none"><li>• At least 30 % of participants ( or at least 5 members )</li><li>• LGU and non LGU professionals, ( including staff of other projects)</li><li>• Involved in CCA. DRRM work</li><li>• Preferably a regular staff , if government</li><li>• Equal distribution of male and female to the extent possible</li></ul>



Community	<ul style="list-style-type: none"> <li>• At least 5 community members coming from the village leadership, women, youth and other key sectors</li> <li>• Involved in development work</li> <li>• Equal distribution of male and female, to the extent possible</li> </ul>
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5. **Review literature about knowledge level of participants prior to the training.** Establish the baseline information through a review of available Training Needs Analysis (TNA) for the chosen training topic. If this is not possible, ask the LGU focal point to recall the level of knowledge and skills compared to specified competencies or desired training related behavior as specified in the training plan
6. In the process of conducting the above, determine also other similar trainings received recently and attempt to identify the distinctive contribution of project supported trainings.
7. Prepare for and convene special and separate FGD sessions :
  - among selected LGU training participants
  - among representatives of pilot communities ( as appropriate in the specified LGU )

## **B.CONDUCT OF THE FGD PROPER (2 hour session with training participants)**

In each FGD, the MTRE consultant will administer questions. The following is the basic process to be used for the FGD for LGU staff. This process flow also will be adapted to community level FGD.

1. **Context setting**
  - a. Discuss the purpose and significance of the session
  - b. Assure that it is not a staff performance evaluation
  - c. Discuss the process
2. **Establishing Participant Profile and Baselines**
  - a. Validate secondary information on training profile in terms of education and work
  - b. Facilitate a collective recall of training/learning event and training methods used (sample of training design to be shown)
  - c. Using the training design objectives (including behavioral objectives) as basis, participants recall their baseline knowledge , attitude and practices prior to the interventions
  - d. Recall similar types of training obtained from other projects and determine the distinctive value of the training provided by the project
  - e. Recall the post training feedback that were provided by participants immediately after the training
3. **Knowledge Utilization profile**
  - a. Through as seatwork and using a checklist, each participant will be asked to identify specific instances that they have used the knowledge and skills gained to help them perform certain relevant task (official or non-official). The following are potential categories :
    - As input to local planning or local policy formulation
    - As input to recommendations for strengthening organization's operating system
    - As input to information campaigns training, education and research
    - As input to enforcement of regulations at the ground level
  - b. Further analyze selected illustrative cases of application of knowledge and tools - by selected participants of the FGD ( this may be done on a one on one basis )

#### 4. Diffusion Process

- a. Identify and discuss cases of how participants shared their knowledge and skills to others

#### 5. Enabling and constraining conditions

- a. Identify what conditions enabled or constrained participants to apply their new found knowledge and skills. They will also identify recommendations for improving the training designs and how to establish enabling conditions. Such conditions will include training and non-training oriented ( e.g. organizational ) measures.

An analysis of above discussions will be incorporated in a special section in the MTRE report. This will include a discussion of possible correlation between participant profile with the utilization profile and recommendations for future training exercises.

### ANNEX 5. RATING TABLES

The following are the constituent rating tables to comprise the rating of the project at midterm

**Table 1. Summary of Progress towards Results**

Project outputs	Indicators	Baseline Level	End of project targets	Mid-term Level & Assessment	Achievement Rating	Justification for Rating
Objective	Indicator (if applicable)					
Outcome 1	Indicator 1 Indicator 2					
Etc.						

**Table 2. Respective rating system for Progress, Effectiveness, and Efficiency**

Rating	Description
Highly satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”
Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
Moderately satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings
Moderately unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings
Unsatisfactory	The objective/outcome is expected not to achieve most of its end-of-project targets
Highly unsatisfactory	The objective/outcome has failed to achieve its mid-term targets, and is not expected to achieve any of its end-of-project targets

### 3. Rating for Sustainability

Rating	Description
Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Mid-term review
Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

## ANNEX 6- PTCP RAPID MTR: PROGRESS TOWARDS OUTCOME - RATINGS

The following is a description of the ratings for the Midterm review in terms of Progress towards Outcome. Ratings are provided at the end the individual table prepared for each component.

### OUTPUT 1. CC/DRR ASSESSMENT

SENDONG	PABLO	YOLANDA
<p><b>Output 1:</b> Climate/disaster risk vulnerabilities of CDO and Iligan cities, including all the municipalities around the CDO river and Mandulog river basins Assessed.</p> <p><b>Baseline:</b> Some hazard maps available, e.g. 1:50,000 for landslides.</p> <p><b>Indicators:</b> # of risk maps and V and A reports produced.</p>	<p>Output 1:</p> <p>Note; No equivalent output statement in PRODOC.</p> <p>Refer instead to both PTCP original document and the document entitled <i>“Support to the long term recovery of the Provinces of Compostela Valley and Davao Oriental under Project Climate Twin Phoenix</i>, The 2<sup>nd</sup> document focuses on CLUP preparation using CC /DRR information.</p> <p>No baseline and indicators indicated.</p>	<p><b>Output 1.</b> Climate/disaster risk and vulnerability assessment(s) produced as a basis for “climate/disaster proofing” future development in the target areas. Incremental work will involve enhancement of the higher scale (1:50,000) maps to 1:10,000 for use by the LGUs in their risk based CLUPs and CDPs. The multi-hazard maps are expected to be refined and upgraded to risk maps<sup>7</sup>. Impact models, specifically the storm surge model for the bay will be validated and enhanced. This output will also produce an exposure database<sup>9</sup> which can be used for the risk (vulnerability) analysis and mitigation and plan enhancement purposes.</p> <p>No baseline and indicators indicated.</p>

<ul style="list-style-type: none"> <li>• <b>CC adjusted flood hazard maps</b> (FHM) done for CDO and Iligan and actually used extensively in Contingency Planning (CP) and FEWs flood drill.</li> <li>• Both the city governments appreciate the FHM and the information and are sharing with other agencies like DPWH.</li> <li>• However, the uptake of FHM has not been optimal among the inter-LGU river basin /watershed initiatives e.g.; Mandulog ( Iligan) Watershed secretariat (City ENRO ). Inadequate discussion in Cagayan de Oro River basin area. ( Note - This is reflected in the rating for Output 2.</li> </ul>	<ul style="list-style-type: none"> <li>• Progress of FHM presented to local stakeholders but final output not yet delivered (UP waiting for results of PAGASA peer review). LGUs are waiting for the results. One LGU (Boston) appears to have completely forgotten about the FHM.</li> <li>• The inter-LGU Eco-town project supported by ADB, CCC &amp; SEARCA are looking for this output promised earlier for which they no longer hear about.</li> </ul>	<ul style="list-style-type: none"> <li>• Late MOA signing for FHM development due to earlier disagreement among three prospective partners ( PAGASA, UP and VSU).</li> <li>• PAGASA's preparations for FHM for the 3 sites were stalled by internal procurement problems. Negotiations for the 9 other sites by UP NIGS still ongoing. Storm surge and wind will be part of NIGS.</li> </ul>
<ul style="list-style-type: none"> <li>• <b>NRA</b> not targeted</li> </ul>	<ul style="list-style-type: none"> <li>• NRA not targeted</li> </ul>	<ul style="list-style-type: none"> <li>• NRA ( UP) – analysis of field findings still ongoing due to observed deficiencies and delayed by at least 6 months. Requires peer review to clarify gaps and suggest rectifying options. Gaps appear rooted to lack of control of UP based leadership on the members of the NRA team.</li> </ul>
<ul style="list-style-type: none"> <li>• <b>ClimEx.db</b> information used in conjunction with CC adjusted FHM and extensively in CP.</li> </ul>		<ul style="list-style-type: none"> <li>• Experience from application in Sendong and Pablo were identified</li> </ul>

<ul style="list-style-type: none"> <li>MSU IIT piloted a system for enhancing its application at the barangay level.</li> </ul>	<ul style="list-style-type: none"> <li>Field surveys completed but still undergoing processing by <b>ClimEx.db</b> partner (Diliman Labs). Many application issues raised by LGUs not fully addressed. A PLGU proactively provided interim solutions to application issues (e.g. COMVAL).</li> <li><i>ClimEx.db work is moving slowly due to LGU manpower constraints, and cessation of proactive monitoring and troubleshooting of issues.</i></li> <li>Some LGUs have decided to use raw data for their immediate local planning needs ( e.g. CP planning in Boston and New Bataan There is a clamor among LGUS to unlock the system so that they could adapt the same to their planning needs (additional data sets to be covered).</li> </ul>	<p>and factored in planning application of <b>ClimEx.db</b> in Yolanda.</p> <ul style="list-style-type: none"> <li>Geo-tagging largely completed in the 9 sites but populating these are withheld pending finalization of the APP. Meantime LGUs are concerned of losing the trained survey workers to other jobs.</li> <li>CCC awaits decision of DLSU – Angelo King Foundation to allow the migration of CBMS system and data into <b>ClimEx.db</b> thereby institutionalizing the process as part of the regular CBMS process done by LGUs and administered by DILG.</li> </ul>
	<ul style="list-style-type: none"> <li>MGB and other agencies have been proactive in making available updated hazard maps to LGUs which are being used in local planning pending availability of PTCP products</li> </ul>	
<ul style="list-style-type: none"> <li><b>CDRA</b> done for Opol as part of methodology development for mainstreaming CCA /DRR in CLUP</li> </ul>	<ul style="list-style-type: none"> <li>CDRA values have not been developed in the LGUS concerned due to unavailability of finalized <b>ClimEx.db</b></li> </ul>	<ul style="list-style-type: none"> <li>No CDRA done yet .Information that serve as inputs for CDRA ( NRA. GHM</li> </ul>

guidelines. This became the basis for the development of the Supplemental Guidelines for mainstreaming CCA/DRR in CLUP.	data. All LGUs indicate that a 6 <sup>th</sup> module in the CLUP training module was not yet conducted, thus another reason for not doing CDRA.	and ClimEx.db) are still being collected/analyzed.
<b>Rating : Satisfactory</b> Good progress in terms of introducing risk information in contingency planning (CP ) and to some extent into CLUP.	<b>Rating: Unsatisfactory</b> Since the Project is considered de facto completed and there is currently no proactive effort to resolve issues, then the targeted CC information necessary for analyses can no longer be expected to be achieved . This rating however can be revised at the final evaluation, if the project invests in consolidation ( addressing gaps) work in the Pablo Area.	<b>Rating: Moderately Unsatisfactory</b> Important risk information are being generated for local planning but cannot yet be accessed by LGUS for reasons cited above, causing untold delays on other project components.

## OUTPUT 2. PRIORITY MITIGATION ACTIONS IMPLEMENTED - REVISED PROGRESS AND TENTATIVE RATING

SENDONG	PABLO	YOLANDA
<b>Output 2:</b> Priority climate/disaster risk mitigation actions for priority cities and municipalities around the Cagayan de Oro and Mandulog river basins implemented.	Output 1:  Note; No equivalent output in PRODOC.  Refer instead to both PTCP original document and the document entitled "Support to the long term recovery of the Provinces of Compostela Valley and Davao Oriental under Project Climate Twin Phoenix, The 2 <sup>nd</sup> document	Output 2. Priority disaster mitigating measures such as community-based and managed early warning systems (CBMEWS), contingency plans, re-engineering standards and Other resilience building interventions developed and implemented.  No baseline and indicators indicated.

<p><b>Baseline:</b> CBMEWS non-existent for target sites. Integrated C/DRM Plans unavailable for target areas.</p> <p><b>Indicators:</b> % increase over baseline in # of CBMEWS established and operational in priority sites; % increase over baseline in preparedness capacity of communities in target areas b end of project's.</p>	<p>focuses on CLUP preparation using CC /DRR information.</p> <p>No baseline and indicators indicated.</p>	
<ul style="list-style-type: none"> <li>City wide CPs were developed and drills done for CDO and Iligan using CC adjusted FHM. Barangay level drills conducted by village councils were further done in most affected barangays in both cities. Village leaders in the most historically affected areas attest better preparedness.</li> <li>FEWS (de facto CBMEWS) were established for both CDO and Iligan (PAGASA). The system is coordinated by the City LGUs with participation by village councils. However concerns exist recently</li> </ul>	<p>Not planned for PABLO, The following is for information only</p> <ul style="list-style-type: none"> <li>At least one LGU (Baganga Davao Oriental) however used raw ClimEx.db prepared in 2 LGUs to prepare its CP, This was not part of PTCP assistance.</li> <li>A few villages were assisted by NGOS to prepare their CBDRM</li> </ul>	<p>EGM discussion on CBDRRM has include discussion on CPS. Research for studies on FHM, Storm surge and RIL still under negotiation (PAGASA and UP NIGS – reported also under Output 1).</p> <p>But no actual LGU specific nor inter LGU (bay wide) CP done yet. Exploratory Discussions for bay wide approach started with NEDA Region 8 office but has not progressed in substance. Provincial LGU is not yet involved in the discussion</p>



<p>re lax field equipment maintenance by LGUs</p> <ul style="list-style-type: none"> <li>• No inter-LGU (watershed) CP done</li> </ul>		<p>Inter LGU Evacuation center – TOR prepared and , inception report submitted ( no report received by MTR reviewer but can review )</p> <p>Engineering standards- no plans yet</p>
<p><b>Rating: Satisfactory</b></p> <p>Maintenance protocols of FEWS should have been clearly firmed up and put to initial practice before winding up. This need immediate attention so as not to worsen. CP planning</p>	<p><b>Rating - NA</b></p>	<p><b>Rating: Moderately Unsatisfactory</b></p> <p>There are no clear plans yet for the critical sub outputs (especially for the LGU specific, inter LGU CP and EWS ) although negotiations for research inputs by PAGASA and UP NIGS have is ongoing. The TOR for the evacuation center and inception report has been reported (subject for review) Initial discussion with NEDA has not yet progressed while the PLGU has not been involved yet.</p>

### OUTPUT 3. AWARENESS AND CAPACITY BUILDING (REVISION IN YOLANDA RAPID)

SENDONG	PABLO	YOLANDA
<p><b>Output 3:</b> Awareness of general populace on C/DRM and competencies of key local actors in target cities and municipalities around the CDO and Mandulog river basins on mainstreaming climate change adaptation and disaster risk management into local planning and regulatory</p> <p>Processes enhanced.</p> <p><b>Baseline:</b> Awareness level of general populace in target areas Undetermined. Some LGUs with competency on preparedness and response but not on Climate/disaster risk, in general.</p> <p><b>Indicators:</b> % increase in level of awareness of general populace in target areas; % increase over</p>	<p>Unnumbered output : IEC on Geo-hazard Assessment of the Municipalities affected by Typhoon Pablo</p>	<p>Output 3. Competencies of local governments and critical partners improved to deal with the disaster risks of multi-hazards, including those from climate change and general level of awareness and competencies of vulnerable communities and other Local stakeholders increased to deal with disaster and climate change risks.</p>

baseline competency of LGUs and partners(including sectoral and risk agencies) on mainstreaming C/DRM into local planning and Regulatory processes.		
No capacity needs assessment done; nor baselines available. No indication of a capacity building strategy.	No capacity needs assessment done.  No baselines are available. No indication of a capacity building strategy	A capacity needs assessment (CNA) was done in Mar 2015 for RAPID LGUs vis a vis expected outputs. The baselines indicate presence or absence of LGU capacity to co-produce the project deliverables (CPs, plans etc.) and strategies for capacity building.
<ul style="list-style-type: none"> <li>• “CC101” modules were conducted and they covered a wide range of stakeholders (CSOs, LGUs, village leaders).</li> <li>• Academe and NGO partners - XU and IIT /MSU and Balay Mindanao were tapped to conduct the trainings. They also conducted follow on work for their own initiatives at grassroots levels (follow up modules appear to be mostly DRR oriented as this is the one more immediately understood, locally).</li> </ul>	NA	Orientation for media practitioners provided.

<ul style="list-style-type: none"> <li>Subsequent, one time “IEC sessions” for technical studies also done by respective partner organizations (UP, PAGASA etc.). These were primarily technical orientations provided by technical specialists.</li> </ul>	<p>IEC sessions” for technical studies also done by respective partner organizations (UP, PAGASA etc.). These were primarily technical orientations provided by technical specialists.</p>	<p>IEC sessions” for technical studies also done by respective partner organizations (UP, etc.). These were primarily technical orientations provided by technical specialists.</p> <p>There are not sufficient training events conducted yet that would utilize the results of the risk assessment.</p>
<ul style="list-style-type: none"> <li>CP preparation and Drills supported by CC- FHM served as helpful IEC for village constituencies. Village leaders in most affected areas note high readiness level of populace. FHM maps are kept in village halls though displayed only when needed to protect from weather elements.</li> </ul>	<p>NA</p>	<p>Preparatory work for CBDRRM planning through the RRI sessions served as key awareness building process for communities. Awareness building for communities allocated major focus on specific resilient livelihood activities. In the case of conduct of CBDRRM , the agenda of training courses did not reflect training assessments.</p>
<ul style="list-style-type: none"> <li>One LGU (Opol) underwent formal training on CLUP and this served to pretest guidelines. LGU staff (Planning and DRM staff) interviewed in 3 LGUs demonstrate good awareness of the worsening effect of CC on DR and are applying knowledge in long term plans. However participation of other sectoral staff ( ENR , agriculture ) is minimal.</li> </ul>	<p>HLURB conducted training for LGU on CC.DRR sensitive CLUP guidelines.</p> <p>The training series prematurely stopped due to non-availability of ClimEx.db data and recent CC adjusted hazard maps.</p>	<p>The CCC is co planning training interventions with HLURB and DILG to streamline the topic coverage – one set of modules on CDRA as precursor for courses for CLUP, CDP, LCCA and LDIP /AIP. Current training initiatives by other donors (GIZ, JICA ) also being looked into to avoid duplication.</p>

	Inconsistent connectivity and inactive links prevented several LGU staff from utilizing Links suggested by CLUP guidebooks	
<ul style="list-style-type: none"> <li>NEDA initiative – training sensitive to CCA DRR, was provided for local planners taking the Environmental planning board.</li> </ul>		
<ul style="list-style-type: none"> <li>League of Municipal Planners in Region 10 are involved in helping spread the new guidelines for mainstreaming CC/DRR in CLUP planning processes.</li> </ul>		
<p><b>Rating: Satisfactory</b></p> <p>Public awareness has been increased especially in the most affected areas from previous disasters. Two regional universities proactively conducting follow up training for their target audience in their own project areas affected areas of previous disasters. LGU staff awareness of effect of CC on DR worsening. Regional HLURB have included training plans in their regular training program.</p>	<p><b>Rating: Moderately satisfactory</b></p> <p>LGU staff awareness increased for Cc/DRR sensitive CLUP, but lack experience in actual use of risk data to produce risk analysis suitable for planning purposes.</p>	<p><b>Rating: Moderately satisfactory</b></p> <p>Good pre training baseline assessments conducted though its use as baseline has to be optimized. Public awareness started in RRI sites as prelude to CBDRRM planning. Investments made on local media PR actioners though follow up is needed. Training direction firmed up on sensitizing local planning processes with DRR/CCA. However the pace of actual training implementation for LGU competency is a challenge.</p>

#### OUTPUT 4. CC/CDRM MAINSTREAMING IN LOCAL PLANS

SENDONG	PABLO	YOLANDA
<p><b>Output 4:</b> C/DRM mainstreaming demonstrated in local land use/development plan(s) and regulatory processes in CDO and Iligan cities and other municipalities around CDO river Basin and Mandulog river.</p> <p><b>Baseline:</b> Existing land use/development plans do not reflect climate/disaster risks and risk management options</p> <p><b>Indicator(s):</b> % increase over baseline of plans/regulatory processes exhibiting risk based Strategies.</p>	<p>Unnumbered Output – Preparation of CDR Sensitive CLUP.</p> <p>No baseline and indicators indicated.</p>	<p>Output 4. DRR/CCA mainstreamed into land use, socio-economic plans and investment</p> <p>Programs at the national and local level. Under this output, all target LGUs will be provided technical assistance in formulating/updating their respective plans, utilizing the methodology as prescribed by HLURB through the Supplemental Guidelines on Mainstreaming Climate and Disaster Risks in the CLUPs, which was produced under Project Climate Twin Phoenix.</p> <p>No baseline and indicators indicated.</p>

<p><b>CLUP</b></p> <ul style="list-style-type: none"> <li>• Iligan City LGUS used earlier CLUP guidebook (with CC /DRR dimension) but not the CLUP supplemental guidelines. The latter came at tail end of overall project interventions</li> <li>• Cagayan de Oro was not able to use the Supplemental guidelines for CLUP but are being considered instead in the updating of the zoning plan</li> <li>• Opol completed CLUP with completed CDRA (with HLURB and CCC consultant assistance)</li> </ul>	<ul style="list-style-type: none"> <li>• LGUs concerned availed of project funded training by HLURB supposedly; for the CLUP with CDRA guidelines. But they were not able to use the CDRA method in supplemental guidelines due to unavailability of expected information (ClimEx.db, FHM etc.)</li> <li>• Regional HLRUP Reports do not seem reflect substantive assessment of the gaps in the practical application of the guidelines for CC/DRR CLUP guide – partly because of missed opportunity to apply CDRA process</li> <li>• Provincial LGUs of Davao Oriental and COMVAL are actively involved in supporting CLUP processes</li> <li>• HLURB staff interviewed appear confident with the CLUP guidebook containing DRR/CCA but could not yet say the same about the supplemental guidelines. Also concerned about absence of timely CC information</li> </ul>	<ul style="list-style-type: none"> <li>• Plans are underway for HLURB to conduct a new round of trainings for 12 LGUs in Yolanda</li> </ul>
<p><b>CDP, LCCAP, etc. NA</b></p>	<p>NA</p>	<p>Plans underway for collaboration with DILG /LGA to develop guide and help 12 LGUS</p>

		<p>At CDP formulation stage, there is higher need for knowledge of CC adjusted technical options for resource management important for livelihoods. So far, DENR, and DA engagement has been very limited and LGUS concerned express some apprehensions of CCA capacities of local offices.</p> <p>This may also be an equally important concern to attend to (at least to facilitate quality discussion on the technical options to consider as the substance of the CDP /LCCAP.</p>
<p><b>Rating: Moderately satisfactory</b></p> <p>CCC /DRR sensitivity are being factored in CLUP and zoning plans, Only one of the 3 planned LGUS have actually used the CRA guidelines for using quantitative risk information for planning.</p>	<p><b>Rating: Unsatisfactory</b></p> <p>The draft CLUPs being prepared using quantitative CC DRR information are still incomplete and there no apparent effort to address the accessibility of LGU, HLURB, PLGU and other local actors to important available ClimEx.db and CC adjusted flood hazard information. A proactive program has the potential to produce a more favorable rating the final evaluation of the PTCP</p>	<p><b>Rating: Moderately Unsatisfactory</b></p> <p>The CCC is co planning support interventions with HLURB and DILG. These also include CDP guideline</p> <p>However the pace of actual implementation of such plans is slow and threatens the timely delivery of planned outputs</p>



**Output 5** Socio-economic resilience of the poor and most vulnerable in are enhanced.

<p><b>Output 5:</b> Socio-economic resilience of the poor and most vulnerable in Cagayan de Oro and Iligan cities enhanced.</p> <p><b>Baseline:</b> Existing livelihoods of affected populace not “climate/disaster proofed”; Affected populace do not have risk sharing safety nets.; Existing gender sensitive livelihoods</p> <p><b>Indicator(s):</b> 30% increase over baseline of “climate/ disaster proofed livelihoods; # of risk sharing/transfer mechanisms established and accessible to the poor population of affected areas; # of gender sensitive livelihoods established .</p>	<p><b>No similar plans here</b></p>	<p><b>Output 5.</b> Risk sharing/transfer mechanisms 23 developed and showcased 24. Recognizing, there is no such thing as zero risk and no amount of disaster risk reduction/climate change adaptation will eliminate the possibility for disasters, Output 5 will, therefore, work on risk sharing/transfer mechanisms for the poorest and most vulnerable, especially those who are dependent on natural resources in the study area such as the fisher folk and small farmers.<sup>25</sup> This work will also be done in coordination with other development partners</p>
<p><b>This has not taken off</b></p>	<p>NA</p>	<p>This has not taken off, nor are plans underway</p>
<p><b>Rating : Cannot be reviewed</b></p>	<p>NA</p>	<p>Rating: Cannot be reviewed</p>

# **OUTPUT 6. LOCAL KNOWLEDGE MANAGEMENT SYSTEM**

SENDONG	PABLO	YOLANDA
<p><b>Output 6:</b> Local knowledge management system for communities around the CDO and Mandulog river basins established.</p> <p><b>Baseline:</b> # of relevant knowledge systems on C/DRM undetermined.</p> <p><b>Indicator(s):</b> # of KM system(s) on C/DRM</p> <p>Established/enhanced.</p>	<p>Unnumbered output : Knowledge management – ‘Policy study that may be embedded in Guide Note on CC smart Recovery program</p> <p>No baseline and indicators indicated</p>	<p><b>Output 6.</b> Knowledge management on Disaster Risk Reduction and Management and Climate Change Adaptation developed and implemented</p> <p>No baseline and indicators indicated</p>
<p>No clear overall plans and dedicated reporting in place</p> <p>No KM systems on CDRM established or enhanced</p>		<p>At community level, tapping local knowledge was practiced in one interviewed sites in their CBDRRM – RRI planning (Yolanda)</p>
<p>Some notable actions so far</p> <ul style="list-style-type: none"> <li>• Good quality IEC materials for planners produced on CC adjusted FHM and FEWS</li> <li>• The physical hardware aspects of KM were achieved (providing</li> </ul>	<p>No related activities reported</p>	

<p>computers, portable hotspots to LGUs etc.)</p> <ul style="list-style-type: none"> <li>• League of LGU Planners in Sendong contribute to awareness sharing</li> <li>• Sendong based partner (MSU IIT) was tapped to help Yolanda with planning their geotagging</li> </ul>		
<ul style="list-style-type: none"> <li>• About CRISP</li> <li>• Good, interagency consensus and staff work at start up implementation</li> <li>• Actual contributions by agencies tended to decline after that, partly due to staff study leave but plans underway to resume 2017. NEDA continues to populate semestrally</li> <li>• LGUs appear to be able to access more updated information from recently more proactive agency programs (MGB etc.)</li> <li>• NEDA 10 produced 3 policy notes for RDC members about effect of CC on different sectors (e.g. transport etc.)</li> <li>• NRO director is a CC/DRR champion</li> </ul>		

<p><b>Rating:</b> Moderately satisfactory</p> <p>The production of documented experience in FHM and FEWS was a very good start of a KM process but this was not sustained. The policy notes for Region 10 RDC are noteworthy.</p>	<p><b>Rating:</b> Unsatisfactory. No clear plans, reports and actual activities observed related to KM. IEC materials produced are reviewed under Output 3 above.</p>	<p><b>Rating:</b> Unsatisfactory. No clear plans, reports and actual activities observed related to KM. IEC materials produced are reviewed under Output 3 above/</p>
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#### OUTPUT 7. RAPID - YOLANDA CBDRRM

SENDONG	PABLO	YOLANDA
NA	NA	<p>From Amendment 3- sgd July 2014</p> <p>(1) Consensus developed among By LGU and SCO stakeholders on strategic approach to disaster avoidance and mitigation and long term adaptation to CC; (2) Competencies on CB DRRM enhanced (3) BWS installed and monitored(?) (4) BDRRMC established and (5) Knowledge product (toolkit) developed.</p>
		<ul style="list-style-type: none"> <li>150 CBDRRMs (CC-sensitive) are being planned. The process is being jumpstarted in 12 pilot sites with the incorporation of Rapid Resource Initiative (RRI), a support service to affected communities to undertake the initial phases of their CBDRRM with an opportunity to undertake livelihood oriented CCA action.</li> <li>A CBDRRM framework has been agreed with key stakeholders (EGM). CBRRM orientation</li> </ul>

		<p>was provided to RRI barangays concerned. Orientation for media practitioners was also provided.</p> <ul style="list-style-type: none"> <li>• Of the 12 barangays covered 5 have reporting promising performance, 3 have major problems while 4 are in between.</li> <li>• Two of 3 RRI assisted villages interviewed are testing technical feasibility of vegetable gardening with encouraging initial technical results. However, the economics, organizational and institutional arrangements not yet considered at this stage and there are no clear plans for that.</li> <li>• The 3<sup>rd</sup> RRI Village which is working on MPA and mangrove protection demonstrate interest and capacity to sustain the process of establishment.</li> <li>• The next step of formulating the CDRRM appear far from the agenda of villages concerned. The TOR for NGOs that would provide catalytic support for actual conduct of CBRRDM is undergoing a relatively long revision process.</li> </ul>
		<p><b>Rating: Moderately Satisfactory</b></p> <p>Shortcomings notwithstanding, RRI was able to engage stakeholders. While the main successor</p>

		activity, development of CBDRRM, is already set in proper direction (with planned engagement of OCD and DRRM NET). However the slow pace of putting this on the ground may affect the prospects of RRI success and attainment of large outputs with good quality. Speedy start up is needed.
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