

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

**(PCTP-RAPID)**

**Project Terminal Evaluation**

**(March-August 2019)**

Philippines

**FINAL REPORT**

**August 2019**

## Acknowledgment

The completion of the Terminal Evaluation of the PCTP-RAPID Program is an act of collaboration towards saving a part of the planet from future devastations caused by disasters, both natural and human made and the impacts of climate change.

The program is complex given the scope of the issues to be addressed and the multitude of stakeholders who need to be involved in the process of capacity building, formulation and institutionalization of DRRCC-oriented policies, plans and operations. It involved the communities, especially the poor who are, most often, the worst affected by disasters and the impacts of climate change. It also involved the selected LGUs in Regions VIII, X and XI, the national agencies and some universities.

While I join the communities, LGUs, national agencies and universities in this act of gratitude to DFAT and UNDP for financing, administering and implementing the program, I also express my gratitude to them for their cooperation and support during the course of the evaluation.

The evaluation was a big task for a lone evaluator but not formidable as the program was inspiring in its noble purpose and objectives and the stakeholders' cooperation and dedication lightened the load.

The Philippines is one of the most vulnerable country to natural disasters; and if I may add, to human-caused disasters, as well. The country, as noted in several literature has well-founded legislations on almost any aspect of governance. It is also noted that there had been and till now, un-funded or insufficiently-funded legislations. Governance and enforcement of legislations had been recurring issues. As I was drafting the evaluation report, the Philippines was also declared as the country to be worst affected by climate change phenomena. Also, in the social media, the Kiribati Republic may no longer be in existence in a few years due to climate change impacts. In the Philippines, an archipelagic country of 7,100 islands, the specter of losing some islands and the tremendous losses in lives and properties is not a remote possibility.

While, officially, I was the lone contracted evaluator, the evaluation was in fact, a symphony or orchestra of the stakeholders. The evaluation could have not been concluded without the valuable cooperation and assistance of the leaders and officials of the communities, the LGUs, the national agencies, academes, the PMU, UNDP and DFAT. I would be remiss if no recognition of UNDP PMU which did efficiently all the arrangements, is made.

It was a task the stakeholders did for HUMANITY and the FUTURE.

# Executive Summary

## ***Introduction***

The Project Climate Twin Phoenix – Resilience and Preparedness toward Inclusive Development (PCTP-RAPID) Program was expected to be completed by June 30, 2019 and the terminal evaluation was conducted from March to August 2019 based on the Terms of Reference and no cost extension due to delayed submission of comments by concerned stakeholders. It followed the guidelines of relevant organizations such as UNDP, UNEG, DFAT, OECD and others. The **purpose** of the evaluation is to assess PCTP- RAPID Program's value additions and how its results can be adopted and sustained by national and subnational government entities, communities, civil society groups, and other stakeholders. A mid-term evaluation of the program was conducted in 2016. The **intended key users** of the evaluation results are the LGUs, national and regional agencies (CCC, DILG, NEDA, PAGASA, OCD and HLURB); and the general public. The evaluation is also intended to provide insights and inputs for UNDP's and DFAT's future programs and policies.

## ***Description of the Program***

The program was initially started as the Project Climate Twin Phoenix (PCTP) in 2012 in response to the devastation caused by Typhoon Sendong (Washi) in the cities of Cagayan de Oro and Iligan in Region X (Northern Mindanao), Philippines. In 2014, the provinces of Compostela Valley and Davao Oriental in Region XI (Davao Region) also in Mindanao, were added to the PCTP project area after the occurrence of Typhoon Pablo (Bopha). In 2015, in the aftermath of Typhoon Yolanda (Haiyan), PCTP was transformed into the current PCTP-RAPID Program and additionally covered the provinces of Leyte, Western Samar and Eastern Samar in Region VIII. RAPID covered Yolanda (Haiyan)-affected city and eleven municipalities.

## ***Results Framework and Strategies***

The PCTP-RAPID Program envisioned the strengthening of the adaptive capacities of vulnerable LGUs and communities and ecosystems to be resilient to the threats, shocks, disasters and climate change. The program has three major indicators for this outcome: 1. Mainstreamed development plans; 2. Decrease in environmental degradation; and 3. Decrease in loss and damage from natural hazards. The strategy adopted by the program revolved around capacity building and institutionalizing the program products.

The **interventions** and activities of the program are anchored on the 7 outputs: 1. Climate/disaster risk and vulnerability assessments; 2. Priority disaster mitigating measures; 3. Competencies of local governments and critical partners improved; 4. Mainstreaming of Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA); 5. Risk sharing/transfer mechanisms developed and showcased; 6. Knowledge management; and 7. Competencies of barangays and communities improved to deal with the disaster risks of multi-hazards.

The program is aligned with national, UN and DFAT's **plans, policies and priorities**.

The program was administered by the UNDP Philippine Country Office. From 2012 to 2017, the PCTP-RAPID Program was executed by the Climate Change Commission (CCC) under the UNDP's National Implementation Modality (NIM), and for 2018 up to June 2019 was implemented by UNDP under a Direct Implementation Modality (DIM).

The **program area** includes LGUs that were affected by Typhoons Sendong (Washi), Pablo (Bopha), and Yolanda (Haiyan). All together the program covered five provinces, three cities and 17 municipalities (including Opol in Misamis Oriental).

A total of US\$9.3 million of **grant fund** was provided for the PCTP-RAPID Program by the Australian Government through the Australian Embassy in the Philippines under the Department of Foreign Affairs and Trade (DFAT).

The program engaged several **partners** in the implementation of the program. Apart from DFAT and UNDP partnership, the program also engaged as partners the LGUs, academic institutions and national agencies (CCC, DILG, OCD, PAGASA, HLURB, and NEDA).

### ***Evaluation Scope and Objectives***

The TOR and agreement during the Inception meeting set the following **objectives** of the evaluation: 1. Assess the program design; 2. Assess PCTP-RAPID's performance relative to its objectives and targets; 3. Assess the appropriateness of the program's overall/per component implementation framework, methodologies, and strategies; 4. Assess the effectiveness and efficiency in the use of program resources to meet target outputs and results, taking into consideration the principle of value for money; 5. Analyze factors including the project management/operational setup and its degree of influence in the achievement or non-achievement of target outputs and results; 6. Assess the relevance and effectiveness of the program's partnerships and other implementation strategies; 7. Determine capacities, processes, and products developed and the level of participation/degree of ownership of stakeholders in the achievement of the outputs and results; 8. Document and draw up lessons learned, good, replicable and/or innovative practices, cross-cutting issues; 9. Put forward some policy and program recommendations to UNDP as direct implementer of the project; and 10. Make recommendations to UNDP, DFAT and GOP to support future programming.

The agreed detailed schedule of activities agreed during the inception meeting was not strictly followed due to unavailability of respondents. The milestones of the evaluation covers an **orientation meeting** with the PMU on March 13, 2019; **inception meeting** on March 18, 2019; a **debriefing session** on May 30, 2019 with the evaluation resource group (ERG) of the program to discuss the highlights of findings; the submission of **Draft Final Report** to UNDP on June 21, 2019; and the submission of the **Final Evaluation Report**.

In terms of **geographic scope**, the evaluation covered all five provinces (Compostela Valley and Davao Oriental, Leyte, Eastern Samar and Samar) three cities and 15 municipalities. The evaluation also covered all **national partner agencies**. The terminal evaluation followed the Organization for Economic Cooperation and Development – Development Assistance Committee (OECD-DAC) **criteria**. The ratings and the performance standards used for these criteria range from Very Poor to Very Good following DFAT's rating system.

### ***Evaluation Approach and Methodology***

The evaluator adopted the **project cycle approach** in a participatory and consultative manner together with concerned stakeholders. The evaluation employed a menu of **data collection methodologies** appropriate to the nature of the program, its result areas and activities, and their information requirements and utilized **quantitative and qualitative methods in analyses** to ensure representativeness of data. Secondary data and information were derived from project units both at the national (PMU and national agencies) and LGU levels. On the other hand, primary data were derived from the interviews (national and LGU levels), FGDs and public consultations (LGU level). All activities during the evaluation were conducted in conformity with the **UNEG Ethical Guidelines for Evaluation**.

### ***Findings and Conclusion***

The **program design** was aligned with the country's two PDPs; the DFAT's Aid Program goal and objectives for the Philippines; UNDP's country program as well as the MDG and SDG of the UN. The design addressed the needs of the beneficiaries and the key issues on institutionalization and capacity development on DRRCC. In a departure from program/project formulation norms, there were no program

components. Instead, the seven outputs are considered the components. There was also no program management component.

### ***Findings on Outputs***

The program completed most of the planned hazard assessments in both the PCTP and RAPID areas under **Output 1**. Under **Output 2**, the program introduced various mitigating measures following the conduct of hazards assessments at the provincial, city, municipal and down to community levels. The program introduced **early warning systems and other mitigation measures**. All LGUs and communities visited have prepared **contingency plans** for various hazards. The contingency plans in program areas are superior in terms of scope and compliance with OCD regulations. The multi-purpose **evacuation center** built in Abuyog, Leyte is a good model and followed OCD regulations in terms of structure and facilities as well as lessons learned from similar facilities constructed by other donors. **Flood monitoring facility** and systems were installed in Compostela Valley and Cagayan de Oro Rivers and have now been included in the 18 major river basins program of PAGASA. Following the conduct of vulnerability and hazard assessments, the program ventured into the development of the **Climate and Disaster Database or ClimEx.db**, a system that would enable LGUs to collect, manage and visualize data required to assess risks and vulnerability of households, buildings and production areas to hazards. Under **Output 3**, various capacity building interventions were conducted by the program for the LGU personnel. Under **Output 4**, evidences of DRRCC mainstreaming are the approved plans and ordinances. The enhanced CLUP is now part of HLURB regulatory framework and is being used beyond the program areas. The program also introduced bay-wide coastal zoning and land use along the Leyte Gulf areas; Contingency Plans have been mainstreamed in the 12 municipalities of the RAPID area. These plans are deemed superior and are being used by OCD as templates for other LGUs. Based on this, the IT-based PDANA tool was developed. The inclusion of CDRA concerns are evident in LGU **socio-economic plans and annual investment programs** (AIP). With regard to CBDRRM Plans, 150 barangays in RAPID area have adopted the plans as guide for the Barangay Disaster Risk Reduction and Management Committees. NEDA was the implementing agency for the development of **guidelines for the integration of DRRCC concerns in investment planning and evaluation** for projects/programs submitted to the Investment Coordinating Committee (ICC) for approval. **Output 5** is the least funded among the program outputs and was implemented on limited scale only in RAPID areas. The Program missed the opportunity of engaging the municipal agricultural officers and extension workers in disseminating climate resilient agriculture and fishery practices. Under **Output 6** CCC intends to archive all knowledge products generated by the program and will be included in the CCC Knowledge Management System that is being developed. The key intervention related to **Output 7** revolved around the **Community Based Disaster Risk Reduction and Management (CBDRRM)**. The CBDRRM as implemented in 150 barangays in 11 municipalities and one city in Region VIII under the RAPID era was a comprehensive package of interventions that included capacity building, planning and coaching and mentoring until the completion of the CBDRRM plan and spot maps.

On **program management**, observations are noted on implementing/executing agencies capacity, partnership with academe; financial management and general operations.

On **financial performance**, the program has disbursed US\$8,862,523,31 or 95% of total grant budget as of June 30, 2019. The balance of US\$441,419.60 is programmed for committed/obligated expenditures. The PMU expected full utilization of the fund. The financial records indicated wide variance in terms of budget allocation and actual expenditures; an indication of poor project planning

The program, aside from including gender equality and social protection in the messages relating to plan formulation, guidelines, participation in various activities, selection of personnel and others; also disaggregated participants by gender in M&E reports as well as other activities such as training participants, organizations, etc.

The PCTP-RAPID Program is a **green program with activities that supported environment protection**. The activities of the outputs did not pose possible negative environmental impact or degradation.

The program used the UNDP **Monitoring and Evaluation** The system was not fully utilized by CCC as noted in the MTR.

### ***Conclusion***

Overall, the PCTP-RAPID Program is a highly successful program that delivered most planned outputs; well appreciated by stakeholders; significantly contributed to the body of knowledge on CCDRR in the program area; and met most of its output objectives. This, despite some weaknesses in the program design and resource allocation; implementation issues and prolonged lull in program implementation due to various reasons. The **strengths** of the program lie with its strategy of capacity building and institutionalization. The other strength of the program is on the commitment of partners.

While the program achieved most planned outputs despite odds in implementation, there were also **lost opportunities** (sustaining the partnership with universities; and did not adequately address a DRRCC related poverty issue related to agriculture and fisheries, among others).

### ***Ratings of the Criteria***

The program is **highly relevant** and is rated Very Good in terms of relevance. On **effectiveness**, the program has achieved most of the products it envisaged to accomplish and is rated Good. On **efficiency**, the program encountered delays in implementation although UNDP recovered lost grounds but there were associated costs. In view of this, efficiency is rated Less than Adequate. The program is rated Good in terms of **sustainability**. Some products of the program had been institutionalized (CLUP guidelines, the BDRRM Plan and Contingency Plan templates). Products that require support to sustain their gains are the updating of ClimEx.db, the continuing IEC on CBMHEWS and CBDRRM. **Gender Equality and Social Protection**, in view of the positive findings, is rated Very Good. In terms of **effects and impacts**, various effects are already notable among the LGUs and the communities (in terms of knowledge, behavioral changes, investments and policies and regulations). The outcomes envisioned by the program cannot be ascertained at this point in time. There is however, a distinct possibility of attaining the outcomes if the products are sustained. In view of this, this criterion is rated Good.

### ***Recommendations, Good Practices and Lessons Learned***

The **recommendations** are discussed in detail in the main report and covers program financing, program operation and management, program branding, LGU engagement and future donor investment, among others. There are numerous **good practices and lessons** to be learned from this program. These are discussed in detail in the main report.

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## **Acronyms and Glossary**

AIP	- Annual Investment Plan (of LGUs)
AFC	- Agriculture and Fishery Council
AMIA	- Adaptation and Mitigation in Agriculture (program of DA)
Barangay	- Village/community
BDRRMC	- Barangay Disaster Risk Reduction Management Committee
BLGD	- Bureau of Local Government Development (of DILG)
BNS	- Barangay Nutrition Scholar
BHW	- Barangay Health Worker
CBDRRM	- Community Based Disaster Risk Reduction Management
CBDRRMP	- Community Based Disaster Risk Reduction Management Plan
CBMEWS	- Community Based and Managed Early Warning System
CBMS	- Community Based Management System
CDRA	- Climate and Disaster Risks Assessment
CCAM-DRR	- Climate Change Adaptation and Mitigation-Disaster Risk Reduction
CCC	- Climate Change Commission
CDRA	- Climate and Disaster Risk Assessment
CIIP	- Comprehensive and Integrated Infrastructure Program
ClimEx.db	- Climate and Disaster Database
CLUP	- Comprehensive Land Use Plan
CTA	- Chief Technical Adviser
DA	- Department of Agriculture
DFAT	- Department of Foreign Affairs and Trade (of Australia)
DILG	- Department of Interior and Local Government
DOF	- Department of Finance
DOST	- Department of Science and Technology
DRR	- Disaster Risk Reduction
DRR/CC	- Disaster Risk Reduction/ Climate Change
DRRMO	- Disaster Risk Reduction Management Office
DSWD	- Department of Social Welfare and Development
EO	- Executive Order
FGD-	- Focus Group Discussion
FHEWS	- Flood Hazard Early Warning System
GIS	- Geographic Information System
GMMA-RAP	- Greater Metro Manila Area Risk Assessment Project
GOP	- Government of the Philippines (inter-changeably called GPH)
GPH	- Government of the Philippines (interchangeably called GOP)
HLURB	- Housing and Land Use Regulatory Board
ICC	- Investment Coordinating Committee
IEC	- Information, Education and Communication
IP	- Indigenous People
IRA	- Internal Revenue Allotment
KM	- Knowledge Management
LCCAP	- Local Climate Change Action Plan
LCE	- Local Chief Executive



LGA	-Local Government Academy
LGBT	- Lesbian, Gay, Bisexual and Transgender
M&E	- Monitoring and Evaluation
MDG	- Millennium Development Goals (of the United Nations Organization)
MDRRMO	- Municipal Disaster Risks Reduction Management Office
MHEWS	- Multi-Hazard Early Warning System
MOA	- Memorandum of Agreement
MSU-IIT	- Mindanao State University-Iligan Institute of Technology
NDRRMC	- National Disaster Risks Management Council
NEDA	- National Economic and Development Authority
NGO	- Non-Government Organization
NHA	- National Housing Authority
NGA	- National Government Agency
NRA	- Natural Resource Assessment
OCD	- Office of Civil Defense
OECD-DAC	- Organization for Economic Cooperation and Development-Development Assistance Committee
PDNA -	- Post Disaster Needs Assessment
PAGASA	- Philippines Atmospheric, Geophysical and Astronomical Services Administration
PCTP-RAPID	- Project Climate Twin Phoenix-Resilience and Preparedness toward Inclusive Development
PDC	- Planning Development Coordinator (of LGUs, MPDC for municipalities and PPDC for provinces)
PDEM	- Project Development and Evaluation Manual
PDO	- Planning and Development Office (of LGUs, MPDO for municipalities and PPDC for provinces)
PDP	- Philippines Development Plan
PEIR	- Policy, Expenditure and Institutional Review
PMB	- Program Management Board (of PCTP-RAPID)
PMU	- Program Management Unit (of PCTP-RAPID)
PSF	- People's Survival Fund
PME	- Planning, Monitoring and Evaluation
PMU	- Program Management Unit (of PCTP-RAPID)
PNP	- Philippines National Police
PPA	- Partnership Performance Agreement (of DFAT)
PWD	- Person with Disability
RDC	- Regional Development Council
SDG	- Sustainable Development Goals (of the United Nations)
SPBLGBFP	- San Pedro Bay and Leyte Gulf Basin Framework Plan
TOR	- Terms of Reference
TWG	- Technical Working Group
UNDP	- United Nations Development Programme
UNEG	- United Nations Evaluation Group
UP-NIGS	- University of the Philippines National Institute of Geodesy Science
UP-TCAGP	- University of the Philippines Training Center for Applied Geodesy and Photogrammetry

UNFCCC	- United Nations Framework Convention on Climate Change
UP	- University of the Philippines
VSU	- Visayas State University
XU	- Xavier University

## I. Introduction

The Project Climate Twin Phoenix – Resilience and Preparedness toward Inclusive Development (PCTP-RAPID) Program was expected to be completed by June 30, 2019. The terminal evaluation is a required activity as stated in Article VI of the Cost Sharing Agreement between the United Nations Development Programme (UNDP) and the Department of Foreign Affairs and Trade (DFAT) of Australia. The terminal evaluation responds to the Independent Completion Review required for DFAT programs and projects. It is also a mandatory activity for all UNDP-implemented projects and programs.

The Terms of Reference (TOR) for the evaluation (**Annex A**) was comprehensive and followed the guidelines of relevant organizations such as UNDP, the United Nations Evaluation Group (UNEG), DFAT, the Organization for Economic Cooperation and Development (OECD) and others. The TOR defined the purpose and objectives, scope, tasks, specific requirements and relevant parameters for the conduct of the evaluation.

### ***Purpose***

The purpose of the evaluation is to assess PCTP- RAPID Program's value additions and how its results can be adopted and sustained by national and subnational government entities, communities, civil society groups, and other stakeholders. The terminal evaluation should assess the actual performance of PCTP-RAPID and its contributions against its targets and expected results from 2012 to 2019 as per TOR and involve all the target program areas in Regions VIII, X, and XI.

A mid-term evaluation of the program was conducted in 2016. It should be noted that the program interventions on RAPID (in Region VIII) was on its second year in its implementation, then. It should be noted further, that interventions in the PCTP areas (Regions X and XI) practically ceased in 2015 as the program focused on RAPID areas (Region VIII). The program evolution is discussed in greater detail in Chapter II (Description of Interventions) to contextualize the report. As activities in Regions X and XI ceased after the MTR, the MTR served as the terminal evaluation for the PCTP area.

### ***Intended Users***

The program has multi-level stakeholders, which apart from being implementing partners during implementation, majority are also beneficiaries and users of the results of the evaluation. Primarily, the Provincial, City, Municipal, and Barangay LGUs and their departments/offices/committees, may use, depending on the results of the evaluation, in enhancing or amending the policy, regulatory, planning and operational regimes in relation to climate change and disaster resiliency and risk reduction in their respective jurisdictions. Some of the products of the program are already being used and institutionalized at the time of evaluation. At the LGU level, the intended key users are the planning and development offices (PDOs), the Disaster Risks Reduction and Management Offices (DRRMOs), the legislative and development councils of the LGUs and the barangays and communities.

Similarly, national and regional agencies such as the Climate Change Commission (CCC), the Department of Interior and Local Government (DILG), National Economic and Development Authority (NEDA), Philippine Atmospheric, Geophysical and Astronomical Services Administration (PAGASA), Office of Civil Defense (OCD) and the Housing and Land Use

Regulatory Board (HLURB) could make use of evaluation results in enhancing their policy, regulatory, planning and operational regimes in relation to climate change and disaster resiliency in their respective mandates and jurisdictions.

Increasingly, academic institutions and Non-Government Organizations (NGOs) are taking on climate change and disaster risks reduction as part of their extension services and operations. They are also potential users of the results of the evaluation.

The evaluation is also intended to provide insights and inputs for UNDP's and DFAT's future programs and policies. And possibly, other international donors may find the evaluation results useful in formulating similar future programs or donor policies.

While the above institutions are the direct users of the results of the evaluation, the biggest potential direct users of the products (information, systems and others) is the general public, if and when the results/products are translated into the policy, regulatory, planning and operational regimes of the above institutions. It is in this context that the evaluation took a stance of "What good is the program to the general public especially the poor who are most often the worst affected by climate change and disasters?".

### ***Program Interventions***

The PCTP-RAPID is a capacity development program supporting the long-term recovery of identified disaster-affected Local Government Units (LGUs) and communities by having their disaster and climate risks mitigated; and knowledge, good practices, tools, systems and procedures (developed and learned from the program) are mainstreamed into land use policies and regulations, development planning and operations.

The activities of PCTP-RAPID were designed to enable the target LGUs and national agencies to come up with better plans, policies, regulatory and operational measures that consider major challenges that affect the well-being of the population especially on climate change and disaster risks. The interventions and activities of the program revolved around the 7 outputs below. It should be noted that during the PCTP implementation, the expected outputs did not cover item 5.

1. Climate/disaster risk and vulnerability assessments produced as a basis for "climate/disaster proofing" future development in the target areas;
2. Priority disaster mitigating measures such as community-based and managed early warning systems (CBMEWS), Multi-Hazard Early Warning System (MHEWS), contingency plans, re-engineering standards, and other resilience building interventions developed and implemented;
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;
4. Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA) mainstreamed into land use, socio-economic plans, and investment programs at the national and local level;
5. Risk sharing/transfer mechanisms developed and showcased;
6. Knowledge management on Disaster Risk Reduction and Management and Climate Change Adaptation developed and implemented; and
7. Competencies of barangays and communities 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.

### ***Structure and content of the report***

This report follows the UNDP Guidebook on PME. It is not a management nor financial audit of the program. The report is written in plain language given the wide range of potential users from community up to international level.

It covers nine chapters as shown in the Table of Content. Chapter 1 (Introduction) introduces the purpose, the intended users and general interventions of the program. This provides the context for the overall report. Chapter II (Description of Program) describes the interventions in detail; explains the evolution of the program; defines the program area and beneficiaries; links with national and international programs and priorities and local needs. In particular, the section on program evolution provides the readers the context and major changes in program implementation. Chapter III (Evaluation Scope) defines the scope (geographic, timeframe, subject, objectives, criteria and evaluation questions) of the evaluation. Chapter IV (Evaluation Approach and Methodology) describes the approach, methodology, techniques and analyses employed in the evaluation process. It also defines the data requirements sources, data collection procedures, performance standards, protocols and the rationale for the selection of the methods and techniques. Chapter V (Data Analysis) presents the data analytical tools used and their limitation, among others. Chapter VI (Findings and Conclusion) presents the findings and conclusions and their limitations. This chapter discusses the answers to the evaluation questions defined in each of the prescribed criteria. The section on findings measures the program performance results against the planned outputs and the factors affecting program performance on the seven expected outputs. It also examines the factors, assumptions and risks in the program design that affected program implementation. The conclusion section distills the findings and highlights the strength and weaknesses as well as the outcomes including unintended results. It provides insights on possible solutions to problems or issues and possible utilization or enhancement of the outputs. Chapter VII (Recommendations) proposes measures to enhance similar activities in the future. Chapter VIII (Good Practices and Lessons Learned) presents the good practices noted during evaluation and the lessons learned in the course of program implementation.

## **II. Description of the Program**

In conducting the evaluation, the evaluator found it necessary to contextualize the program due to significant changes particularly in aspects related to management and operation; resource allocation; and program area coverage. Hence, a short section on program evolution is presented.

### ***Program Evolution***

The program evolution followed a distinct pattern of post-disaster interventions focused on the search for lasting solutions for climate change and disaster mitigation, adaptation and resiliency through institutional reforms (in policies, plans, regulatory and operational regimes) and capacity development. The program also appears to have adopted the "Learning in Innovation" approach as products (technologies, systems, soft wares and others) tested and piloted in PCTP areas were enhanced, finalized and applied in RAPID areas.

The program was initially started as the Project Climate Twin Phoenix (PCTP) in 2012 in response to the devastation caused by Typhoon Sendong (Washi) in the cities of Cagayan de Oro and Iligan in Region X (Northern Mindanao), Philippines. While officially, the municipality of Opol in Misamis Oriental was not recognized as part of project area, significant interventions relating to the piloting of the enhanced Comprehensive Land Use Plan (CLUP) and ClimEx.db were conducted. It was the learning ground for the finalization of guidelines for enhanced CLUP and ClimEx.db. In view of this, this terminal evaluation covered it as part of the program area.

In 2013, the provinces of Compostela Valley and Davao Oriental in Region XI (Davao Region) also in Mindanao, were added to the PCTP project area after the occurrence of Typhoon Pablo (Bopha). It should be noted that not all municipalities of these two provinces were covered under PCTP. Only New Bataan was covered in Compostela Valley. Other municipalities (Compostela, Laak and Maragusan) also participated in some project activities as noted in the Mid-term Review of the program. On the other hand, three municipalities (Baganga, Boston and Cateel) were covered in Davao Oriental.

In the aftermath of Typhoon Yolanda (Haiyan) in 2014, PCTP was transformed into the current PCTP-RAPID Program and additionally covered the provinces of Leyte, Western Samar and Eastern Samar in Region VIII. RAPID covered Yolanda (Haiyan)-affected city and eleven municipalities located along the coastline of the Leyte Gulf and San Pedro Bay: Tacloban City, Palo, Tanauan, Tolosa, Mayorga, MacArthur, Dulag, and Abuyog in Leyte; Basey and Marabut in Western Samar; and Lawaan and Balangiga in Eastern Samar. Not all barangays of the cities and municipalities were covered by the program. CBDRRM covered 150 barangays/communities in RAPID areas.

In the transformation of PCTP into the PCTP-RAPID Program, interventions focused on Region VIII covering the RAPID part of the program. While DFAT expected continuing interventions in the original PCTP areas, there was hardly any program intervention made after 2014 as the PCTP accounts were closed.

The program went into hiatus for about two years (2015-2017) with hardly any intervention in the program area. The hiatus was a major concern for both DFAT and UNDP as it resulted into dismal program physical performance. This eventually led to the shift from NIM to DIM in an effort to meet program objectives as noted in PMB minutes (8<sup>th</sup> and 9<sup>th</sup> meeting) and the June 4, 2018 meeting chaired by NEDA to thresh out issues related to the shift of program implementation modality from NIM to DIM. The minutes noted that DFAT agreed to extend the program to 2018 only under the DIM modality. The evaluator deemed it necessary to investigate deeper into the reasons for the hiatus and the consequent low program performance. Unfortunately, no interview and data gathering (except for the emailed response to two questions) were conducted with CCC due to unavailability of respondents despite several attempts at making interview appointments. Hence, the evaluator was unable to gather information regarding the lull in program operation as well as other relevant information directly from CCC, the executing agency during the NIM period. While opinions/information were provided to the evaluator by other sources, they are considered as hearsay as they were not validated with CCC. The evaluator is therefore unable to provide evidence and fact-based information related to this hiatus as well as overall management and operation during the NIM period. Further, no comments by CCC on the Draft Final Report.

In 2017, UNDP took responsibility over procurement of goods and services to fast track program implementation. In 2018, under a no-cost-extension, the implementation arrangement shifted

from National Implementation Modality with CCC to Direct Implementation Modality by UNDP to ensure that the program could still deliver its intended outcomes under the extension.

Not all universities in the program area were involved in implementation. The key universities in the program area that were considered key partners were the Mindanao State University-Iligan Institute of Technology (MSU-IIT) in Iligan City and Xavier University (XU) in Cagayan de Oro City. Other universities in the program area were involved in minor program activities. Personnel from the Samar State University (SSU) and Eastern Samar State University (ESSU) were involved as coaches/resource persons in the formulation of the guidelines for Local Climate Change Action Plan (LCCAP). On the other hand, Mariano Marcos State University (MMSU) in Cagayan de Oro City was contracted to administer the works of enumerators and geo-taggers in the development of ClimEx.db during the PCTP implementation period. Other universities, particularly the Visayas State University (VSU) in Baybay, Leyte and the University of the Philippines (UP) Tacloban were approached but declined engagement due to conflict of interest as they were then involved in a similar project under the Department of Science and Technology (DOST).

The University of the Philippines in Diliman and Los Banos campuses were also involved particularly in the conduct of climate adjusted/probabilistic mapping and natural resources assessment (NRA).

### ***Results Framework and Strategies***

The PCTP-RAPID Program envisioned the strengthening of the adaptive capacities of vulnerable communities and ecosystems to be resilient to the threats, shocks, disasters and climate change. It was envisaged to serve as the first stage of a long-term capacity development of LGUs and communities.

The program has three major indicators for this outcome:

1. Mainstreamed development plans;
2. Decrease in environmental degradation; and
3. Decrease in loss and damage from natural hazards;

The key strategy adopted by the program revolved around capacity building and institutionalizing the program products. The strategy involved working with mandated national GPH agencies (the process owners), capacitating them and enhancing their systems/guidelines so that they are better able to perform their mandates/functions and support the LGUs (the process users). It should be noted that most of the products of the outputs are mandated through legislation and other policy instruments such as Executive Orders (EO) by the President, Department Orders (by Secretaries of national agencies) and office memoranda. Foremost among the legislations are the Climate Change Act of 2009 and the Disaster Risk Reduction and Management Act of 2010. While these policies were in place together with guidelines, majority of LGUs reportedly submitted related outputs as mere compliance and were generally deficient in the required substance. Also, the guidelines did not incorporate DRRCC. These requirements were noted too difficult for appropriate compliance especially among lower class LGUs (4<sup>th</sup> to 6<sup>th</sup> class) due to insufficient resources and technical capacities. Capacity building is therefore deemed an important first step. Further, the strategy involved, to a limited extent, engaging local and regional knowledge centers such as state universities and colleges to support capacity building of LGUs and communities.

### ***National and international Links***

The program is inextricably linked with national and international plans, policies and priorities. At the national level, the program would have not met approval by NEDA if it were not consistent and contributory to the goals of the Philippine Development Plans (PDPs). The program did not undergo the ICC review as the program cost was below the threshold of US\$10 million. It was, however, subjected to NEDA technical evaluation. NEDA was also a signatory of the project document between UNDP and CCC).

The implementation of PCTP-RAPID straddled two PDPs: 2011-2016 and 2017-2022. With high poverty level (22.6%) in 2006, the PDP 2011-2016 was crafted in pursuit of inclusive growth. The PDP attributed the high level of poverty to lapses in governance and inadequate protection from shocks on human capital. The Plan sought to reduce poverty and increase employment. The broad strategies adopted were as follows:

- a. High and sustained economic growth;
- b. Equal access to development opportunities including access to technology, land and other productive inputs and improved governance and strengthened institutions; and
- c. Effective and responsive safety nets.

The program found direct relevance to the PDP's goals and strategies.

On the other hand, the PDP 2017-2022 is the first PDP anchored on the country's long-term vision which sought to lay foundation for more inclusive growth; high trust and resilient society; and globally competitive knowledge economy. The PCTP-RAPID Program contributed to the following strategies of this PDP:

- a. Accelerating human capital development;
- b. Reducing vulnerability of individuals and families;
- c. Building safe and secure communities;
- d. Ensuring security, public order and safety; and
- a. Ensuring ecological integrity, clean and healthy environment.

**Australian aid** in the Philippines is anchored on the UN Millennium Development Goals (MDG) and the Sustainable Development Goals (SDG). The overarching goal of Australian aid in the Philippines is the acceleration of inclusive economic growth and political stability. In achieving this goal, DFAT's Australia's Development Aid for the Philippines from 2015 to 2018 focused on the objectives below. All objectives address cross cutting issues covering disaster resilience; gender equality; and disability concerns. The aid program highlights humanitarian assistance, peace and policy dialogues, infrastructure and economic reforms.

Objective 1 (**enhancing the foundation for economic growth**) includes, among others, addressing barriers to impact of natural disasters; disaster risks reduction; and environmental and social safeguards and disability inclusive policies. Objective 2 relates to **building stronger institutions for transparent and accountable governance** and focuses on human resource development which include, among others, capacity building in civil service. On the other hand, the third objective of **improving conditions for peace and stability** focuses on partnerships between civil society, government, non-government organizations and donor agencies on development issues. The PCTP-RAPID Program is aligned with the goal and objectives including the cross-cutting concerns of the Australian aid which is supportive as well, to the Philippine Development Plans.



The Australian aid program in the Philippines has been supporting GPH in the implementation of priority policies and activities on disaster and climate risk management in partnership with GPH agencies, Australian agencies, multilateral development organizations including UNDP and non-government organizations. Over the years, the partnership between Australia and GPH on disaster and climate risk management has produced the following key results:

- Introduced multi-hazard and risk analysis approach to GPH partners, with methodologies and products now widely used by GPH agencies in their own programs.
- Enhanced GPH policies and guidelines and mainstreamed disaster risk reduction and climate change into land use and socio-economic development plans, which have been adopted by GPH agencies and being rolled out to local governments. It also supported the formulation of the first generation National Climate Change Framework Strategy, the National Climate Change Adaptation Plan, and the National Disaster Risk Reduction Management Plan; streamlining of the NDRRM Fund; and climate change tagging of public expenditure, among others.
- Developed new tools on disaster preparedness and disease surveillance, which are now being used in community-based disaster preparedness.

The program is also consistent with **UNDP's Country Programs** (from 2012 to 2016 up to the current 2019-2023). UNDP supported the Climate Change Act (2009) and assisted in the institutionalization and implementation of the Philippines Disaster Risks Reduction and Management Act passed in 2010, through various projects. It provided assistance in conducting disaster risks assessment; awareness building, preparedness and early warning systems and recovery. The UNDP Strategic Plan (2018-2021) focuses on the eradication of poverty; acceleration of structural transformation and building resilience to shocks and crises caused by natural phenomena and human acts. The strategies are embodied in the Six Signature Solutions which cover:

- a. Keeping people out of poverty;
- b. Governance for peaceful, just and inclusive societies;
- c. Crisis prevention and increased resilience;
- d. Environment and nature-based solutions for development;
- e. Clean energy; and
- f. Women empowerment and gender equality.

The program contributed to the above solutions except item e. By introducing resiliency and mitigation measures to disasters and impacts of climate change, the program contributed to keeping people out of poverty as the impacts of disasters and climate change could lead not only to lose in lives (humans and domestic animals) but also to properties and could drive families back to poverty. As the poor are the worst affected by disasters and climate change, these measures would reduce or eradicate losses and they can continue with their economic activities. Disasters could also disrupt peaceful societies as crises could incite riots, looting and other activities as noted especially in Tacloban City in the aftermath of Haiyan. The resiliency and mitigation measures coupled with the inclusive approach in developing them (such as in CBDRMP formulation, enhanced CLUP and others) contributed to enhancing governance especially among the LGUs. The prevention of crises and increased resilience caused by disasters and climate change are embodied in the expected outcome of the program. The hazard assessments and environmental scanning done by the program in developing and enhancing

guidelines for prescribed products (as in enhanced CLUP, Contingency Plans, LCCAP and others) are environment-based solutions in supporting the development of the target areas. Finally, women empowerment, gender equality and other social protection concerns cut across the activities and outputs of the program.

The program was planned and initially implemented (2012-2015) during the UN's Millennium Development Goals regime. The program contributed to three of the 8 Millennium Development Goals of the United Nations. These are on the eradication of extreme poverty and hunger; promotion of gender equality and empowerment of women; and ensuring environmental sustainability. With the advent of the Sustainable Development Goals (2015), the program found relevance in contributing to 8 of the 17 goals. These are:

- a. No poverty;
- b. Zero hunger;
- c. Gender equality
- d. Reduced inequalities;
- e. Sustainable cities and communities;
- f. Climate action;
- g. Peace, justice and strong institutions; and
- h. Partnership for the goals.

The goals, both of the MDG and SDG are cascaded/reflected in the UNDP Country Programs and its Six Signature Solutions as discussed above.

The Philippines is a signatory to the United Nations Framework Convention on Climate Change (UNFCCC). The December 12, 2015 Paris Agreement established a global warming goal of below 2 degrees Centigrade on pre-industrial averages. The Agreement requires countries to formulate more aggressively ambitious climate targets. The Agreement's goal on climate change adaptation includes enhanced "adaptive capacity, strengthening resilience and reducing vulnerability to climate change" (Art 7.1). Further, the Agreement stressed the need for capacity building as a means for developing countries to take action (Art 11.1). The Program with its focus on institutionalization and capacity building supports the country's commitment to this Agreement.

On the other hand, the Sendai Framework for Disaster Risk Reduction (2015-2030) aims to achieve the substantial reduction of disaster risk and losses in lives, livelihood and health in the economic, physical, social cultural and environmental assets of persons, businesses, communities and countries. The Program, in its entirety supports this goal as evidenced by its results framework, outputs and interventions.

### ***Significant changes***

The program was administered by the UNDP Philippine Country Office. From 2012 to 2017, the PCTP-RAPID Program was executed by the Climate Change Commission (CCC) under the UNDP's National Implementation Modality (DIM), and for 2018 up to June 2019 was implemented by UNDP under the Direct Implementation Modality (DIM).

It was only in July 2017 that a dedicated program manager was hired for the Program. Prior to that, it was led by a technical officer from CCC together with a chief technical adviser (CTA) from the PMU. In July 2017, following the agreements during the 8<sup>th</sup> Project Board Meeting, a dedicated Program Manager was recruited, a catch-up plan was formulated; a permanent RAPID-PMU

project office was established; and the use of UNDP's procurement services to fast track implementation was employed. The performance review and the catch-up plan as well as the redirection of priorities also led to the reallocation of program resources as discussed in Financial Performance (Chapter V). The transition to Direct Implementation Modality (DIM) and extension of one (1) year, January to December 2019) was approved by DFAT and later on concurred by NEDA.

The program which started as PCTP or Twin Phoenix Project experienced several extensions in terms of scope, resources and timelines. The first extension was on the expansion of geographic scope from the Typhoon Sendong area (Region X) to cover Typhoon Pablo areas (Region XI). The second extension is the expansion of project area to cover Yolanda affected areas (Region VIII). This expansion transformed the Twin Phoenix Project into the PCTP-RAPID Program in 2014. The third extension was on the program timeline to 2015. The program, as noted earlier was extended up to 2017 (4<sup>th</sup> extension). The program timeline was again extended to 2018 (5<sup>th</sup> extension). And in 2018, the program closure was extended to June 30, 2019 (6<sup>th</sup> extension). With the corresponding increase in program area and introduction of new output (Risk Transfer) and activities, additional resources were also provided.

In 2017, the program registered physical progress at an estimated 20% with program expenditures at 40%. It should be noted that during the lull period, overhead costs would still continue despite the inactivity and committed expenses had to be paid. In December 2017, RAPID physical accomplishment reached 40% due to concerted efforts of UNDP, DFAT, CCC and the target LGUs, to implement the catch-up plan.

Apart from the above, there were no other significant changes in terms of design.

### ***Key partners and their roles***

Due to the fragmentation of mandates related to climate change and disaster risks reduction and management in the Philippines administrative landscape, the program, by necessity, had to engage several national agencies as partners in the implementation of the program. It should also be noted that these mandates, are cascaded, in varying scope and degree to the local government units. As such, the program had layers of partners from the national level to regional offices for involved national agencies as well as layers of LGUs from provincial/city down to barangay level.

During the implementation of the program, DFAT had UNDP as its key partner, both in the National Implementation Modality (NIM) and the Direct Implementation Modality (DIM). Under NIM which was largely during PCTP implementation, CCC was designated as the executing agency. With the shift to DIM, UNDP became the administrator as well as executing body for the program.

### ***National Agency Partners***

Apart from DFAT and UNDP partnership, the program also engaged national agencies, LGUs and academic institutions as partners. The national agency partners and their mandates and roles in the program are discussed below.

The **Climate Change Commission (CCC)** is the lead policy making body mandated to coordinate, monitor and evaluate programs and action plans tackling the impacts of climate change in the Philippines. It was designated as the executing agency during the NIM period and

had the overall responsibility for program implementation, coordination, monitoring and evaluation.

The **Department of Interior and Local Government (DILG)** is responsible for promoting peace and order, ensuring public safety and strengthening local government capabilities aimed towards the effective delivery of basic services to their constituents. Under PCTP-RAPID, DILG was assigned the tasks of developing the supplemental guidelines for DRR/CC integration in the Comprehensive Development Plan (CDP). DILG-Region 8 was also tasked to provide technical assistance to the 12 LGUs under the RAPID Program in the preparation of Local Climate Change Action Plan (LCCAP) following the guidelines prepared by the CCC and Local Government Academy (LGA) of DILG.

The **Office of Civil Defense (OCD)** is a bureau under the Department of National Defense (DND) and is the implementing arm of the National Disaster Risk Reduction and Management Committee (NDRRMC). The mandate of OCD is to administer a comprehensive national civil defense and disaster risk reduction and management program by providing leadership in the development of strategic and systematic approaches as well as measures to reduce vulnerabilities and risks to hazards and manage the consequences of disasters. Under the program, the OCD was engaged for the review of the Post-Disaster Needs Assessment methodology; analytical study on DRR-CC Public Expenditure and Institutional Review, and institutionalization of the Climex.db.

The **Philippines Atmospheric, Geophysical and Astronomical Services Authority (PAGASA)**, an agency under the Department of Science and Technology (DOST) is mandated to provide up to date and timely information on atmospheric, astronomical and other weather related phenomena to help people prepare for calamities caused by typhoons, floods, landslides, storm surges, extreme climatic events and climate change to afford greater protection to the people. It provides science and technology-based assessments pertinent to decision making in relevant areas of concern such as disaster risk reduction, climate change adaptation and integrated water resources management and capacity building. Further, it is tasked to ensure that the country fulfills its commitments to international meteorological and climate change agreements. Under the program, it was tasked to undertake hazard assessments, Community Based and Managed Early Warning System (CBMEWS), Multi-Hazard Early Warning System (MHEWS) and the Flood Hazard Early Warning System (FHEWS) in Tagoloan and Agusan River Basins. PAGASA was also engaged to develop the flood and storm surge hazard and risk assessment.

The **Housing and Land Use Regulatory Board (HLURB)** is the lead agency in the provision of technical assistance to Local Government Units (LGUs) in the preparation of the Comprehensive Land Use Plan (CLUP); regulation of housing, land development and homeowners' associations; and adjudication of disputes related thereto. Under PCTP-RAPID Program, it was tasked with the development of guidelines for mainstreaming DRR/CC into the Comprehensive Land Use Plan (CLUP) or Enhanced CLUP. The HLURB Regional Offices were also engaged in providing technical assistance for covered LGUs in the preparation of Enhanced CLUP and zoning ordinances.

The **National Economic and Development Authority (NEDA)** is the premier socio-economic agency of the Philippines. It is responsible for the coordination of policy formulation, plans and programs to effectively set the broad parameters for national and sub-national development. It reviews, evaluates and monitors all government programs and projects including the

infrastructure projects identified under the Comprehensive and Integrated Infrastructure Program (CIIP) consistent with the government's thrust of increasing investments for the growing demand for quality infrastructure facilities. It also undertakes short term policy reviews to provide critical analyses of development issues and policy alternatives to decision makers. NEDA also provides secretariat support to the Investment Coordination Committee. Under PCTP-RAPID Program, NEDA led the development of a supplemental guidelines on integrating DRRCC into the Project Development and Evaluation Manual (PDEM) used in reviewing project proposals for approval by the ICC. The NEDA Region VIII was also engaged in the development of the San Pedro Bay and Leyte Gulf Basin Framework Plan (SPBLGBFP).

## LGUs

The **Local Government Units (LGUs)** are the political and administrative subdivisions in the 16 regions of the country. They may be classified as provincial, city, municipal or barangay LGUs. They are the key recipients of program products and are tasked to use through "learning by doing approach" and implement the products as well as cascade the information to the communities. The LGUs and community partners of the program, are as follows:

- Region X: Cagayan De Oro City, Iligan City, Opol Municipality in Misamis Oriental Province
- Region XI: New Bataan Municipality in Compostela Valley Province; Municipalities of Baganga, Boston and Cateel in Davao Oriental
- Region VIII: Tacloban City, Municipalities of Palo, Tanauan, Tolosa, Mayorga, MacArthur, Dulag, and Abuyog in Leyte Province; Municipalities of Basey and Marabut in Western Samar Province; and Municipalities of Lawaan and Balangiga in Eastern Samar Province; and 150 coastal barangays/communities

In summary, the program was implemented in 5 provinces, and partnered with 3 cities, 17 municipalities and 150 barangays.

## Academe

Xavier University (XU), Mindanao State University-Iligan Institute of Technology (MSU-IIT) and The University of the Philippines Diliman and Los Baños were the major academic institutions involved in the program. The program provided facilities for the GIS Resource Center of e MSU-IIT. The Center was tasked to produce GIS maps for use under ClimEx.db together with Xavier University and provided GIS training to LGUs. MSU-IIT and XU developed and conducted training modules on DRRM. The University of the Philippines Diliman and Los Baños were also engaged on Natural Resource Assessment, development of the Climex.db, climate adjusted/probabilistic mapping and risk assessment.

## Outputs/Components and Scale of Interventions

The outputs of the program are considered the program components. The scale of interventions per output/component are summarized in the table below:

**Table1. Scale of interventions, by output.**

Output/Component	Interventions
1. Climate/disaster risks and vulnerability assessments	1. Climate/Disaster risks and vulnerability assessments in all PCTP-RAPID areas covering the following: a. River basin flood modelling in Davao Oriental

	<ul style="list-style-type: none"> <li>b. Severe wind hazard mapping in Davao Oriental and Compostela Valley</li> <li>c. Storm surge hazard mapping in Davao Oriental</li> <li>d. Flood modelling study in Dulag, Mayorga and Mc Arthur in in Leyte</li> <li>e. Severe wind hazard in 12 LGUs in Region VIII</li> <li>f. Climate adjusted flood, storm surge and rain-induced landslide modelling in 12 RAPID areas (not completed)</li> <li>g. Fire hazard assessment (Only in Bgy 20, Tacloban City)</li> </ul> <p>2. Conduct of Natural Resource Assessment of the 12 LGUs under RAPID.</p> <p>3. Development of ClimEx.db (first iteration in PCTP area and second iteration in RAPID area).</p> <p>4. Formulation of iPDANA</p>
2.Priority preparedness and disaster mitigating measures	<p>1.Formulation of:</p> <ul style="list-style-type: none"> <li>a. Community Based and Managed Early Warning Systems (CBMEWS) in 150 barangays in RAPID area (not completed)</li> <li>b. Multi-Hazard Early Warning Systems (MHEWS) in Dulag, Mayorga and McArthur in Leyte</li> <li>c. Flood Early Warning System (FHEWS) in river basins of Cagayan de Oro, Iponan and Mandulog</li> </ul> <p>2.Installation of Flood Monitoring Facilities in Cagayan and Cospostela Rivers</p> <p>3. Construction of evacuation center using climate and disaster resilient engineering parameters including site selection, design and construction in Abuyog.</p> <p>4. Formulation of Contingency Plans for the 17 municipal LGUs</p>
3.Competencies of LGUs on DRRCC matters enhanced	<p>1. Various capability and capacity building interventions related to all outputs in 5 provinces, three cities and 17 municipalities</p>
4. Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA) mainstreamed	<p>1.Formulation of guidelines for incorporation of DRRCC in the following, in both PCTP and RAPID areas:</p> <ul style="list-style-type: none"> <li>a. CLUP</li> <li>b. Comprehensive Development Plans</li> <li>c. LCCAP</li> <li>d. Supplemental Guidelines on DRRCC in PDEM</li> </ul> <p>3. Bay-wide coastal zoning and Land Use Framework Plan</p> <p>4. Conduct of DRRCC Public Expenditure and Institutional Review</p>
5. Risks sharing/transfer mechanism	<p>Introduction of alternative disaster and CC-resilient livelihood in selected communities in RAPID area</p>
6.Knowledge Management	<p>Documentation, compilation, archiving and dissemination of information (products, technologies, practices, etc.)</p>
7. Competencies of Communities	<p>1. Capacity building and advocacy on DRRCC matters (4,500 participants)</p> <p>2. Formulation of CBDRRM Plans (150 barangays) in RAPID LGUs</p> <p>3.Revitalization and reorganization of Barangay Disaster Risk Reduction and management Councils (BDRRMCs) in 150 barangays</p>

### Target Areas

The program area includes LGUs that were affected by Typhoons Sendong (Washi), Pablo (Bopha), and Yolanda (Haiyan). All together the program covered five provinces, three cities and 17 municipalities (including Opol in Misamis Oriental). These are identified in Table 2 below.

**Table 2. Program target area**

Region	Provinces	Cities	Municipalities
Region X	-	1. Cagayan de Oro 2. Iligan	1.Opol, Misamis Oriental
Region XI	Compostela Valley	-	New Bataan
	Davao Oriental		Baganga Boston Cateel
Region VIII	Leyte	Tacloban	1.Abuyog 2.Dulag 3.Mayorga 4.McArthur 5.Palo 6.Tanauan 7.Tolosa
	Eastern Samar	-	Balangiga Lawaan
	Samar		Basey Marabut
Total	5	3	17

Of the five provinces, two (Samar and Eastern Samar) are considered as among the poorest in the country and Typhoon Yolanda (Haiyan) drove scores of families back to poverty. The other three provinces are first class (high income) provinces with pockets of poverty in mostly poor municipalities (4<sup>th</sup> to 6<sup>th</sup> class). The three cities are highly urbanized first-class cities with pockets of urban poverty that had exponentially increased in the aftermath of Typhoons Sendong and Yolanda. 40% or 7 of the 17 municipalities are in the 4<sup>th</sup> to 6<sup>th</sup> class level based on BLGF income classification. Based on the reckoning of municipal respondents, poverty level had increased after the typhoons. The respondents noted significant increase in the number of recipients of 4Ps program of DSWD and the hordes of residents requesting assistance from political leaders for food and family emergencies (sickness, death and other related expenditures).

### **Program Resources**

A total of A\$9,697,077 of grant fund was provided for the PCTP-RAPID Program by the Australian Government through the Australian Embassy in the Philippines under the Department of Foreign Affairs and Trade (DFAT). The first tranche for PCTP Sendong /Washi area was AUD 1,500,000 made in February 2012. The second was for PCTP Pablo/Bopha areas equivalent to AUD 897,077 made in February 2013. The final one was for PCTP-RAPID Yolanda/Haiyan areas equivalent to AUD 7,300,000 made during the period May to June 2014. In UNDP's reckoning, based on prevailing exchange rates during the periods of remittance, the total grant fund was equivalent to US\$9.304 million as shown in the table below. In UNDP's financial system, funds and expenditures are denominated in US\$.

**Table 3. Program grant resources, US\$**

Output/Component	Fund Allocation US\$	% of Total	Notes
1.	1,461,071.27	15.7	
2.	1,815,060.62	19.6	
3.	336,677.54	3.6	
4.	1,341,884.09	14.4	
5.	176,469.26	1.9	
6.	178,883.82	1.9	
7.	1,210,964.96	13.0	
8, CBDRM	2,782,931.35	29.9	This item is under output 7 but the financial records of UNDP segregated the CBDRM fund allocation.
Total	9,303,942.91	100	

The largest allocation of grant resources was on CBDRM at 29.9 %. It should be noted that CBDRM is part of Output 7. The combined allocation of output 7 and CBDRM amounted to US\$ 3,993,896.31 or 42.9% of total grant resources.

In addition to the grant fund provided by DFAT for the implementation of the PCTP-RAPID Program, partner implementing agencies and local government units provided counterpart contribution in terms of staff time; travel cost of participants to training venues within Eastern Visayas in some instances; and venue for holding meetings and small activities.

UNDP's contribution was largely through technical assistance related to the management of the program.

### **III. Evaluation Scope and Objectives**

#### ***Evaluation Objectives***

The TOR and agreement during the Inception meeting set the objectives of the evaluation as presented below.

1. Assess the program design based on conditions prevailing during design stage and the transition to RAPID;
2. Assess PCTP-RAPID's performance relative to its objectives and targets as stated in reference documents including, but not limited to: Project Documents Theory of Change/Logical Framework/Results Framework Plans, Monitoring & Evaluation Plans and Reports, Progress Reports, Evaluation Reports;
3. Assess the appropriateness of the program's overall/per component implementation framework, methodologies, and strategies in achieving the set objectives, outputs, and results as well as in putting in place models or practices which the government, communities, and other stakeholders could adopt;
4. Assess the effectiveness and efficiency in the use of program resources to meet target outputs and results, taking into consideration the principle of value for money;



5. Analyze factors including the project management/operational setup and its degree of influence in the achievement or non-achievement of target outputs and results;
6. Assess the relevance and effectiveness of the program's partnerships and other implementation strategies and highlight which among these methodologies and approaches could be sustained or replicated by government agencies, communities, and other stakeholders;
7. Determine capacities, processes, and products developed and the level of participation/degree of ownership of stakeholders in the achievement of the outputs and results;
8. Document and draw up lessons learned, good, replicable and/or innovative practices, cross-cutting issues (e.g. gender equality and mainstreaming, human rights, DRRM, resiliency building, beneficiary selection, stakeholder participation, etc.) and recommendations on appropriate project strategies to improve future programming on resilience building; and
9. Put forward some policy and program recommendations to UNDP as direct implementer of the project; and make recommendations to UNDP, DFAT and GOP to support future programming.

### ***Scope of Evaluation***

#### *Schedule of Activities and Milestones*

The detailed schedule of activities shown in **Annex B** was agreed during the inception meeting. This was not strictly followed due to unavailability of respondents largely from national agencies and their regional offices as well as two municipal LGUs. The NOTE column in the table indicates the changes. The UNDP PMU arranged all the meetings at national and field levels.

The evaluation commenced with an **orientation meeting** with the PMU on March 13, 2019 to discuss the terms of reference; clarify some points regarding the program; and level expectations. Further, agreements on the modalities of evaluation, schedule of activities and other concerns in the execution of the evaluation were also discussed.

An **inception meeting with the Evaluation Resource Group (ERG)** was held on March 18, 2019 at the UNDP office in Manila. During the inception period, the evaluator undertook a more intensive review of the program documents, related studies, midterm evaluation report, national statistics and related documents, among others. The Consultant drafted the Inception Report which, among others, covered the following:

- a. Scope of Work
- b. Detailed work plan including detailed schedule of activities
- c. Fine-tuned approach and methodology
- d. Details of deliverables and timelines
- e. Protocols to be observed during the engagement period
- f. Information and communication plan

The Inception Report addressed the specific concerns of the stakeholders during the orientation meeting and made the necessary amendments to the work plan. Among the changes were the conduct of interviews with national agencies prior to field investigation. Not all agencies were interviewed prior to field investigation as three national agencies (CCC, DILG and OCD) officials were not available. Travel to HLURB Central Visayas office in Cebu City was also suggested as HLURB Central Visayas Region, which covers the Yolanda area (Region VIII), was instrumental in developing the guidelines for enhanced CLUP. Further, travel plans to LGUs were changed to focus on Yolanda affected areas (Region VIII). The focus on Yolanda areas was decided by the

ERG in view of the fact that there were no interventions in PCTP areas after 2015, as noted in the minutes of said meeting. Hence, the shortened trips to Regions X and XI. Resultant to this, no FGDs were conducted in Region X and XI communities due to limited time. Amendments in the plan were communicated to the stakeholders.

Following field investigation, the evaluator conducted a **debriefing session** on May 30, 2019 with the ERG to discuss the highlights of findings. The evaluator presented the actual coverage of the evaluation, preliminary findings, and next steps leading to the drafting of the report. During field investigation and interviews with national agencies no sensitive information relating to corruptive activities, fraud and other malpractices were noted or gathered. Additional requirements such as discussion on M&E and LCCAP were suggested. It should be noted that as of the debriefing meeting, interviews still had to be conducted with the CCC, DILG and OCD. Interviews were conducted with DILG on June 6, 2019 and with OCD on June 10, 2019. Although CCC was scheduled for interview also on June 10, this schedule was cancelled by CCC and recommended that the questions be sent by email as the concerned officers were on official travel. The partial answers (two out of 14) to the interview questions were received in the evening of June 17, 2019. Further efforts were made for the conduct of interview with CCC up to June 25, 2019. These were, however, unsuccessful.

The **Draft Final Report** was submitted to UNDP on June 21, 2019, and was circulated to concerned agencies/stakeholders by UNDP. Only UNDP submitted its comments on June 26, 2019. The draft report was revised incorporating UNDP's comments.

The evaluator waited for comments from ERG members until July 19, 2019. As no further comments were received as of July 19, 2019, the evaluator prepared the **Final Evaluation Report** and submitted it on July 20, 2019. The Final Report included an audit trail detailing the comments raised in the review and the changes/responses made to show how the comments have been addressed. On July 30, 2019, UNDP forwarded to the evaluator the comments from DFAT. The comments were responded to in this revised report. The revised final report was submitted to UNDP on 19 August 2019.

Simultaneous with the submission of the Final Report was the turnover of all reports, statistics, data, and other program documents gathered in the course of the evaluation. All reports, statistics, and other materials, documents and data compiled or produced during the evaluation are considered as exclusive property of UNDP. Upon contract completion, UNDP will retain the exclusive right to publish or disseminate the reports arising from such materials even after the termination of this agreement. The consultant will not disseminate any part of the report or data collected to other parties, except with prior permission or authorization from UNDP.

### ***Geographic Scope and Segments of Beneficiaries***

In terms of geographic scope, the evaluation covered all five provinces (Compostela Valley and Davao Oriental {PCTP areas} and the provinces of Leyte, Eastern Samar and Samar which are the RAPID areas. It should be noted that not all municipalities of these provinces are covered by the program. Three out of three cities, 15 out of 17 municipalities and 8 barangays were covered in the evaluation. Two municipalities (Cateel in Davao Oriental and McArthur in Leyte) were planned to be covered but begged off during the agreed time and date due to other urgent commitments by their officials. The evaluation was conducted at the height of election campaign period and no Local Chief Executives (LCEs) except the Governor of Samar, was interviewed as they were not available.

Officials and volunteers of the 8 barangays were interviewed. Twelve barangays were planned to be visited but only eight were covered due to changes in appointments of evaluator and regional agencies officials. The municipal LGUs chose the barangays and the participants based on the following criteria to ensure that they were representative of the communities covered by the program:

- a. They are within the 150 barangays covered in 12 municipalities in the program;
- b. They must have received /recipients of capacity building, IEC and other interventions provided by the program;
- c. They must have received the goods provided by the program;
- d. The participants in the discussions must have received /recipients of capacity building, IEC and other interventions provided by the program;
- e. The participants should at least have equal number of men and women;
- f. IPs, if any, and persons with disability and youth members should be included in the discussions.

The **national agencies** covered are NEDA and its Region VIII office, DILG and its Region VIII office, OCD and their Region VIII offices, PAGASA and HLURB and their offices in Central Visayas and Regions X and XI. It should be noted that HLURB Central Visayas in Cebu City covers Region VIII which is the RAPID area.

The evaluation covered two universities involved in the implementation of the program. These are the MSU-IIT and XU. Data gathering on UP engagement in the program was done through secondary data assessment due to difficulties in setting appointments for interviews.

The list of persons met in the course of the evaluation is shown as **Annex C**.

### ***Evaluation criteria, questions and performance standards***

The terminal evaluation followed the Organization for Economic Cooperation and Development – Development Assistance Committee (OECD-DAC). The criteria were not selected; rather, they were prescribed in the TOR. The OECD-DAC criteria are sound and universally used in the UN system as well as other bilateral and multi-lateral organizations. These are relevance, effectiveness, efficiency, sustainability, impact and gender equality. Discussions on other DFAT criteria are included in the report.

The performance standards used for these criteria are presented in **Annex D (Performance Standard and Ratings)**. The ratings range from Poor to Very Good following DFAT's rating system

### ***Evaluation questions***

The key questions which the evaluation sought to answer are anchored on the OECD-DAC criteria as shown in Annex A (TOR). The questions were formulated to answer the needs of users. Sub-questions were formulated to these key questions to expand and have sharper focus on the scope of the questions and answers. These are presented in **Annex E (Matrix of Information, Sources, Collection and Analytical Methods)**

## **IV. Evaluation Approach and Methodology**

### ***Approach***

The evaluator adopted a comprehensive approach in undertaking the evaluation. He proposed and employed the project cycle approach in a participatory and consultative manner together with concerned stakeholders. The approach covered the major events and processes of the entire project cycle of the program. Necessarily, the evaluation was conducted both at the field and national levels.

In employing the project cycle approach, the evaluator reviewed the following:

- a. Program Design-The review of program design from PCTP and its transition to RAPID focused on the relevance of the design considering the prevailing situation at the time of formulation; its alignment with local, national and international policies; and appropriateness of the interventions.
- b. Program Operation and Implementation-Various factors influence the effectiveness, efficiency, results and outcomes of projects and programs. Invariably, operational bottlenecks come up and cause delays. The evaluator reviewed the following aspects of the program:
  - i. Management systems and practices at PMU, implementing partners and field levels.
  - ii. Issues related to procurement of goods and services for the program
  - iii. Operational planning and program governance
  - iv. Program resources allocation, disposition, availability and timeliness
  - v. Monitoring and reporting issues which may delay appropriate and immediate response by management on operational issues.
- c. Sustainability and Exit Plan- The evaluator reviewed the sustainability and exit strategy plan of the program to determine its appropriateness and adequacy in terms of sustaining the gains and institutionalization of systems and practices.
- d. Knowledge Management- The evaluator reviewed the systems and procedures and their implementation to determine their capacity in the generation of information and perhaps new knowledge.

### ***Methodologies and Techniques***

The evaluation employed a menu of data collection methodologies appropriate to the nature of the program, its result areas and activities, and their information requirements and utilized quantitative and qualitative methods in analyses to ensure representativeness of data. Interviews particularly, can yield delicate subjective information. To validate this, the consultant employed triangulation technique by conducting confirmatory interview with other respondents.

### ***Data and Information Requirements, Collection and Sources***

The evaluation required numerous primary and secondary data and information from various levels and sources. Secondary data and information were derived from project units both at the national (PMU and national agencies) and LGU levels. These include program documents (project documents of PCTP-RAPID), M&E reports, midterm evaluation report, annual plans and budget (of PMU), memoranda, surveys, management and organizational systems, finance and administration manuals/documents, national policies emanating from program operation results, LGU ordinances and directives and others. Project documents from UNDP and DFAT relevant to the program were sought.

On the other hand, primary data were derived from the interviews (national and LGU levels), FGDs and public consultations (LGU level) which were conducted in the course of the evaluation. There was no scope for conducting surveys due to limited time and the evaluator was a lone operator except in FGDs at the barangays during which a recorder/documenter was hired by the evaluator.

**Annex E** shows the matrix of data and information requirements, data sources, and data collection and analysis methods needed to meet the evaluation purpose and objectives. They are grouped based on the major tasks prescribed for the evaluator.

The collection of secondary data was done through google search on the websites of concerned institutions/agencies and documents requested in the course of the interviews. Secondary data were embedded in documents which were provided in hard and soft copies and through email. Upon review of the documents, the evaluator reverted to the interview respondents to clarify some points, when needed. The UNDP PMU provided valuable assistance in collecting, consolidating and providing the evaluator with the requested documents. The national agencies and LGUs also provided documents that relate to their activities in the program. The list of documents reviewed is shown as **Annex F**.

On the other hand, primary data were derived largely from interviews. The interviews and group discussions were arranged by the PMU at all levels (national agencies down to the barangays). At the barangay level, the PMU was assisted by the LGUs in setting appointments. Some interview information provided by respondents although not considerable instances, required triangulation with concerned entities and this was done immediately after the interview. In the course of the interviews and data gathering, no anomalous or corruptive activities related to the program were reported or noted. To amplify and simplify the key questions and sub-questions shown in Annex A (TOR), the evaluator formulated interview and discussion guides (**Annex G**).

### ***Stakeholder engagement and ethical considerations***

All arrangements for the conduct of the evaluation were efficiently done by the PMU, in particular, by the officer assigned to assist the evaluator. Appointments for interviews and group discussions were made by the officer with the corresponding institutions; whether with national agencies or LGUs. All activities during the evaluation were conducted in conformity with the UNEG Ethical Guidelines for Evaluation. The evaluator also signed the Evaluation Code of Conduct Agreement Form which was submitted to UNDP.

During field investigation and interviews at national agency level, the PMU officer accompanied the evaluator; made the introduction on the purpose of the interview or discussion; introduced the evaluator; noted the need for openness in the interview and discussions and the confidentiality of the results. After the introductory remark, he exited and left the evaluator to proceed with the interview or the discussions. The interviews/discussions considered the available time of the respondents; did not dwell on religious, political and cultural subjects or issues. No promises were made for future interventions. And interviews and discussions were conducted in a cordial and impartial manner.

## **V. Data Analysis**

The data and information gathered in the course of the evaluation were subjected to qualitative and quantitative analysis depending on the nature of information. Prior to analysis, triangulation was conducted for information that may have dubious veracity and for clarification/validation

purposes. Triangulation was done in some instances. One is regarding audit reports and another on delayed payment of services rendered by enumerators and geo-taggers during the first stage of ClimEx.db formulation in PCTP areas. It was also necessary to check the veracity of the claim that ClimEx.db did not build on and collaborate with CBMS.

The analytical tools and techniques are identified in the last column of Annex E. These include the qualitative and quantitative tools. The program had significant interventions on capacity building in all components/outputs. The key qualitative tool is the “learning gap analysis”. This tool compares the knowledge learned and behavioral changes and outputs with the training/capacity building inputs provided. In most cases, the knowledge learned were applied in the formulation of enhanced CLUP, Contingency Plans, LCCAP, CBDRRM Plans, spot maps and Comprehensive Development Plans. By law, they are mandatory compliances by LGUs to concerned national agencies. The compliance and approval of these outputs by concerned agencies is the evidence of learning from capacity building interventions. Some products of interventions led to institutionalization. Among these are land use zoning and other related ordinances passed by the LGU councils. These types of evidences of learning were reviewed to determine their conformity to rules and regulations. At the community level, their knowledge on DRRCC and attitudinal and behavioral changes were tested through group discussions.

Some products of the program such as infrastructure, equipment and materials were verified and assessed through visual examination. Among these are the early warning system tools such as rain gauge, flood height measurement sensors, posters and brochures, GIS laboratory equipment, computers, cameras, evacuation center and others. Validation of these outputs were done through visual inspection.

Financial allocations and expenditures were reviewed and analyzed through cost analysis, comparative advantage analysis and opportunity cost analysis.

The program also employed consultants and service providers. Their outputs were analyzed against the terms of reference.

The above tools are generally used in the analysis of similar interventions and are deemed appropriate and effective. The potential weakness of output-based learning gap analysis lies in the possibility that the outputs were done largely by the mentors and not by the trainees. In this case, triangulation was conducted.

In reviewing the progress of the construction of the Abuyog Evacuation Center, the evaluator, who is not an engineer, relied on the corroborative opinion and interpretation of the S curve of the Municipal Engineer and the engineer of the construction firm.

Analysis of information gathered from group discussions with communities may not be representative as only eight were covered out of 150 barangays covered by the program under RAPID. Time was a constraint in covering more barangays. However, the evaluator validated with the municipal and city LGU officials by asking them similar questions asked of the communities. In almost all instances, the community views were verified as correct information. Outstanding wrong information gathered from the communities relate to funding source for various goods and services they received under the program. This may be due to the numerous of aid givers after the typhoons and many uncoordinated donors providing similar on-field interventions. The respondents may have been confused on this aspect. In retrospect, if one were a distressed victim of disaster and with numerous assistance providers long after the disasters, why would remembering which donor provided be a burden to his/her mind cluttered with emergencies and

basic needs of food, shelter and the needs to normalize life and livelihood. Still, branding and recognition of donors are acts of respect and gratitude to the citizenry of donors whose taxes paid in part in addressing development issues.

The analysis of data and information gathered during the evaluation was done solely by the evaluator who had done significant evaluation works for international and national governments and NGOs. His curriculum vitae is shown as **Annex H**.

## **VI. Findings and Conclusion**

The discussions on findings cover the observations on the following:

- a. Program Design
- b. Program outputs
- c. Program Management
- d. Financial Management
- e. Gender Equality and Social Protection
- f. Policies
- g. Private sector engagement
- h. Innovation
- i. Environment and climate change
- j. Monitoring and Evaluation

### ***Program Design***

The program design was aligned to the country's two PDPs; the DFAT's Aid Program goal and objectives for the Philippines; UNDP's country program as well as the MDG and SDG of the UN. The focus on areas devastated by typhoons coupled with program interventions that focused on long term solutions to address disaster and CC impacts through capacity building and institutional reforms on policies, regulatory, plans and operations complemented the humanitarian and rehabilitation interventions of several donors that came after the devastations. It addressed the key issues on institutionalization and capacity development on DRRCC issues which have national and even global application. It should be noted that aside from hordes of bilateral, multilateral and international NGOs, DFAT and UNDP were also involved in humanitarian, rescue and recovery efforts in these devastated areas.

The coverage of the worst affected municipal LGUs within a province (Region XI and Region VIII) was strategic in the sense that the capacity building and institutionalization interventions in selected municipalities and provinces provided a template of experiences and products for expanding the knowledge base, program products and other valuable insights in replicating them to the rest of the municipalities which were not covered by the program. While this strategy was essential, it added tremendous burden to the provinces considering that the concerned officers have their regular activities and the program had numerous activities that covered just one, two or few municipalities. For example, the provinces of Leyte, Samar and Eastern Samar still had most of their municipalities formulating their CLUPs (not the enhanced CLUP) which the PPDC was assisting. At the same time, the program had new requirements on enhanced CLUP. The same is true with the preparation of CDPs, LCCAPs and others. It was a burden of coordination as the program had numerous meetings they have to attend.

In a departure from program/project formulation norms, there were no program components. Instead, the seven outputs were considered as the components. But components have distinct outputs in planning norms and it could be confusing to readers especially those trained in program/project formulation. As a result, there are numerous components/outputs and some outputs can be grouped into one component. A case for example is the risk assessments (output 1) and mitigation measures (output 2) which are activities leading to mainstreaming DRRCC (output 4). The outputs are interrelated and some could have been integrated into one component. The design did not also have a component/output on project management. This divided the management functions to the outputs and put M&E in limbo.

In terms of resource allocation, the program rightly allocated the biggest resources to output 7 (competency of communities) as they are the most numerous beneficiaries and also the worst affected in times of disasters and calamities. The risk sharing and transfer output should have been integrated with output 7 as apart from DRRCC competency objectives, the majority of beneficiaries are from agriculture and fishery-based economies. In outputs 7 and 5, the program missed the opportunity of poverty impacting measures by not including a more robust IEC on DRR and CC resilient agriculture and fishery practices which are well known.

Finally, whatever the defects of the program design, it was a program that left a lasting legacy on DRRCC in the program areas, in terms of knowledge and practices on disaster resiliency and preparedness and to a limited extent, on climate change adaptation.

### ***Findings on Outputs***

Overall, the outputs achieved most of the envisaged objectives and contributed to the achievement of outcomes as presented in succeeding sections and paragraphs.

The LGUs expressed their gratitude to the program donors and felt lucky that they were selected as program area and as recipients or beneficiaries of systematic processes and products on DRRCC by the program. Their engagement in the program broadened their knowledge on disaster and climate risk reduction and honed their skills related to complying with documentations required by laws as well as national agencies such as the enhanced CLUP, CDP and LCCAP, among others.

**Output 1. Climate/disaster risk and vulnerability assessments produced as a basis for “climate/disaster proofing” future development in the target areas.**

### ***Risks and Vulnerability Assessments***

The program completed five of the six planned risk assessments in both the PCTP and RAPID areas. Under PCTP these are as follows:

1. River Basin and Flood Modeling Study for the selected major rivers of Davao Oriental and simulation of flooding events based on climate change scenarios. Conducted by UP-TCAGP.
2. Generation of Severe Wind Hazard Maps for Selected Typhoon Pablo-affected Areas (Davao Oriental and Compostela Valley Provinces). Conducted by PAGASA.
3. Generation of Storm Surge Hazard Maps for Typhoon Pablo 2012-affected Areas (Boston, Cateel and Baganga, Davao Oriental), under the Project Climate Twin Phoenix. Conducted by PAGASA.

Two hazard studies undertaken in RAPID were completed as follows:



1. Flood modeling study in river basins draining to Dulag, Mayorga and MacArthur. Conducted by PAGASA.
2. Severe wind hazard and risk assessment of the 12 RAPID LGUs. Conducted by PAGASA.

The climate adjusted flood, storm surge and rain-induced landslide modeling and mapping conducted by UP-NIGS under RAPID was not completed due to technical issues. PAGASA did not endorse the output as probabilistic risks mapping was not recognized as acceptable global model.

In Barangay 20, Tacloban City, fire hazard assessment was conducted in the course of plan formulation. It was a necessary deviation as the program areas are prone to various hazards, not only typhoons, floods, severe wind, storm surge, landslides and others; but also, to man-made hazards such as fire and others especially in urban areas. In a country like the Philippines, which is prone to many hazards, undertaking a comprehensive hazard assessment is a MUST. The country is in the “ring of fire” with more than 3,000 earthquakes recorded annually. Most of which are benign/non-destructive. However, more and stronger earthquakes have become more often and destructive to lives and properties. In the course of the evaluation, major earthquakes occurred in Baganga in Davao Oriental and in San Julian in Eastern Samar. In the course of program implementation, earthquakes also occurred in Ormoc City in Leyte.

Apart from earthquakes, the country and notably the eastern and western seabords are along the “typhoon factories” of the Pacific Ocean and the West Philippine Sea. On average, 20 typhoons occur every year according to PAGASA. Typhoons over the years have become stronger and more destructive and aside from the eastern and western seabords, have encroached into areas which for decades if not centuries, had been declared “typhoon-free areas” like Western, Southern and Northern Mindanao areas. The cities of Cagayan de Oro and Iligan in Northern Mindanao were ravaged directly by Typhoon Sendong, a first in several decades.

Disasters, not only in program areas, cover floods, storm surges, landslides, severe winds, earthquakes, etc., are common occurrences. And there are also man-made/caused disasters as a result of weak policy and regulatory regime enforcement. Fire, building collapse and others are largely caused by weak policy enforcement. A desired next step to this program is the strengthening of the enforcement on the policy and regulatory regime related to the program products.

### ***Natural Resources Assessment***

The University of the Philippines Training Center for Applied Geodesy and Photogrammetry (UP-TCAGP) under RAPID conducted the Natural Resource Assessment. However, the study was not completed based on the terms of reference of the Memorandum of Agreement (MOA). RAPID commissioned proof readers to convert the data into natural resource inventory. The detailed inventory of selected natural resources covered forest, agricultural, water, coastal and marine resources. The inventory includes the spatial distribution of these resources, how resources are being utilized for various purposes, and in general, the ecosystem goods and services they provide. The results of this inventory enabled the LGUs of RAPID to have baseline information on resources and ecosystem services in their respective areas which they can use to identify issues and threats that the ecosystems in the target areas are faced with. Similar works in Region VIII and other regions of the country had been conducted by the AMIA (Adaptation and Mitigation in Agriculture) program of the Department of Agriculture.

### ***ClimEx.db***

Based on inventory of existing exposure database, the first iteration of the ClimEx.db in 2013 was developed following the Greater Metro Manila Area Risk Assessment Project (GMMA RA indicators to cover point-based household, building and production areas using mobile devices. This version was used to gather data in selected typhoon Sendong affected areas in Mindanao under PCTP. The second version was developed in 2014 and implemented in typhoon Pablo affected areas. This introduced the use of GPS devices to compensate errors in the coordinates captured by the mobile devices. These proprietary versions were developed by the Diliman Labs. The system developed during PCTP was operational, which allowed it to be used in the program area (Region X and XI), though it had some bugs. The LGUs in PCTP area noted that when they contacted the developer to address the bugs in the system, the developer was unresponsive. Further efforts by the PMU to contact the developer was unsuccessful.

In 2018, UNDP engaged another consultant with clear terms of reference to undertake further work on ClimEx.db. It should be noted that another similar system, the Community Based Management System (CBMS) was already developed and being used by DILG. However, CBMS did not include elements and functionalities on DRR and CC. It was mainly used for planning, monitoring and tracking poverty and MDG performance at community level. The UNDP PMU had initial discussions with the Angelo King Foundation of the De La Salle University for the possible integration of ClimEx.db and CBMS. A Consultant was hired and, among others, to conduct a system review and devise the integration process, tools and procedures and come up with a manual on CBMS-ClimEx.db data complementation. The complementation and integration were piloted in Salcedo, Eastern Samar which already had an operational CBMS. The two systems were successfully integrated using the Qlik Sense dashboard.

**ClimEx.db** would enable LGUs to collect, manage and visualize data required to assess risks and vulnerability of households, buildings and production areas to hazards. The ClimEx.db was developed and introduced as a tool in CLUP+ formulation. It has three platforms:

- a. Mobile survey tool for data collection;
- b. Desktop application for viewing, analyzing and generating tables and charts from the gathered data; and
- c. A server to upload and store all collected data.

The enhancements in the ClimEx.db as implemented in RAPID areas in 2017 are as follows:

1. The mobile and desktop platforms of the ClimEx.db were made operational using open source and free desktop software for data collection and visualization. This would ensure the sustainability of the system as there are available support groups from on-line platforms, rather than rely on developers, as the case of the earlier versions implemented in PCTP areas.
2. The software used were also dynamic which could easily modify targeted indicators. The system could also visualize and process multiple indicators through maps, tables, charts and lists.
3. The system was also simplified and made more user friendly to optimize data analysis and management by different users.
4. The system could also harmonize and integrate other data sources in csv and kml files.

The program products in this output are well appreciated by the communities, LGUs and national agencies. The risk assessments contributed to a body of knowledge, which in the LGU areas and concerned national agencies were not known before, in terms of the specificity of information and location. This body of knowledge provided inputs which enriched the policy, regulatory and operational regimes of LGUs and national agencies as discussed in succeeding sections.

The knowledge derived from these risk and vulnerability assessments provided guidance in development planning, local and national land use policies and regulations. They also provided a sound basis for the formulation of guidelines for enhanced CLUP, contingency plans, CBDRRM plans and LCCAP. As the vulnerability and risk assessments were conducted together with LGU officials, the experiences were also “hands on learning and transfer of knowledge” or the so-called “learning by doing” strategy to concerned LGU officials.

The ClimEx.db software had since been introduced to the LGUs in Region VIII and used for the formulation of the enhanced CLUP, Contingency Plans, CBDRRM plans as well as the CPD. It has found numerous applications in planning, targeting beneficiaries, proposal evaluation, and M&E. Balangiga, Eastern Samar used ClimEx.db in identifying households which would be provided with toilets and potable water. It has also generated numerous demands from LGUs (municipal, city, provincial) and national agencies (HLURB, NEDA, OCD). The enhanced ClimEx.db need to be reintroduced to Sendong and Pablo areas and is now being requested. The program is ending in June 2019 and there is a need to sustain the gains from this system and respond to numerous demands. OCD proposed the adoption of ClimEx.db to NDRRMC. Similarly, CCC intends to consider housing the system. It will present it to CCAM-DRR Cabinet cluster for discussion and national scaling. CCC may also choose to showcase the 12 LGUs in RAPID for other LGUs to assess how they can lodge the system locally and include funding from their annual investment plans.

### ***iPDANA***

iPDNA (IT-based Post Disaster Needs Assessment) is one of the products that were not originally included in the program design. The program together with the UNDP PDNA Global Roll Out Project, conducted a quick review of the PDNA methodology being used by OCD with the PDNA teams of NDRRMC to align it to global standards and introduced the disaster recovery framework as a complementary tool for recovery planning. Based on this, the IT-based PDNA tool was developed to facilitate data collection and costs estimates of losses and needs.

The LGUs were using guidelines issued by various national agencies in assessing post disaster damage and needs. The LGUs, in particular the province of Samar, Tacloban City and the municipalities of Balangiga and Tolosa found the iPDNA tool comprehensive, easy to use and addresses the concerns of national agencies. They requested that this evaluation report recommends the tool to be adopted by NDRRMC and OCD.

As initially discussed with OCD RRMS, the iPDNA Tool will be finalized after the review and updating of the PDNA Guidance Notes. **This may need further validation with OCD.** After several workshops conducted, it was raised by the expert participants that the Guidance Notes needs enhancement to capture updated indicators set by the different agencies related to PDNA. They also recognize the importance of the iPDNA to hasten data collection and consolidation, in addition to its purpose of providing the baseline and post-disaster information. However, the iPDNA can only be developed once the indicators of the Guidance Notes are updated.

**Output 2. Priority disaster mitigating measures such as community-based and managed early warning systems (CBMEWS), Multi-Hazard Early Warning System (MHEWS), contingency plans, re-engineering standards, and other resilience building interventions developed and implemented.**

The program introduced a slew of mitigating measures following the conduct of hazards assessments at the provincial, city, municipal and down to community levels.

***Early Warning Systems***

Early warning system is a MUST information system for everyone, by any means, anytime and anywhere especially in the Philippines to prevent loss of lives and properties. The program introduced this system, largely to municipal and barangay LGU officials. The Community Based and Managed Early Warning System (CBMEWS) was introduced to barangays covered by the program. The system introduction started with information dissemination and training of concerned barangay constituents. Simple gadgets like megaphones, hand held radios and flash lights were provided to 150 barangays in RAPID areas. The system also included drills for various hazards and were participated in by community members.

Under PCTP, CCC and PAGASA entered into a MOA for the development and installation of Flood Hazard Early Warning System (FHEWS) within the three river basins of Cagayan de Oro, Iponan, and Mandulog. Under the MOA, PAGASA would identify the sites for the facility; define the specification standards and operation and maintenance protocol for the system; and submit Project Completion Report including full documentation of project activities (e.g., field survey, installation, development of EWS protocol, IEC campaigns). Flood monitoring facility and systems were installed in Cagayan de Oro River in 2014. In 2018, the facility was damaged and PAGASA replaced the sensor that indicates the water level of the river. The river basins in Cagayan de Oro, Iponan and Mandulog as well as in Compostela Valley have now been included in the 18 major river basins program of PAGASA and are locally and nationally monitored on-line. In June 2019, PAGASA demonstrated to the evaluator the online monitoring of water levels in the two river systems (Cagayan de Oro and Compostela Valley).

Under RAPID, the MHEWS is to be installed in the whole river basin covering the six municipalities ( the flood plains of Dulag, Mayorga and MacArthur and the upland areas of Burauen, La Paz and Julita) where the weather monitoring stations will be installed. Anascomm Electronics Supply Co was commissioned by UNDP to supply and install the instruments and systems, while PAGASA will provide technical assistance and supervision. Leyte province covered the expenses for civil works. The 6 LGUs are responsible for the operation, monitoring and maintenance of the facilities. The system will warn 41 barangays from the coastal municipalities against floods and storm surges. The barangay EWS includes 2-way radios, megaphone and transistor radios as part of CBDRRM.

***Evacuation Centers***

The multi-purpose building constructed in Brgy. Balocawe, Abuyog, Leyte is a model of permanent and safe evacuation center in one of the RAPID's municipalities. It was constructed in safe location that can withstand multi-hazards informed through the risk assessments, and compliant with the National Building Code as well as DSWD's requirements for evacuation centers. The tsunami drill indicated that the center could be reached by targeted communities in 30minutes of walking. It will primarily serve as temporary dwelling for evacuees in Abuyog and nearby municipalities in times of disaster and calamities and will serve as training center for

disaster preparedness for the municipality of Abuyog and nearby municipalities. The specifications of facilities were based on lessons learned and best practices on evacuation centers funded by other funding agencies and OCD regulations.

The center has a total floor area of 720 sqm which can accommodate 150-200 individuals during disaster. The ground floor (3.20M height) has evacuation rooms (can also be used as class rooms); MDRMO Operations Center with disaster monitoring system clinic w/ provision for children and women-friendly spaces; couples room; laundry area and service area/ wash area with provision for drying; cooking and food preparation area; garbage disposal (with segregation management and proper disposal); storage room; separate toilet and shower rooms for males and females; separate persons with disability (PWD) toilets; PWD ramp; and children and women-friendly spaces. The Second Floor (3.0M height) has 3 evacuation rooms; separate toilet & shower rooms for males and females; isolation and storage rooms; and child and elderly-friendly hallway and stairs. The center has a concrete roof deck with provision for solar panel installation. The flooring is waterproofed with adequate slope for drainage to water tanks. And it has water tanks for rain water collection and stainless steel reserved potable water tanks.

To sustain the facility, the Program entered into a Memorandum of Agreement (MOA) with the municipality of Abuyog to ensure the operation and maintenance of the facility. The MOA required the municipality to provide personnel and operation and maintenance funds for the center in its annual budget.

The communities and municipalities **without evacuation centers** designated public and religious buildings as temporary evacuation centers. Aside from these evacuation centers, the communities adopted the “adopt a family scheme” which during calamities, families with safe houses allowed other family or families to take temporary shelter. Every family/household was given a color code which indicates the evacuation center to go to during calamities. Drills were conducted community-wide. The drill procedure followed a system of prioritization: First to be assisted and accosted to evacuation centers are the pregnant women, persons with disability, senior citizens and children. This was followed by adult women and men.

### ***Contingency Plans***

All LGUs and communities visited have prepared **contingency plans** for various hazards. The Contingency Plans guided the LGUs in constructing/designating evacuation centers. The contingency plans in program areas are superior in terms of scope and compliance with OCD regulations as noted by OCD respondent. The same is said of the Community Based Disaster Risk Reduction and Management Plan (CBDRRMP). The discussion on CBDRRMP is in Output 7. In the formulation of Contingency Plans and CBDRRMP, the PMU of RAPID hired some retired OCD directors as technical experts to assist the LGUs and barangays/communities.

### ***Other LGU Initiatives***

Apart from the above initiatives, some LGUs (New Bataan in Compostela Valley, Lawaan and Balangiga in Eastern Samar) also took further initiatives on solid waste management. The LGU officials noted that their learnings on flood hazard assessment inculcated in them the importance of proper solid waste management which they claimed to be contributory to flood in their areas. It should be noted that the LGUs are required to follow the provisions of the Ecological Solid Waste Management Act, which many LGUs perfunctorily comply with. The flood hazard assessment noted that solid wastes are contributory to floods especially in urban areas. These LGUs have

passed ordinances on the segregation of solid wastes; conduct regular cleaning of drainage canals; invested in vehicles (albeit, not the proper garbage trucks) for regular garbage collection and disposal of garbage. New Bataan and Balangiga have resorted to composting some solid wastes.

**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.**

Various capacity building interventions were conducted by the program to LGU personnel. During the hazards assessment period, they had hands on training on assessing the impacts of disaster hazards and their interpretation and application in various plans that they had to undertake. They were also provided training in the course of the development and operation of the ClimEx.db, especially in Region VIII. Training courses and on the job mentoring were also provided on the application of supplemental guidelines for Contingency planning, enhanced CLUP, LCCAP and others. Knowledge and skills from the training programs were applied eventually in the formulation of Comprehensive Development Plans.

The key and concerned officials of LGUs at city and municipal level exhibited sufficient knowledge on climate change and disaster risks. They attributed this to the numerous training programs and information provided by the program. Some LGU officials also noted that their wrong knowledge from other interventions were corrected by the mentors of the program. It should be noted that PCTP-RAPID was not the sole provider of information on climate change and disaster risks reduction and management. However, what is significant is, most municipal officials attributed this knowledge to the program. The interviewees accorded this to program staff and officers and resource persons who were persistent.

Proof of their knowledge and skills on DRRCC are their approved enhanced CLUP, LCCAP, Contingency Plans and Comprehensive Development Plans. In turn, they became resource persons of their Sanguniang Panglungsod (Municipal Councils) in crafting ordinances on land use zoning and related ordinances. Some were also used as resource persons in formulating enhanced CLUP in municipalities outside the program area.

The officers of Xavier University also noted that their engagement in the program offered valuable knowledge and skills on DRRCC and led them to the development of training modules on disaster governance which they use in their extension services to LGUs and communities.

**Output 4. Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA) mainstreamed into land use, socio-economic plans, and investment programs at the national and local level.**

***Mainstreaming Enhanced CLUP***

Evidences of DRRCC mainstreaming are the approved plans and ordinances as mentioned earlier. The enhanced CLUP is now part of HLURB regulatory framework and is being used beyond the program areas. There was massive demand for technical assistance from HLURB on the use of supplemental guidelines for enhanced CLUP and some LGUs have sought assistance from MSU-IIT and XU which have continued to respond by conducting training on CDRA as well

as the provision of GIS maps. HLURB is constrained to respond to LGU requests due to lack of personnel. LGUs in dire need are those in the 4<sup>th</sup> to 6<sup>th</sup> classes.

LGUs have made use of enhanced CLUP in development plans and have passed ordinances related to land use. In implementing Land Use ordinances, the major issues relate to relocating settlements from hazard-prone areas; and relocating existing LGU and private structures from hazard areas. These issues have financial and legal implications especially for private properties which were issued building permits prior to the ordinances. Retrofitting buildings is an option but still, it requires investment.

### ***Bay-wide Coastal Zoning***

The program commissioned a study and framework plan formulation for the San Pedro Bay and Leyte Gulf Basin (SPBLGB) covering the 11 municipalities and Tacloban City in RAPID area. The framework plan defined the spatial strategy to guide land and water use decisions to mitigate the impact of climate change. It used the ridge to reef approach and multi-criteria land suitability and use analyses and recommended harmonization of CLUPs as well as guidelines for updating the Provincial Development and Physical Framework Plans of the three provinces (Samar, Eastern Samar and Leyte). The CLUPs, however were completed prior to the adoption and approval of the SPBLGBFP by the Regional Land Use Committee of Region VIII Regional Development Council (RDC) on October 16, 2018 and subsequently by the RDC. However, the LGUs agreed to abide with the recommendations in the Framework Plan.

This was a pioneering innovation as it involved the joint cooperation of multiple municipalities and Tacloban City. Similar endeavor in the past covered just one LGU due to difficulties in securing the commitment of neighboring LGUs. At the time of evaluation, ordinances were passed by LGUs relating to the provisions of the plan, e.g. unified ordinance on enforcement of policy on illegal fishers.

### ***Comprehensive Development Plans and Guidelines***

The inclusion of CDRA concerns are evident in LGU **socio-economic plans** and annual investment plans (AIP). This is also reflected in the mainstreaming guidelines developed under the project with DILG, similar to what was done for the CLUP with HLURB during PCTP. The guidelines is now being finalized. At the time of evaluation, 11 municipal LGUs (in both PCTP and RAPID areas) noted that they have invested beyond the mandated 5% of their IRA on DRRCC related investments. Records of these investments were promised to be sent by email but none was received. While these are generally small investments (canal clearing or construction, advocacy and related DRRCC works), it is commendable as their IRA are generally small (from PhP 26 to 68 Million in 2019). Following the formulation of their Comprehensive Development Plans and Contingency Plans, the LGUs formulated projects for financing under the CCC Peoples' Survival Fund (PSF) and Municipal Development Fund (MDF) of the Department of Finance (DoF). All have not been successful in accessing these funds. One municipal LGU (Baganga, Davao Oriental) noted that their proposal to PSF was approved but had not received assistance two years after approval (May 2019).

With regard to CBDRRM Plans, 150 barangays in RAPID area have adopted the plans as guide for the Barangay Disaster Risk Reduction and Management Committees. They are also being used by OCD as templates for other barangays outside the program area.

### **PDEM**

NEDA was the implementing agency for the development of guidelines for the integration of DRRCC concerns in the Project Development and Evaluation Manual (PDEM). It encountered issues related to consulting arrangements but eventually rectified and addressed the issue through staff diligence and replacement of consultant. The guidelines were completed but mainstreaming the guidelines will involve a series of consultations with national agencies and approval by the ICC. Various processes still need to be conducted prior to adoption prior to approval by the ICC and the NEDA Board.

### **PEIR Study**

Consistent with the value-adding objectives of the RAPID Program, a Climate Change and Disaster Risk Reduction Public Expenditure and Institutional Review (CC-DRR PEIR) was also undertaken. The study analyzed the interphase between policies, institutions and public expenditure related to DRRCC. It considered the implications of national and sub-national planning and budgeting processes to sustainable development, disaster resilience and climate change adaptation and mitigation. The study yielded increased understanding and better prioritization of CC and DRR across public investment portfolios; and recommended measures for balancing mitigation/ preparedness and post-disaster expenditures; as well as other policy measures. The results of the study are now being used in the updating of NDRRMP.

### **LCCAP**

The LGUs are required by DILG to formulate and submit the Local Climate Change Action Plan (LCCAP). LCCAP is the local version of the National Climate Change Action Plan of the CCC. The Local Government Academy (LGA) had earlier issued the Enhanced Guidelines on LCCAP Formulation (Books 3 and 4) but compliance was low in terms of number and substance. Under RAPID, DILG Region VIII and with guidance from CCC and the Local Government Academy was tasked to formulate a simplified Instruction Manual on LCCAP formulation including a template for LGUs to follow. The manual incorporates location specific CDRA, the strategic actions and policies as well as the plan's monitoring and evaluation. DILG Region VIII further assisted the 12 LGUs in formulating their LCCAPs. With the simplified manual and workshops, the LGUs were able to complete and have their LCCAPs approved by their local councils. Corresponding ordinances were also issued.

As of June 2019, the Bureau of Local Government Development (BLGD) noted that the instructions manual was being printed and will be one of the materials which LGA will use in a series of training programs for newly elected Local Government Executives (May 2019 election).

### **Output 5. Risk sharing/transfer mechanisms developed and showcased**

This output is the least funded among the program outputs and was implemented only in RAPID areas. Activities relate to providing alternative livelihood such as hydroponics (water-based culture of plants, mainly vegetables), welding (through training) and operation of sari-sari or convenient stores. An environment and DRRCC related activity was the mangrove plantation. But this was done in just one community.

The RRI was implemented as part of the resource mobilization and preparatory activity for the CBDRRM. The objective of this component is to set-up the involvement of various stakeholders i.e. LGUs, communities, youth, business groups, etc. so that they will be more involved during



actual CBDRRM. Unfortunately, due to issues on fund mobilization, availability of the CBDRRM consultant/trainers, retention of the PMU focal, and internal difficulties within LGUs, the RRI component failed and lessons learned were not fully documented.

The poor are the worst affected by CC and disasters and majority of communities are agriculture and fishery-based economies. The program missed the opportunity of engaging the municipal agricultural officers and extension workers in disseminating climate resilient agriculture and fishery practices.

#### **Output 6. Knowledge management on Disaster Risk Reduction and Management and Climate Change Adaptation developed and implemented.**

The knowledge generated by the program are embedded in its numerous products which are archived in LGUs and national agencies. Experiences in developing the products are generally presented in M&E reports as well as the Mid Term Evaluation Report; and to some extent in this report. At the LGU level, some officials noted that the experiences and learnings in the development of the products led to deep appreciation of the importance and power of information.

Experiences and documents relating to partnerships, apart from M&E reports are also in the archives of the PMUs of CCC and UNDP. To some extent information on partnership performance between UNDP and DFAT are recorded in the latter's Partner Performance Assessment (PPA) reports copies of which are maintained by UNDP.

With respect to the dissemination of knowledge and information especially to barangay constituents, these were largely done through the mentors and the municipal officials during their barangay monitoring visits. But generally, these visits are few and far in between.

There used to be a PCTP-RAPID website and Facebook account but this was not maintained and was subsequently closed. The program also supported CCC in the development of a knowledge management portal.

The knowledge management system of the program in both NIM and DIM periods is noted to be generally weak; too inward looking and generally inefficient. The general weakness is noted in CCC's response to an emailed interview question: " CCC intends to archive all knowledge products generated by the program. These will be included in the CCC Knowledge Management System that is being developed. Relevant outputs will be brought up in the development of national plans and framework such as the National Climate Risks Management Framework". This indicates passive analysis of program and related product information and their dissemination at the time of program implementation. Under DIM, no significant improvement in knowledge management was noted.

The program is also noted to be "inward looking" as numerous products (information, systems and technologies) had been developed and lessons learned, but information dissemination had been largely directed to the program area stakeholders. Further, in both NIM and DIM periods, major developments such as those in AMIA and other programs by GPH and with donor agencies, were not incorporated in program operation. A case in point, among others, is the non-inclusion of DRRCC-resilient agricultural and fisheries/marine technologies. And despite availability of revised standards on DRRCC – resilient infrastructure, no activity/intervention, even in information dissemination was undertaken under the program to assist the LGUs in rebuilding, retrofitting or building new structures; although they have mistakenly attributed this to PCTP. For RAPID areas, the LGUs were provided with available design standards for resilient infrastructure, i.e., use of 100-year return period in design of bridges and or water crossing structures, use of climate-

adjusted risk assessment in designing the evacuation center, etc. Mainstreaming of AMIA tools was also used to complement the risk and vulnerability assessment done for agriculture sector during the sectoral analysis and planning for CLUP, CDP and LCCAP preparation.

**Output 7. Competencies of barangays and communities 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.**

The key intervention related to the output revolved around the Community Based Disaster Risk Reduction and Management (CBDRRM). The CBDRRM as implemented in 150 barangays in 11 municipalities and one city in Region VIII under the RAPID era was a comprehensive package of interventions that included capacity building, planning and coaching and mentoring until the completion of the CBDRRM plan and spot maps. About 30 participants per barangay or a total of 4,500 were involved in the intervention. Wittingly, the PMU engaged the services of retired OCD directors as technical experts in conducting the CBDRRM activities. The process commenced with the conduct of community risk assessment based on hazard maps and assessments under Output 1. This also served as part of the capacity building intervention.

Following capacity building interventions, the trained barangay constituents were mentored in the formulation of the CBDRRM Plans. With CBDRRM in 150 barangays, the BDRRMCs were revitalized and reorganized in compliance with the OCD requirements. The CBDRRM plans were formulated based on the vulnerabilities of each community to hazards. In addition, the technical experts reviewed the BDRRMC structures, composition and functions. This resulted in the revitalization and reorganization of BDRRMCs to conform with OCD regulations. The CBDRRM plans were certified by OCD to be compliant with the provisions of the DRRM law. The OCD Service Director noted that the CBDRRM plans were superior compared to other plans of barangays outside the RAPID program area. The outputs are planned to be cascaded to other barangays in the country as templates for CBDRRM plans.

While the products of Output 7 are impressive, replication, not replicability, is an issue. OCD has limited resources (personnel and funds) to replicate this modality of intervention nation-wide. The intervention costs about PhP 110,000/barangay. One option for replication is for OCD to train a cadre of local trainers in each of the province of the country. This will reduce the travel costs of trainers/experts significantly. Further, cost sharing with municipal LGUs is another financing option especially for 1<sup>st</sup> to 3<sup>rd</sup> class LGUs. 4<sup>th</sup> to 6<sup>th</sup> class LGUs and barangays will be hard pressed to co-finance such intervention given their limited resources. Another option is for OCD to negotiate for the inclusion of this in the mandatory training of newly elected LGU officials being conducted by the LGA and in the NDRRM institute of OCD.

The IEC of the program related to barangays and communities is rather weak. Apart from the short (three months) engagement of technical experts, the program largely relied on municipal and barangay officials in disseminating DRRCC information who in turn were expected to echo the information to barangays constituents. In most cases, only barangay officials and volunteers (Barangay Nutrition Scholars or BNS and Barangay Health Workers or BHW) were trained by municipal officials. Barangays re-echo this info to constituents, more often, just one time, during barangay assemblies. Barangay officials come and go every three years. Multi-sectoral approach would have been more effective. The program should have introduced a more robust IEC interventions and mobilized other community leaders (religious leaders, teachers and others).

### ***Program management***

The program management structure had a Program Management Board (PMB) co-chaired by UNDP and CCC with partner national agencies as members. The PMB is the policy-making body of the Program. The Program Management Unit (PMU) headed by a Chief Technical Adviser (CTA)/Coordinator during the NIM era and by a Project Manager under DIM provided day to day management of the program. A national inter-agency Technical Working Group (TWG) was organized to assist the PMB and the PMU on technical issues. As noted in the MTR, the PMB meetings had low frequency and the TWG was not mobilized. This may have contributed to delays in decisions related to program implementation. The TWG was not mobilized ; instead, expert groups were utilized to address specific technical issues.

The PMB structure was inclusive of the key agencies and other stakeholders. The change in CCC leadership (CCC Secretary co-chairs the PMB) with varying perspective on program direction and the infrequent meetings reportedly contributed to the delay in program implementation. On the other hand, the PMU which had no dedicated Program Manager during the NIM period, coupled with conflicts among consultants, contributed to delays as well as inefficiencies and ineffectiveness in program implementation. UNDP, as administrator, was ineffective in addressing management issues; hence the low physical progress up to 2017. The PMU had capable staff but with ineffective leadership, no common office space and other factors, were unable to perform their tasks properly and deliver the planned outputs on time. This also contributed to the delays in the operation of national agencies.

With the shift to DIM, the PMB structure remained the same with CCC co-chairing it. A dedicated Program Manager was hired together with some technical staff of the PMU. Some former PMU staff were retained. With improved management system including procurement and focused operation, the Program physical and financial progress significantly improved in 2018 until the program closure in June 2019.

The link between LGUs and program at central level was not well defined. At the local level, MOUs with the provinces and cities was expected to govern local program operations. As for provinces, the role of the provinces was not well defined, as well.

### **Partnership**

The program, given its complex management, administration, organizational and implementation configurations, had similar complexities in partnership arrangements and execution. Despite MOAs and other agreement instruments, violations and transgressions as well as neglect and non-conformances were noted in the conduct of this evaluation.

The partnership between DFAT and UNDP, while generally smooth and productive was marred with miscommunication resulting in misunderstanding some aspects of program operation. Among them are as follows:

- a. The expectation on the part of DFAT for continuing operation of PCTP in 2015 and onwards but the PCTP account was closed.
- b. The claim that COA audit reports were not submitted although UNDP claimed to have submitted them. In addition, UNDP submitted to DFAT and COA the 2017 Action Plan for Prior Year's Audit Findings.

- c. The claimed inability of UNDP by DFAT to address COA audit repetitive findings although UNDP claimed to have addressed them;
- d. The inquiry on interest earnings although the agreement between DFAT and UNDP states that interest earnings would revert to UNDP general fund;
- e. The expectation that UNDP would finance some activities under Output 5 (Risk Transfer) that did not materialize; and
- f. The expectation of DFAT that the increased allocation for Output 7 (Community capacities) under CBDRRM would lead to a more robust IEC that would cover broader aspects and audience of DRRCC such as resilient agriculture and fishery, among others. This did not materialize and resulted in low expenditure of CBDRRM fund (16% utilization).

UNDP was the program administrator and its partnership with CCC during the NIM period had not been that smooth either. A case in point was the insistence of CCC to engage UP-NIGS despite objection from UNDP and advice to use PAGASA for the conduct of climate adjusted/probabilistic mapping as it would breach the mandate of PAGASA. This resulted in non-acceptance of the output by PAGASA at a significant expense.

Relationship between CCC as executing agency and the partner national agencies and LGUs was marred largely due to delays in the remittances of funds for program operation. Although these were covered by MOAs between CCC and the national agencies/LGUs, the provisions of the MOAs, particularly on the timing of remittances were not strictly followed. Delays in remittances were also cited in the case of UNDP during the DIM period.

All involved national agencies had partnerships with the LGUs in the conduct of corresponding program activities assigned to the specific agencies. The LGUs appreciated the inputs from the national agencies as they provided knowledge and skills in mainstreaming CC-DRR in all their development plans and long-term land-use plan and zoning ordinance. The LGUs however, expected that the national agencies could synchronize their activities as they claimed that various national agencies' activities were conducted simultaneously, especially in RAPID areas where all the outputs were done in parallel, noting that activities were in-full swing only in the last year of implementation.

Partnership with academic institutions was not fully explored and even with two partner universities, partnership was not sustained. They could have been significant technical extension arms in program operations.

### ***Procurement***

The program encountered management issues especially during the NIM period. Delays in procurement and subsequently operation were encountered. This was attributed largely to lack of personnel and changes in CCC leadership. At one point, procurement of office space for the PMU was so delayed that the staff had no common office to work in. Remittances to national agencies and partners at local level were more often delayed. One municipal LGU in Davao Oriental did not even bother to collect the 7<sup>th</sup> tranche of payment for geo-taggers and enumerators. Procurement issues were addressed during DIM period.

Procurement of consulting services suffered several setbacks. Among them are in the first version of ClimEx.db in which the consultant became unresponsive in addressing the bugs in the system and in increasing the functionality of the system; in Natural Resource Assessment in which the consultant did not complete the resources analysis; the hiring of UP-NIGS for climate-

adjusted/probabilistic maps which output was not endorsed by PAGASA and the work was within the mandate of PAGASA; the hiring of HLURB officer as consultant which was a breach of protocol in civil service regulations; and the hiring of consultant for CDP guidelines who did not complete the work.

Except in the case of UP- NIGS and the HLURB consultant, the contracts were terminated and replacement with new consultants was undertaken. In the case of UP-NIGS consultancy, UNDP advised CCC regarding the potential breach of PAGASA mandate but the contract was pursued. The engagement of UP-NIGS at a higher cost in undertaking the hazard and risk mapping over the mandated GPH agency PAGASA at a lower cost breached the program's protocol regarding engaging mandated GPH agency. The product of UP-NIGS eventually was not used due to non-acceptance of methodologies by the mandated agencies and non-endorsement by PAGASA. As noted earlier, the evaluator was unsuccessful in validating this and other aspects with CCC as arrangements for interviews failed.

A Land Use Consultant was hired primarily to assist the LGUs in the finalization of the CDRA in the updating of CLUP. The intention of the hiring was never to displace HLURB-CVR and the agency's capacity development in CLUP updating but to supplement it. However, the Consultant failed to deliver and therefore the Contract was also terminated.

The details of consultancy works are discussed in detail in specific outputs where the consultants were hired. Among the flaws in failed consulting arrangements are in the formulation of clear terms of references; lack of diligence in background checking and in scrutiny of CVs and previous works of candidates.

As part of UNDP procedure, the failed consultants are recommended not be considered for future contracts. This is effectively a blacklisting modality.

Some national agencies and LGUs noted delays in remittances of funds during implementation of the PCTP. During the development of the first version of ClimEx.db, the release of funds to LGUs/university for payment to enumerators and geo-taggers were noted to be often delayed and LGU officials resorted to using their personal funds to pay them. It came to a point when one LGU in Davao Oriental did not even bother to request for the last or 7<sup>th</sup> tranche of payment. The defect in this procurement is due to numerous tranches of payment (7) over a short period of three months. This also caused undue and frequent administrative works to review outputs and process payments.

While the review of expenditure items indicated that the PMUs were generally prudent in their procurement activities as the rates of most services (consultancies, training expense items) and prices of goods were within normal ranges, there were instances of misjudgment. These are in the hiring of consultant in the first iteration of ClimEx.db and the engagement of UP-NIGs for climate adjusted/probabilistic mapping. Both contracts failed and were at high costs. No fraudulent practice was noted in the procurement activities.

There are lessons learned here and these are discussed in Chapter 8, Good Practices and Lessons Learned.

### ***Financial Performance***

As of June 30, 2019, the program had disbursed US\$8,862,523.31 or 95% of total grant fund for the program equivalent to US\$ 9,303,942.91. The balance of US\$441,419.60 is programmed for committed/obligated expenditures largely to suppliers of goods and services and PMU overhead

costs. The PMU expect full utilization of the fund with the payments for committed /obligated budget.

Of the total grant, US\$2,061,273.98 or 22.15% was spent under PCTP. The remaining 77.85% equivalent to US\$7,242,668.93 including the balance for committed/obligated budget equivalent to US\$441,419.60 is reckoned as expenditures under RAPID.

The grant fund must have earned interest as three fund transfers were made over the seven-year period . Following the agreement between DFAT and UNDP, interest earnings on the grant fund would revert to UNDP general fund. This being the case, the evaluator did not gather information on the magnitude of interest earnings.

The financial records indicated wide variances between budget allocation and expenditures (Table 4). Of the seven outputs, six outputs had over-expenditure ranging from 16% to 110% over the approved budget. Only one output (Output 2) had under-expenditure equivalent to 42%. Similarly, expenditure for CBDRRM allocation was recorded at only 16%. Obviously, budget re-allocation was made to allow over-expenditure in most outputs. The reallocation of funds was to cover new activities such as the evacuation center in Abuyog, CBDRRM and other activities in other outputs. Although the reallocation was able to enhance the attainment of objectives of some outputs, the reallocation of significant funds (US\$ 2,782,931.35) for CBDRRM was not justified given the limited time available for further enhancing the IEC in Output 7. As a result, only 16% or US\$ 437,258.55 of allocated funds for CBDRRM was spent and further reallocation had to be undertaken.

The level of expenditures by output or component is shown in Table 4 below.

**Table 4. Fund utilization by output/component, June 30, 2019 in US\$**

Output	Allocated Budget	Expenditure	Balance	% Utilization
1	1,461,071.27	3,070,494.59	(1,609,423.32)	210
2	1,815,060.62	1,048,670.51	766,390.11	58
3	336,677.54	693,462.60	(356,785.06)	206
4	1,341,884.09	1,597,139.49	(255,255.40)	119
5	176,469.26	272,383.43	(95,914.17)	154
6	178,883.82	337,938.69	(159,054.87)	189
7	1,210,964.96	1,405,175.45	(194,210.49)	116
8CBDRRM	2,782,931.35	437,258.55	2,345,672.8	16
<b>Total</b>	<b>9,303,942.91</b>	<b>8,862,523.31</b>	<b>441,419.60</b>	<b>95</b>

Given this, it is likely that the flaw in resource allocation was during the design stage. The flaws may cover under or over estimation of scope of activities and corresponding costs.

The annual fund utilization is shown in Table 5. The low utilization on the first year and significant increases in following years are expected in project and program implementation. The program, however underwent a hiatus between 2015 and 2017, yet significant expenditures (estimated at 40% in terms of financial progress) were incurred during the period. And with low physical accomplishment of about 20%. The reasons posited for this are the payments for

committed/obligated expenditures for contracted works, goods and services and continuing expenditures on overhead cost items.

**Table 5. Fund utilization by year , April 28, 2019, in US\$**

<b>Year</b>	<b>PCTP</b>	<b>RAPID</b>	<b>Total</b>
2012	218,390.38		218,390.38
2013	740,405.01		740,405.01
2014	1,102,478.59	161,819.15	1,264,297.74
2015		1,610,887.46	1,610,887.46
2016		930,962.24	930,962.24
2017		1,019,335.57	1,019,335.57
2018		2,105,088.57	2,105,088.57
2019		973,156.34	973,156.34
<b>Total</b>	<b>2,061,273.98</b>	<b>6,398,853.70</b>	<b>8,862,523.31</b>

### ***Environment and Climate Change Considerations***

The PCTP-RAPID Program is a green program with activities that supported environment protection. The activities of the outputs did not pose possible environmental impact or degradation except the construction of the Abuyog Evacuation Center. Prior to the construction of the center, environmental impact assessment was conducted and it was granted Environmental Clearance Certificate.

The use of NRA adopted the ridge-to-reef approach in the assessment of the focus natural resources. Following this approach, the project areas have been expanded to include all watersheds draining along the coast of the project city and municipalities. Results of the NRA (Natural Resource Inventory conducted by UP-TCAGP, supplemented with analysis done in CDRA and BCZLUF to make it a full-blown NRA), as well as in various training given to LGUs emphasized that processes and activities in the upstream environment are shown to affect the processes and activities in the downstream environment, e.g., a decline in forest cover can result in less water supply and more runoff and erosion from the uplands. This can adversely affect the agricultural lands, river and coastal water quality and the coastal habitats such as seagrass and corals

As espoused by RAPID, the ridge-to-reef approach was adopted by LGUs in all their development planning. This is further institutionalized with the adoption of the San Pedro Leyte Gulf Bay-wide Coastal Zoning and Land Use Framework in the RLUP.

### ***Monitoring and Evaluation***

The program used the UNDP Monitoring and Evaluation System which potentially can provide evidence-based information for decision making and program performance information. The M&E plan and arrangements for execution was put in place. There was no explicit budget allocation for M&E and this may be due to the absence of explicit Program management component/output. Further, there was no baseline survey conducted for the whole program except for the Natural Resource Assessment which was the baseline study for the physical and ecological characteristics of the 12 RAPID LGUs. A Capacity Assessment of all these LGUs was also

undertaken during the first year of RAPID implementation. Moreover, the Local Government Performance Management System (LGPMS) should have also provided some baseline information on the LGUs.

The M&E system was not well utilized and may have contributed to delays in operation during the NIM period.

For most products such as enhanced CLUP, LCCAP, CBDRRM Plans, Contingency Plans and others, however, the “with and without” method of performance analysis was sufficient to draw conclusion.

M&E systems serve critical purposes in program management. But, if the system is not fully used, it loses its relevance. The delays in procurement, payments and others during the PCTP period could have been avoided if the reports and feedbacks were made on timely basis. Monitoring should also be pro-active to avoid further delays. Pro-active monitoring requires immediate action after noting or receiving feedback.

### ***Private Sector Engagement***

The program had limited private sector engagement. Aside from suppliers of goods and services (contractor of evacuation center, equipment suppliers, private consultants and two NGOs), there was no significant efforts at engaging the private sector. In output 7, the agriculture and fishery councils which operate at barangay, municipal, provincial, regional and national levels were not engaged in disseminating DRRCC- resilient agricultural and fishery practices. Other NGOs could have been engaged in social preparation and community organization on matters related to DRRCC.

### ***Innovations***

The program introduced some innovations that are note-worthy for future GPH operations as well as donors' programs and projects in the future. Among them are as follows:

1. Formulation of simplified guidelines (LCCAP, Enhanced CLUP, CBDRRMP, among others) and capacity building which facilitated the compliance of LGUs to national agencies requirements;
2. The hiring of retired officers as technical experts in CBDRRM to ensure compliance with OCD requirements;
3. Bay-wide Framework Plan formulation which effectively engaged several LGUs in land use planning and protection of a shared or common ecological zone;
4. Engaging local universities (MSU-IIT and XU) which localized the source of technical assistance to LGUs; and
5. Conduct of the PEIR study which dissected the interphase of GPH policy, institutions and expenditure patterns; noted the unbalanced divide between mitigation/preparedness and post disaster budget and investments; and recommended measures for rational interphase of the three pillars in GPH operation.

### ***Policies***

Most products of the program (Enhanced CLUP, CDP, Contingency Plans, LCCAP and others) are for compliance with existing policies of GPH. The capacity building interventions, risk



assessments and formulation of various guidelines for these products, improved the compliance level of the LGUs in the program area.

In terms of program operational policies, GPH has existing policies that govern procurement, financial transactions, auditing and general operation which all projects/programs and all government agencies have to follow. UNDP also has a set of operating policies for its projects and programs. While these policies are in place and being enforced, the program had missteps during program implementation. Among them are in the procurement of consulting services as discussed earlier; the repeated findings in COA audits regarding cash advances, among others; and the breach in policy of engaging an institution instead of the mandated agency to undertake a study (UP-NIGS vs PAGASA).

## **Conclusion**

Overall, the PCTP-RAPID Program is a highly successful program well appreciated by stakeholders; significantly contributed to the body of knowledge on DRRCC in the program area; and met most of its output objectives. The outputs were delivered despite some weaknesses in the program design and resource allocation; implementation issues and prolonged lull in program implementation. The program could have delivered more and faster without the lull.

The program succeeded in delivering the planned outputs and made significant contributions for the attainment of national goals and priorities as well as those of the donors and the MDG and SGD. However, this was at the cost of program extensions, in terms of time and financial costs and the change in implementation modality.

As the findings have noted, the strengths of the program lie with its strategy of capacity building and institutionalization in the search for solutions for resiliency and risks reduction related to the impacts of disasters and climate change. The strategy developed science-based hazard assessments which in turn provided significant information for plans and guidelines that conformed with the regulations of concerned agencies. These plans and guidelines have since been mainstreamed and institutionalized even during implementation. Some products are also considered as templates or good models for other LGUs outside the program to follow.

The other strength of the program is on the commitment of partners. The commitment of LGUs and communities is easy to understand. The ravages of the typhoons in their area were still fresh in their memories and they were “hungry” for information that might or may prevent the repeat of monumental damages in the future. The donors were quick in approving and implementing the program barely a year after the disasters. If the program came five years after the disaster, the story and results may have been different.

On the other hand, the national agencies’ commitment, evident in their enthusiasm and results of outputs, dwelt on their need for the program products for which their agencies were financially or technically constrained to achieve. As a matter of evidence, these agencies have introduced the Program products to significant number of LGUs outside the program area. Similarly, the universities engaged as partners, continued to provide assistance to other LGUs in terms of GIS mapping and conducting training activities on DRRCC matters, after their term of engagement.

## **Weaknesses**

While the program achieved significantly despite odds in implementation, there were also lost opportunities. Among them were on sustaining the partnership with universities. The universities

were expecting further engagement to enrich their technical base and expand their extension services on DRRCC in other LGUs. There were also other universities in the program areas that were not explored as partners.

Engaging universities/academic institutions within the program area strengthens their extension capacities; localizes technical assistance; and improves the access by users, whether LGUs or groups, not only on DRRCC but also on other aspects such as agriculture, fisheries, livelihoods, health and other socio-economic aspects. Their extension services also have the multiplier effects to other LGUs not covered by the program as demonstrated by MSU-IIT and XU.

The limited scope (DRRCC focus of implemented activities), budget and short duration of implementation of output 5 and 7 relating to the competency of communities did not adequately address a DRRCC related poverty issue. Most of the beneficiaries in the communities/barangays were dependent on agriculture and fishery and were the most negatively affected by the three typhoons. The program did not include in capacity building activities the IEC on resilient agricultural and fishery practices the information for which were already available during the period of implementation. The program could have engaged the Municipal Agriculturists and the extension workers and the local Agriculture and Fishery Councils (AFCs) in conducting training and information dissemination of Adaptation and Mitigation in Agriculture (AMIA) products of the Department of Agriculture.

Other weaknesses noted are as follows:

- Program management, particularly in M&E and communicating across and among the stakeholders leading to inaction or delayed decisions and actions on specific aspects of program operation. Other weaknesses in program management are discussed under Program Management section.
- Procurement – The program had several failed small contracts and procurement as discussed under the procurement section.
- Knowledge management was particularly weak in obtaining outside related information and disseminating them to stakeholders especially the communities despite available information and budget (Outputs 5 and 7 and the CBDRRM allocation).
- Institutionalization of other products is not yet certain. Among them are ClimEx.db; iPDANA and PDEM.

### ***Ratings of the Criteria***

#### **Relevance**

The program is highly relevant both at the national and local levels. It is congruent with international conventions, national development plans and local needs.

The program environment is a case of “too much too little”. The Philippines is the third most vulnerable country to disasters and their consequences, globally. Historical records and anecdotal accounts of destructive earthquakes, typhoons, tsunamis, floods, drought and others affirm this sad observation. No significant interventions on disaster risks resiliency were undertaken since the birth of the republic until the recent global recognition of impacts of climate change and disasters. As a vulnerable country, the issue is “too much, too big”. Apart from recent initiatives on climate change and disaster risks reduction and management, these issues had actually been relegated to “acts of God”, in the past. And government initiatives, until lately, had been

REACTIVE (relief, rehabilitation, recovery) and not PRO-ACTIVE (mitigation and resiliency measures, etc.). The issue therefore is HUGE (much to be done) and the program is too little to address a national issue. And rightly so as it is basically a Government responsibility, first and foremost. The PCTP-RAPID program, although reactive in a sense that it was implemented after a series of disasters, sought to address resiliency issues. But, in fact, the PCTP-RAPID program is the biggest investment in soft terms in the government landscape of investments on climate change and disaster risks resiliency and management.

Relatively, it is also a case of “better late than later”. The entry of PCTP-RAPID program after the disasters caused by Typhoons Sendong, Pablo and Yolanda, highlighted the need for institutional reforms and related capacity building and information dissemination especially to the general public and the poor population who are the worst affected by any disaster and impacts of climate change. The program is a late intervention which in the first place should have been initiated by Government decades ago given the country’s vulnerability to disasters. The program was an eye opener on what the government should pursue after decades or even centuries of disasters.

The program is aligned with national development priorities and international priorities and goals. The NEDA-ICC does not approve any project (foreign or local) which is not aligned with national development policies or goals. Further, the NEDA-ICC guidelines require projects/programs to be aligned with international priorities or goals. As discussed earlier, the program is aligned with DFAT’s, UNDP’s and UN’s goals and priorities, it was also responsive to the needs of the institutional beneficiaries and the communities,

In view of the above the program is rated Very Good in terms of relevance.

### ***Effectiveness***

The program has achieved most of the products it envisaged to accomplish as discussed in Chapter V (Findings and Conclusion). The Abuyog evacuation center was completed and launched in June 2019. This, despite the delay in implementation. It could have delivered more without the lull of about two years (2015-2017). The remaining products are the consultants’ reports particularly on the integration of DRRCC in public investments and terminal evaluation.

The major shortcomings in terms of effectiveness are in the insignificant accomplishments of Output 5 (Risk Transfer); the non-completion of CBMEWS; the limited scope of accomplishment under Output 7 (Communities Capacity); and the failure to institutionalize ClimEx.db during the implementation period.

In view of the findings, the program is rated Good in terms of effectiveness as significant outputs were delivered despite the two-year period of program inactivity.

### ***Efficiency***

The lull of about two years in program implementation was not immediately addressed and caused delays in implementation. This was addressed through an agreement as noted in the minutes of the 8<sup>th</sup> PMB meeting and the June 4, 2018 meeting chaired by NEDA. The agreement was for the shift in program implementation modality from NIM to DIM. Although UNDP recovered lost grounds in terms of delivering the outputs, there were associated costs (PMU overhead) that were not productive. The development of ClimEx.db during the PCTP period also exhibited inefficiencies in procurement, both for the consultant and the enumerators and geo-taggers. The implementation of CBDRRM (Output 7) was financially efficient and resulted in 50% reduction in

the costs of technical experts; hence, the excess allocation for the output. However, the CBDRRM fund was minimally used (16% utilization) and other DRRCC IEC activities and messages were not covered.

Despite the achievement of the outputs, the program met efficiency issues as follows:

-2 years of delays with high expenditure and low achievements, PMU in limbo for a while without PM and office space, etc.

- some shortchange on planned versus actual deliverables (i.e., NRA, risk transfer, , knowledge management),

- recurring issues on procurement including poor contract management (e.g. NRA, NIGs, Land Use Consultant

- The Natural Resource Assessment was undertaken to inform sectoral vulnerability assessment, which the consultants failed to deliver but the PMO was able to mitigate and use the output (NRI) to inform the CDRA of LGUs and BCZLUF led by NEDA.

- Engagement of UP NIGS at a higher cost in undertaking the hazard and risk mapping over the mandated GPH agency PAGASA at a lower cost - breaches the program's protocol for engaging mandated GPH agency. The product of UP NIGS eventually was not used.

- Engaging a HLURB officer to review the CLUP produced by LGUs when this is a mandate of HLURB – again breaches the program's protocol for engaging mandated GPH agency.

- DFAT allocated AUD3m for the CBDRRM component to really reach the communities versus the assessment that there are missed opportunities on CBDRRM work and IEC materials in the sense that capacity building and awareness raising were limited to barangay officials and did not engage teachers and religious leaders.

In view of the above and other findings, the program is rated Less than Adequate.

### ***Sustainability***

Some products of the program had been institutionalized through directives from corresponding agencies. Among them are the enhanced CLUP guidelines, the BDRRM Plan and Contingency Plan templates.

Products that require support to sustain their gains are the updating of ClimEx.db, the continuing IEC on CBMEWS and CBDRRM. As situation and corresponding data change and ClimEx.db is a dynamic system there is a need for periodic updating, perhaps, every five years. The commitment of future Local Chief Executives cannot be ascertained as local elections are conducted every three years. The same is true with other products that require expenditure in their formulation/implementation except the mandated requirements such as the enhanced CLUP, Contingency Plan and LCCAP. Barangays, given their limited IRA, would not be financially capable to revise their BDRRM Plans.

As agreed during the 10<sup>th</sup> Program Management Board Meeting, the institutionalization of ClimEx.db would be pursued by the OCD by rolling it out to LGUs. As of the evaluation period, however, OCD has yet to formulate a roll out plan and secure the necessary budget. OCD may also enter into cost-sharing arrangement with LGUs as nation-wide rollout will require tremendous amount of funds. With regards to DRR-CC PEIR , the results were used in updating the NDRRMP.

Per agreement with UNDP and with support from NDRRMC, the institutionalization of iPDNA is being spearheaded by OCD.

With improved competencies of LGU personnel and increasing trend on DRRCC-related investments, there is a glimmer of hope that the program products will be sustained.

The guidelines for DRRCC integration in CDP had been completed and as noted by DILG during the interview, it will be used by the LGA in briefing newly elected Local Government Executives after the May 2019 elections.

The major issue in the institutionalization and roll out of the program products is financial in nature due to the huge magnitude of fund requirements. Options in undertaking these may include:

- Organizing the LGUs Leagues (Provincial, City and Municipal leagues) to file a resolution mandating review and streamlining of several plans imposed on them and amendment of relevant laws;
- Increase in resource allocation to LGUs and barangays for them to comply; and
- Increase budget to NGAs and even SUCs to take on technical assistance to LGUs and barangays to comply.

In view of the findings, sustainability is rated Good.

### ***Gender Equality and Social Protection***

The national agencies, LGUs and communities are well versed on the provisions of the Social Development Plan of the country. This was expected of the national agencies' officials. The LGU officials and communities were also aware and conversant on the subject. The LGU officials were knowledgeable on Gender and Development (GAD) as well as the social protection regulations that cater to persons with disability, senior citizens, youth, women, and men. At the barangay or community level, respondents indicated positive knowledge and awareness of gender equality and the overall social protection concerns. This level of awareness, knowledge and behavioral change cannot be attributed to the program alone. The respondents related that the NGOs and donors that came in the aftermath of the typhoons also gave the same message. However, they noted that the "teachers" (consultants, program officers, LGU officials and others involved in RAPID) repeatedly reminded them on these concerns. In terms of practice, the respondents noted that in their drills, they knew the priority persons to assist: the PWDs, children, pregnant women and the elderlies. Some communities experienced a few typhoons after the big ones, and they said that during their evacuation, they just did that. Learning is a repetitive process and by keeping and repeating the messages on gender equality and social protection, they have transformed the knowledge and behavior of the individuals.

The program, aside from including gender equality and social protection in the messages relating to plan formulation, guidelines, participation in various activities, selection of personnel and others; also disaggregated participants by gender in M&E reports as well as other activities such as training participants, organizations, etc. In most program activities, there were conscious efforts to involve women, PWDs, the elderly and the youth. In most cases, however, program activities at the barangay, municipal and provincial level, males are the majority participants as they are the ones holding official positions.

In ClimEx.db, data are segregated by gender, age and disabilities in individual households. This makes it an excellent database for LGUs in pursuing gender and social protection-sensitive policies and programs.

In 4 barangays, some respondents noted that men should also have equal rights as their wives in terms of major decisions regarding family budget and resource allocation, family plans (education of children), the right to work elsewhere, and other matters. This was in a region with noted high matriarchal superiority.

The evaluator did not encounter nor got feedback on information relating to Indigenous Peoples (IPs). Compostela Valley and Davao Oriental have IPs in their jurisdiction but interviews did not yield results on their involvement.

Human trafficking is the scourge of people in post-disaster areas. The program did not include this in its M&E system and interventions. The evaluator did not have time to check the records of human trafficking with the PNP and DSWD in Region X and XI areas in the aftermath of Typhoons Sendong and Pablo. In the RAPID area (Typhoon Yolanda-affected areas), DSWD and PNP noted several human trafficking incidents (of children, men and women). In Lawaan, Eastern Samar (RAPID project area) an attempt at human trafficking of seven children by a foreign and purported religious group was thwarted due to vigilance by the LGU and the PNP. This happened prior to the start of RAPID implementation. DSWD also reported several cases of human trafficking in Region VIII but these were outside the program area.

In view of the positive findings above, it is rated Very Good.

### ***Effects and Impacts***

Among the effects of the program that were noted during the evaluation are the following:

- a. Increasing appreciation of the value of information by LGU officials as a result of ClimEx.db introduction;
- b. Improved knowledge and skills of LGU officials on CCDRR matters as a result of numerous capacity building interventions and their engagement in the processes involved in the development of the products;
- c. Increasing investments by LGUs on CCDRR;
- d. Generally positive behavioral and attitudinal changes of communities related to DRRCC; and
- e. Reduced loss of lives and properties during typhoons that succeeded Yolanda. These statements are from officials in Samar province.
- f. Institutionalization of products which could contribute to reduced/elimination of losses in lives and properties

The outcome indicators envisioned by the program cannot be fully ascertained at this point in time. There is however, a distinct possibility of attaining the outcomes given the trends in Program effects.

Under Outcome Indicator 1 (Mainstreamed development plans), some products had been institutionalized and mainstreamed in national agencies' policy and regulations regime; and

adopted by LGUs in the program area. Among them are the guidelines for enhanced CLUP, LCCAP and CDP. Other outputs are also being used as templates by OCD (Contingency Plans and CBDRRM). The mainstreaming of DRRCC guidelines on PDEM, although being pursued by NEDA, will require various processes before adoption by the ICC and the NEDA Board.

The envisioned decrease in environmental degradation cannot be ascertained by the evaluator at this point in time. The uncompleted Natural Resources Assessment, if completed and followed by LGUs could have provided a modicum of environmental protection measures. The resultant inventory could provide further information to AMIA data and analysis on Region VIII natural resources analysis and future steps on DRRCC-related resource policies and management.

The third program outcome on decreased loss and damage from natural hazards can only be measured in the future with the proper technical and statistical authorities. Several typhoons and to some extent, earthquakes, had occurred in the program area in the course of program implementation, after the occurrence of typhoons Sendong, Pablo and Yolanda. Although there were noted less damages of these weaker typhoons, the evaluator is not competent to conduct accurate and science-based comparative analysis. This outcome needs to be analyzed by competent authorities in the future.

In view of these, this criterion is rated Good.

## **VII. Recommendations**

The recommendations presented in this document are classified based on the phases of the project cycle with each recommendation addressed to concerned entities.

### **1. On Project/Program Design and Policies**

#### **For DFAT, UNDP and GOP**

In designing projects/programs:

- a. Related activities and interventions should be grouped into components rather than outputs as each component has distinct activities leading to the desired output/s. It is also better to have just few components so as not to clutter the monitoring activities and assign responsibility areas.
- b. A management component is recommended with distinct responsibilities and resource allocation including M&E.
- c. Costs estimates and resources allocation should be scrutinized well during design stage to avoid re-allocation during implementation. Budget reallocation for funds lodged with a government agency is a time consuming process due to lengthy approval processes.
- d. In designing IEC activities for DRRCC projects, a multi-sectoral approach involving key community leaders would be more sustainable as local officials may change every three years due to scheduled elections.
- e. As poverty reduction is the overarching concern of all development activities in the country, CCDRR projects/programs should include in its IEC component/activities resilient agricultural and fishery practices in rural areas (where majority of the poor are) and appropriate livelihood practices (handicrafts, etc.) in both rural and urban communities.

## 2. On Project/Program Implementation

- a. Under NIM modality, **GOP** should ensure and allocate adequate resources (personnel, goods (such as office) and funds to the executing agency to ensure smooth implementation.
- b. **Consultancy Arrangements- (For GOP agencies and UNDP).** Instances of failures in consulting arrangements were noted in the course of program implementation. The first instance was in the hiring of consultant for the development of ClimEx.db system during the PCTP period, in which the consultant did not deliver and disappeared; to the consternation and frustration of LGUs in PCTP areas. This was followed by consultants for the development of DRR guidelines in CDP formulation and the guidelines for inclusion of DRRCC investment planning. While these missteps were rectified through diligence, it contributed to delays in program operation. In procuring consultancy services, clear terms of reference (TOR) and diligence in background check are recommended to ensure the achievement of desired results. Consultant services are expensive and they should be value for money. (This item should also be included as part of Lessons Learned).
- c. **Branding the program, activities and assets-** During the conduct of community consultations and to some extent during LGU interviews, participants were asked on the financier of the program. Most among community members could only recall UNDP while a few municipal interviewees were not aware of DFAT as key program financier. In fairness to the citizens of donor countries whose taxes were used in financing the program, proper branding should be made on assets, in words during program activities and in information materials. It is possible that consultants, national agency and LGU personnel were not aware of program funding arrangements.
- d. **Coordination of program field activities-** The program engaged several agencies and universities and aside from the PMU, had to hold meetings, training and other field activities. Very often, the LGU officials mainly the MPDC and MDRRMC officer were the ones requested to attend or participate. LGUs noted that some activities are simultaneous and they missed attending some activities. Most municipalities have limited personnel to be able to attend simultaneous activities. It is important that these activities are coordinated among **national agencies and the PMU**.
- e. **Procurement and Program Fund Replenishment-** Delays in procurement and fund replenishment contributed to delays in implementation. As **donors** have specific procurement and fund replenishment systems and procedures, it is important to conduct training for concerned staff on these aspects under NIM modality. Similarly, **GOP** should provide adequate and capable procurement and financial staff to avoid delays in implementation.

## 3. On Future Investment For DFAT and UNDP

1. **Going deeper into the communities-** Apart from capacity building and institutionalization of DRRCC related policies, regulations and plans in the public sector, it is recommended that programs/projects should have more robust interventions and resource allocation for activities that educate/train the general public



as ultimately, they are the ones who are affected by disasters and effects of CC and will be the first ones to undertake necessary measures when disasters come. Further, appropriate capital investment should also be included.

2. **Mix of soft and capital expenditure items-** In financing a project/program similar to PCTP-RAPID, allocation should be made for capital expenditure. Invariably, projects and programs on DRRCC require a modicum of infrastructure such as evacuation centers, rescue facilities, flood control systems and others. If capital expenditure is not within the purview of the donor, projects or programs like this should be co-financed by other donors which provide for capital expenditure. Alternatively, programs focusing on the soft investments should seek commitment from Government to finance the infrastructure/hard investments items. In the Philippines, the PSF, the MDFO, NDRRMF, BUB, PCF, GCF, and the DOF climate change fund at DBP are possible counterpart contribution by the government. Further, LGUs and national agencies should be adequately funded for their mandated functions and requirements.
3. **Expanding the realm of disaster and CC resiliency-** Other mitigating measures such as reforestation; rain water collection and multi-purpose water impounding systems in farms; solid waste management (especially in urban areas); and others are recommended for inclusion in DRRCC programs/projects. These may help mitigate flood and drought impacts.
4. **Coverage of whole province-** In targeting local project area (province/city/municipalities and barangay), it is recommended that all cities and municipalities within a province are covered and not only those that were severely affected by a disaster. Disaster knows no political or geographic boundaries and practically all LGUs are vulnerable to disaster. This approach would provide a holistic governance perspective on DRRCC; facilitate replication by province and define responsibilities at various level. Covering one or a few municipalities gives undue burden to a province as projects/programs have distinct activities and provinces have their regular activities to contend with. This approach would also support sustainability and institutionalization processes.
5. **More explicit inclusivity-** In areas which have indigenous people (IPs), projects/programs should have explicit interventions for their participation. Historically, the IPs are known and recognized as the protector of the forests and have a wealth of knowledge on forest conservation, sustainable gathering of forest products and other environmental aspects.

## VIII. Good Practices and Lessons Learned

There are numerous good practices and lessons to be learned from this program. The major ones are presented below.

1. **Building on existing initiatives/products-** ClimEx.db started with the Exposure Database developed for Metro Manila. Using the exposure database framework, ClimEx.db improved the idea from the Metro Manila database by overlaying climate projections and capture agricultural livelihood at household level. The ClimEx.db is meant

to provide LGUs a database that they can own and contribute to in terms of information and use in their planning and programming. The development of the second version of ClimEx.db built on a similar existing system, CBMS, which was developed by the Angelo King Foundation of De La Salle University and being used by DILG, other international organizations and other countries primarily in tracking MDG and SDG performance. CBMS did not have elements related to DRRCC. The program integrated the CimEx.db and the CBMS systems resulting in a more comprehensive database with wider application. The integrated system also allows for wider functionalities and ease of use.

2. **Inclusivity at official level-**While the MOAs of the program with LGUs required in particular the active participation of the PDMOs and DRRMOs, some municipal LGUs included the heads of all departments as part of the municipal TWG. This facilitated cooperation and collaboration in the activities of the program. Further, it generated awareness and deeper understanding of DRRCC by officials such as budget officers, treasurers, social development officers, health officials and others whose tasks did not directly cover DRRCC. This inclusive involvement resulted into an informed and capacitated governance.
3. **Engaging retirees-** The program engaged the retired regional officers of OCD as technical experts to assist municipal LGUs in formulating the Contingency Plans and BDRRM plans which are mandatory requirements. The use of retirees ensured that the outputs were compliant with OCD requirements. They also facilitated the revitalization and reorganization of BDRRMOs to comply with the requirements of the law and related instructions. The outputs are deemed superior compared to other BDRRM plans.
4. **Getting the message clear and straight-** In disseminating information, it is important that the messages are clear, comprehensive and straight forward. In DRRCC information dissemination, although most community members are aware of the dangers and reacted appropriately, some have reportedly developed negative attitude. When storm signal #2 is announced through radio and bandillos (community public voice announcements), most community members rush to the designated evacuation centers for safety. On the other hand, LGU and community leaders noted that some would disregard the announcements and remain at home saying "If we survived super typhoon Yolanda/Sendong/Pablo, we can also withstand these weaker storms"
5. **Multisectoral approach and inclusivity-** In conducting IEC at community level, a multi-sectoral approach is more effective and sustainable. The formulation of CBDRRM plans, due to limited resources (training cost was LGU counterpart), the participants (about 30 in each barangay) covered are the barangay officials, barangay volunteers (BNS, BHW and Bgy Midwives), BDRRMO officers (mostly barangay officials) and leaders of community organizations. A multi-sectoral approach engaging and involving teachers, religious leaders and others could have a wider reach in disseminating information to students and religious members. Further, as the CBDRRM formulation provided training to participants, resources should have been provided for continuing information dissemination to other members of the communities. Barangay population range from 400 to 2,000 and there are more community members who need to know and benefit from DRRCC information.
6. **Commitments of LGUs-** The program operated in LGUs and communities which have fresh memories on the ravages of the three typhoons and their enthusiasm, appreciation

and commitment to the program are high. In cascading nation-wide, the enhanced outputs of the program, as some LGUs have yet to experience the ravages of disasters and climate change, the commitment of LGU leaders have to be sought. In future programs/projects the commitment of participating LGUs should be covered by council resolutions which also indicate their contributions in cash or in kind. Disaster knows no political or geographic boundaries and LGU officials are elected every three years.

7. **Convergence of DRRCC Agencies-** The program provided a platform for convergence of key DRRCC agencies by engaging them in a common ground and concerns on DRRCC. Working together provided an exposure and awareness for the need to synchronize policies, plans and operations related to DRRCC given the fact that the mandates on DRRCC are fragmented across agencies. A case in point is the need to agree on climate and hazard mapping policies and acceptable modelling modalities.
8. **Partnership and Ownership-** Engaging the national agencies in program activities directly related to their mandates not only enhanced their capacities and improved their products and processes but also enhanced their ownership of the outputs/products. Similarly, engaging the LGUs in capacity building on products they have to comply with enhanced not only ownership but also the quality of their outputs that led to improved local policies, plans and regulations. Partnership with the academes in the program area enhanced their capacity and localized technical assistance for LGUs as well as individual clients.

## ANNEXES

### Annex A

#### Terms of Reference

#### INDEPENDENT TERMINAL EVALUATION OF THE PROJECT CLIMATE TWIN PHOENIX - RESILIENCE AND PREPAREDNESS TOWARD INCLUSIVE DEVELOPMENT (PCTP-RAPID) PROGRAM

#### Terms of Reference

##### *Background and context*

The Project Climate Twin Phoenix – Resilience and Preparedness toward Inclusive Development (PCTP-RAPID) Program is a capacity development program supporting the long-term recovery of identified Local Government Units (LGUs) and communities in Sendong (Washi), Pablo (Bopha), and Yolanda (Haiyan)-affected areas in the cities of Cagayan De Oro and Iligan in Region 10, provinces of Davao Oriental and Compostela Valley in Region 11, and provinces of Leyte and Samar in Region 8 by having their disaster and climate risks mitigated and mainstreamed into land use and development planning, programming, regulatory, and other implementation processes.

It aims to address the institutional capacity and individual competency gaps of key players on disaster risk reduction and management of natural hazards including those aggravated by climate change. It also aims to raise the awareness and competencies of decision makers and communities in the target areas about the impacts of natural hazards on lives, properties and the economy, and that the changing climate brings extreme weather events that can trigger and exacerbate the impacts of future hazard events.

The activities of PCTP-RAPID are designed to enable the target LGUs to come up with better plans, policies, and regulatory measures that consider major challenges that affect the wellbeing of the population, including climate and disaster risks. The entirety of the program has 7 outputs:

8. Climate/disaster risk and vulnerability assessments produced as a basis for “climate/disaster proofing” future development in the target areas.
9. 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.
10. 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.
11. Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA) mainstreamed into land use, socio-economic plans, and investment programs at the national and local level.
12. Risk sharing/transfer mechanisms developed and showcased.
13. Knowledge management on Disaster Risk Reduction and Management and Climate Change Adaptation developed and implemented.

14. Competencies of barangays and communities 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.

RAPID covers 12 Yolanda (Haiyan)-affected municipalities located along the coastline of the Leyte Gulf: Tacloban City, Palo, Tanauan, Tolosa, Mayorga, MacArthur, Dulag, and Abuyog in Leyte, Basey and Marabut in Western Samar, and Lawaan and Balangiga in Eastern Samar. It is an expansion of PCTP that was executed in response to the impacts of Sendong (Washi) and Pablo (Bopha) which devastated many areas in Regions 10 and 11, particularly the cities of Cagayan de Oro and Iligan, and Compostela Valley and Davao Oriental, respectively. PCTP commenced in 2012 and was completed in 2015, while RAPID started in 2014 and was expected to be completed by the end of 2017. However, it was extended for another year to be completed in 2018. A total of A\$9.3 million in funding was provided for the whole of PCTP-RAPID by the Australian Government through the Australian Embassy in the Philippines – Department of Foreign Affairs and Trade (DFAT). It is administered and implemented by the United Nations Development Programme (UNDP) Philippine Country Office through its Project Management Unit (PMU). From 2012 to 2017, PCTP-RAPID was implemented by the Climate Change Commission (CCC) through UNDP's National Implementation Modality (DIM), and for 2018 is implemented by UNDP under a Direct Implementation Modality (DIM).

In 2015, UNDP commissioned an independent midterm evaluation of PCTP-RAPID. For 2018, an independent terminal evaluation shall be conducted.

#### *Evaluation purpose, scope, and objectives*

The terminal evaluation shall be conducted in relation to the operational closure of the RAPID program by the end of 2018. It finds its basis in Article VI of the Cost Sharing Agreement between UNDP and Australian Aid for International Development (AusAID) and is also a mandatory activity for all UNDP-implemented projects and programs. As such, this evaluation aims to assess RAPID's value additions and how its results can be adopted and sustained by national and subnational government entities, communities, civil society groups, and other stakeholders. The evaluation will do this by identifying the relevant information and approaches that may be picked up on to inform and enhance policies, programming, and practices on resilience building towards a more effective development agenda. The findings will be related to national and international development priorities and objectives (e.g. Philippine Development Plan, Australia's Aid Investment Plan for the Philippines), international frameworks (e.g. Sustainable Development Goals), and internal programming and planning documents (e.g. UNDP Country Programme Document, Strategic Plan) to draw specific lessons, conclusions, and recommendations for future similar interventions. It will also cover PCTP to the extent that the questions and recommendations from the midterm evaluation are reviewed and answered.

The terminal evaluation will assess the actual performance of PCTP-RAPID and its contributions against its targets and expected results from 2012 to 2018. It will involve all of the target areas from Regions 8, 10, and 11, and the following stakeholders:

1. Provincial, City, Municipal, and Barangay LGUs and departments/offices/committees including, but not limited to:
  - a. Disaster Risk Reduction and Management Offices
  - b. Planning and Development Offices
2. National and regional government agencies:
  - a. Climate Change Commission
  - b. Department of Interior and Local Government
  - c. National Economic and Development Authority
  - d. Philippine Atmospheric, Geophysical, Astronomical Services Administration
  - e. Office of Civil Defense
  - f. Housing and Land Use Regulatory Board
3. Project Management Unit
4. United Nations Development Programme
5. Australian Embassy – Department of Foreign Affairs and Trade

The evaluation must consider whether capacities, processes, and products related to DRR and CCA have been built/installed or enhanced/mainstreamed (climate and disaster risk assessment, plan preparation, investment programming, among others) and if these have been introduced. It must answer if the above-mentioned expected results are achieved, or if the intervention created conditions for achieving them; whether gaps are present, which need remediation, and where further interventions will yield further returns.

An assessment should be made about scaling results for national adoption and identify conditions for sustainability. It must also consider whether resources have been properly and judiciously harnessed towards implementation and delivery of stated outputs and the extent to which these outputs contributed to observed results achieved. The evaluation must also identify any operational issues that may be improved to facilitate better program implementation and delivery for similar programs in the future

Specifically, the Consultant(s) is/are expected to undertake the following tasks:

10. Assess PCTP-RAPID's performance relative to its objectives and targets as stated in reference documents including, but not limited to:
  - a. Project Document
  - b. Theory of Change/Logical Framework/Results Framework
  - c. Work Plans
  - d. Monitoring & Evaluation Plans
  - e. Progress Reports
  - f. Evaluation Reports;
11. Assess the appropriateness of the program's overall/per component implementation framework, methodologies, and strategies in achieving the set objectives, outputs, and results as well as in putting in place models or practices which the government, communities, and other stakeholders could adopt;
12. Assess the effectiveness and efficiency in the use of program resources to meet target outputs and results, taking into consideration the principle of value for money;

13. Analyze factors including the project management/operational setup and its degree of influence in the achievement or non-achievement of target outputs and results;
14. Assess the relevance and effectiveness of the program's partnerships and other implementation strategies and highlight which among these methodologies and approaches could be sustained or replicated by government agencies, communities, and other stakeholders;
15. Determine capacities, processes, and products developed and the level of participation/degree of ownership of stakeholders in the achievement of the outputs and results;
16. Document and draw up lessons learned, good, replicable and/or innovative practices, cross-cutting issues (e.g. gender equality and mainstreaming, human rights, DRRM, resiliency building, beneficiary selection, stakeholder participation, etc.) and recommendations on appropriate project strategies to improve future programming on resilience building;
17. Put forward some policy and program recommendations to UNDP as direct implementer of the project; and
18. Make recommendations to DFAT to support future programming.

### *Evaluation criteria and key guiding questions*

The terminal evaluation will follow the Organization for Economic Cooperation and Development – Development Assistance Committee (OECD-DAC) criteria, and the questions are grouped according to relevance, effectiveness, efficiency, and sustainability, and impact. Note that the questions are not exhaustive and may change, depending on a consultative determination with the Evaluation Reference Group. The set of evaluation questions shall be finalized through the inception report.

## **RELEVANCE**

1. Is PCTP-RAPID responsive to the needs of its target beneficiaries? How did it identify those needs and what did it do to address those needs?
2. To what extent did PCTP-RAPID offer the most appropriate modality and approach to achieve its intended results? Are the activities and strategies appropriate to the needs of target beneficiaries? Are relevant stakeholders considered to inform decisions and strategies? (How well did it do?)
3. How did PCTP-RAPID differentiate itself from or complement similar projects/programs to ensure non-duplication and targeted solutions?
4. Is PCTP-RAPID aligned with and responsive to national development priorities? Is it also aligned with and responsive to any set of international priorities or goals? How so?
5. Have there been any changes in national development priorities, and how did PCTP-RAPID respond to such changes?
6. To what extent has PCTP-RAPID involved national/subnational government agents to secure buy-in and facilitate ownership?
7. How is PCTP-RAPID reflective of Australia's interest in terms of providing development assistance on sustainable growth and poverty reduction?
8. How is PCTP-RAPID reflective of UNDP's (or the UN's) goals of eradicating poverty, achieving structural transformations for sustainable development, and building resilience to crises and shocks?
9. How did PCTP-RAPID account for specific concerns of men and women to ensure that its results are gender-responsive?
10. How did PCTP-RAPID account for specific concerns of marginalized groups?

## **EFFECTIVENESS**

2. To what extent did PCTP-RAPID achieve its intended outputs and outcome? Map the linkages between the production of outputs and progress towards the achievement of the outcome. In what areas did PCTP-RAPID have the greatest and least achievements? What were the facilitating and constraining factors that affected the eventual realization of the expected outputs?
3. How effective was PCTP-RAPID in engaging key stakeholders (e.g. government agencies, LGUs, communities, etc.) towards implementation?
4. How effective were the partnerships and how did it contribute towards the achievement of intended outputs? If any, are there alternative strategies that would have been more effective in achieving intended outputs?
5. How effective was PCTP-RAPID in building the capacities of key stakeholders and influencing processes and policies on DRR and CCA? What was PCTP-RAPID's value addition?
6. Were marginalized groups effectively engaged and represented/involved in decision making process and in the achievement of intended outputs? How effective was PCTP-RAPID in enjoining these groups and empowering them through capacitation?
7. What was UNDP's value addition? Review the quality for support of UNDP and recommend areas for improvement.

## **EFFICIENCY**

1. Is PCTP-RAPID's structure, along with its systems, processes, and mechanisms supportive of effective and efficient project management?
2. Are implementation strategies efficient and make appropriate use of financial and human resources? If any, are there alternative strategies that would have been more cost effective?
3. Was PCTP-RAPID implemented on budget and on time? Are variances between planned and actual expenditures justified? What effects, whether positive or negative, did these variances have towards the delivery of outputs?
4. How efficiently has PCTP-RAPID coordinated and collaborated with responsible partners in delivering outputs and results?
5. Was PCTP-RAPID able to leverage existing capacities, resources, or initiatives towards a more efficient program delivery? What strategies could have been done to better mobilize resources?
6. Has the implementation modality resulted in an efficient program delivery? Has it sufficiently utilized UNDP's comparative advantage to ease bottlenecks in implementation?

## **SUSTAINABILITY**

1. Are there social or political risks that may jeopardize the sustainability of PCTP-RAPID's results?
2. Is there adequate ownership of PCTP-RAPID's results by key stakeholders (e.g. government agencies, LGUs, communities, etc.)?
3. To what extent are the outputs and outcomes replicable? Which outputs are likely to be continued even without the support of PCTP-RAPID?
4. Is a well-designed exit strategy in place to ensure the smooth transition of PCTP-RAPID's results forward into the future after its life? What can be done to sustain long-term benefits?

## **IMPACT**

8. To what extent has PCTP-RAPID contributed to achieving results at the impact level?
9. What are the results that are directly attributable to the interventions of PCTP-RAPID? What is the magnitude of change effected?
10. Are there any unintended consequences resulting from the interventions of PCTP-RAPID?



## GENDER EQUALITY

1. Were men and women effectively engaged and represented/involved in decision making process and in the achievement of intended outputs? How effective was PCTP-RAPID in enjoining women and empowering them through capacitation?
2. Were there mechanisms and safeguards in place to assess gender effects and implications in the implementation of PCTP-RAPID's activities?
3. To what extent has PCTP-RAPID contributed to promoting gender equality in its target beneficiaries? Are there any contributions of PCTP-RAPID to observable changes in gender dynamics in communities?

### *Methodology*

The overall approach and methodology of the terminal evaluation shall be guided by the provisions set forth in the **UNDP Handbook on Planning, Monitoring and Evaluating for Development Results** and the **UNEG Norms and Standards for Evaluation**. It should be conducted in accordance with the principles outlined in the **UNEG Ethical Guidelines for Evaluation**. The Consultant will be required to sign an Evaluation Consultant Code of Conduct Agreement Form.

The Consultant is expected to frame the evaluation effort using the OECD-DAC universal criteria of relevance, effectiveness, efficiency, and sustainability. A rating scale for each criterion and overall program performance will have to be defined by the Consultant and must include a description for each rating as basis for interpretation. The list of key evaluation questions and sub-questions, which shall form part of technical proposal of the Consultant, should draw out the required information for each evaluation objective and be classified according to the criteria they belong to. The list will have to be finalized with the Project Management Unit and shall be included in the Consultant's Inception Report.

The evaluation should employ both qualitative and quantitative evaluation methods and instruments, where applicable. The technical proposal of the Consultant must indicate specific activities, data sources, and data collection and analysis methods needed to meet the evaluation purpose and objectives. These may include, but are not limited to: desk review of project documents, on-site validation of tangible outputs, surveys, key informant interviews, and focus group discussions. The Consultant is expected to follow a participatory and consultative approach with the PMU, responsible partners, direct beneficiaries, and other program stakeholders.

### *Evaluation products (deliverables)*

The Consultant is expected to come up with the following products for the terminal evaluation:

**INCEPTION REPORT:** The inception report should generally illustrate and explain the overall design and method of the terminal evaluation and reflect any agreed recommendations arising from the Inception Meeting. It should include an evaluation matrix, which identifies the key evaluation questions and how they will be answered by the methods selected. The inception report should be produced before any formal evaluation activities can begin.

The inception report must be submitted within 7 working days after the Inception Meeting.

**EVALUATION DEBRIEFING:** A debriefing shall be requested immediately following the conclusion of evaluation activities, schedules permitting. A presentation on the actual coverage of the evaluation, preliminary findings, and next steps will be sought from the Consultant. Any additional requirements that may be deemed necessary by UNDP or the PMU will be discussed during the debriefing and will have to be incorporated in the evaluation reports.

**DRAFT EVALUATION REPORT WITH PRESENTATION:** The evaluation report with the corresponding data and findings will be presented in the draft stage to key stakeholders for review and revision. Any comments on the draft shall be addressed in the final report. The draft evaluation report must, at the minimum, follow the Evaluation Report Template as outlined in Annex 7 of the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results. It shall be subjected to the quality checking and assurance criteria outlined in the **UNEG Quality Checklist for Evaluation Reports**. A presentation shall accompany the report, and both products shall be submitted within 7 working days after the evaluation debriefing.

**FINAL EVALUATION REPORT WITH PRESENTATION:** Following the comments in the draft stage, the Consultant must prepare a final evaluation report. An evaluation report audit trail must be prepared, detailing the comments raised in the review and the changes/responses made by the Consultant to show how the comments have been addressed. Likewise, the final evaluation report must, at the minimum, follow the Evaluation Report Template as outlined in Annex 7 of the UNDP Handbook on Planning, Monitoring and Evaluating for Development results. It shall be subjected to the quality checking and assurance criteria outlined in the UNEG Quality Checklist for Evaluation Reports. A presentation shall accompany the report, and both products shall be submitted within 7 working days after the submission of the draft evaluation report.

The Consultant is also expected to turn over to UNDP all materials related to the evaluation (e.g. raw and processed data, pictures, list of respondents and written/signed consent forms, etc.).

#### *Evaluator's required competencies*

UNDP seeks to engage the services of an **Independent Evaluation Consultant** to carry out the Independent Terminal Evaluation of PCTP-RAPID. The Consultant will have the overall responsibility during all phases of the evaluation, particularly in ensuring the high quality and timely completion of evaluation processes, methodologies, and outputs. In close collaboration with the PMU and UNDP, he/she will lead the implementation of the evaluation design, guide the methodology and application of data collection instruments, and lead the consultations with stakeholders. At the reporting phase, he/she is responsible for putting together the first comprehensive draft and the final version of the evaluation report, based on inputs from the PMU, UNDP, and stakeholders. The applicant should possess the following qualifications:

<b>Qualification</b>	<b>Points Obtainable (100 points max)</b>
Advanced degree in Development Management, Public Administration, Disaster Risk Reduction and Management, Economics, Social Sciences, or equivalent work experience;	30
At least ten (10) years of progressively responsible experience in development research, evaluation of development projects, or project management in the areas related to disaster risk reduction and management, resilience building, development planning, climate change, and other related fields;	20
Demonstrated strong knowledge and experience in the application of monitoring and evaluation methods for development projects; experience in conducting terminal evaluations, especially UNDP-managed projects, is an advantage;	40
Fluency in the English language and proven ability to write high-quality technical reports (applicant will be required to provide work samples);	10
<b>TOTAL</b>	<b>100</b>

The applicant should not have been involved, in any way or the other, in designing, executing, or advising in any component or activity of PCTP-RAPID that is covered by the evaluation. Failure to declare this information prior to the award of contract may be considered as ground for cancellation of the engagement.

#### *Evaluation ethics*

This evaluation will be conducted in accordance with the principles outlined in the UNEG Ethical Guidelines for Evaluation. The Consultant must safeguard the rights and confidentiality of information providers, interviewees, and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The Consultant must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses with the express authorization of UNDP and partners.

#### *Implementation arrangements*

The principal responsibility for managing this evaluation resides with the PMU through the Project Manager (PM) and the Monitoring and Evaluation Officer (MEO). Both will be responsible for liaising with the Evaluation Team pertaining to required technical and financial documents, coordinating with stakeholders, setting up interviews, arranging field visits, and looking after the evaluation budget and schedule. They shall likewise assist in distribution of draft reports to stakeholders for their review, consolidation of comments, and in organizing key stakeholders' meetings for presentation of the salient points of the draft/final reports.

The Inclusive and Sustainable Development Unit (ISDU) and Management Support Unit (MSU) will provide support in the procurement process for the selection of a service provider (i.e., publication of the TOR and assessment of proposals), briefing the Evaluation Team on UNDP evaluation norms and standards, reviewing and quality assuring the inception/draft/final reports, and in publishing findings and management responses at the UNDP Evaluation Resource Center.

The Consultant will be responsible for implementing all evaluation-related activities and in producing the evaluation products listed in the deliverables section of this TOR. While the PMU will provide the information required and support in coordinating with stakeholders, the Evaluation Team will have to manage its own schedule and logistical arrangements in the conduct of interviews and site visits.

The selected Consultant shall be remunerated based on the following payment schedule:

<b>Payment Schedule</b>	<b>Percentage of Contract Amount</b>	<b>Payment Conditions</b>
1 <sup>st</sup> payment	20%	Upon signing of contract
2 <sup>nd</sup> payment	30%	Upon submission and acceptance of inception report
3 <sup>rd</sup> payment	10%	Upon presentation of mission evaluation highlights and submission and acceptance of presentation materials
4 <sup>th</sup> payment	20%	Upon submission and acceptance of draft evaluation report
5 <sup>th</sup> and final payment	20%	Upon submission and acceptance of final evaluation report and other related documents

#### *Timeframe for the evaluation process*

The whole evaluation process is expected to take 5 months (February to June 2019), with all related activities expected to be completed by the end of June 2019 as indicated in the table below:

<b>ACTIVITY</b>
<b>Procurement and Selection of IC</b>
TOR finalization and posting (calls for expression of interest)
Acceptance of proposals and deadline for submission
Assessment of proposals and Selection of IC
Issuance of contract and Notice to Proceed
<b>Inception</b>
UNDP, PMU, and Consultant meeting for orientation on evaluation norms and standards, and presentation and discussion of draft inception plan
Updating of plan and submission of final inception report
<b>Evaluation Mission</b>
Detailed review of program documents; interviews and group discussions with PMU, partners, and beneficiaries; and visits to selected sites/projects
Preparation and submission of presentation (mission highlights)
<b>Draft Evaluation Report and Presentation</b>
Data analysis and preparation of draft evaluation report
Presentation and distribution of draft report to stakeholders for review and comments
ERG Review of draft report and submission of comments
<b>Final Report</b>
Preparation of final evaluation report (Consultant to document and respond to all comments using audit trail)
Presentation for final review
Updating of report to integrate final comments
<b>Closure</b>
Presentation and submission of final evaluation report and all related documents to UNDP
Issuance of Certificate of Completion and processing of final payment

### *Application submission process and criteria for selection*

Submission of proposals is open to all interested and qualified individuals. The proposal shall contain both technical and financial components and should be submitted to the address indicated in the Procurement Notice. The technical proposal shall include the:

1. Duly accomplished Letter of Confirmation of Interest and Availability using the template provided by UNDP;
2. Personal CV or P11 form (UNDP Personal History Form), indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the applicant and at least three (3) professional references;
3. At least 2 final/published versions of terminal evaluation reports to provide the UNDP Proposal Assessment Team with an idea on how the applicant packages reports (i.e. quantitative and qualitative presentation of findings and recommendations);
4. Plan of Approach and Methodology; and
5. Financial Proposal indicating the all-inclusive fixed total contract price, supported by a breakdown of costs, using the template provided by UNDP.

The Plan of Approach and Methodology shall contain the same elements of the inception report as indicated in Section E.

The technical proposal shall be evaluated based on the following criteria:

- |  |            |
|--|------------|
| 1. <b>Background/experience of Consultant and 2 sample outputs</b> | <b>30%</b> |
| 2. <b>Plan of Approach and Methodology</b>                         | <b>70%</b> |
| a. <i>Approach to answering evaluation questions</i>               | <i>35%</i> |
| b. <i>Appropriateness of methods and instruments</i>               | <i>35%</i> |

The financial proposal should indicate both the breakdown and total costs of the engagement. It should be all-inclusive covering professional fees, travel expenses (i.e. vehicle rental and airfare), office supplies, food and accommodation, overhead costs, insurance coverage, and other incidental expenses.

The proposal shall be evaluated using the Combined Scoring Method, where the qualifications and methodology will be weighted a maximum of 70% and combined with the price offer which will be weighted a maximum of 30%.

### *Annexes*

[UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#)

[UNEG Norms and Standards for Evaluation](#)

[UNEG Ethical Guidelines for Evaluation](#)

[UNEG Quality Checklist for Evaluation Reports](#)

## Annex B

## PCTP-RAPID TERMINAL EVALUATION

## Detailed Schedule of Activities

21 March 2019

JP MERCADER

MONTH/DATE	ACTIVITY	NOTES
8-14, March	<ol style="list-style-type: none"> <li>1. Review and accomplishment of contract documents sent at past 4 PM of March 8, 2019</li> <li>2. Review of initial documents sent by PMU</li> <li>3. Formulation of draft work plan based on the contract context</li> <li>4. Formulation of draft Evaluation Matrix</li> <li>5. Revision of draft approach and methodology</li> </ol>	
15 March, Friday	<ol style="list-style-type: none"> <li>1. Review of Annual Progress Reports</li> <li>2. Travel to Manila and orientation session with UNDP PMU on UNDP evaluation systems and requirements</li> <li>3. Clarification on TOR and program documents</li> </ol>	
18 March, Mon	Inception Meeting with stakeholders	
19-22 March	<ol style="list-style-type: none"> <li>1. Revision of plans and formulation of Inception Report following stakeholders' comments at Inception meeting</li> <li>2. Submission of Inception Report (March 22)</li> </ol>	
25-29 March	<ol style="list-style-type: none"> <li>1. Continuing review of documents</li> <li>2. Formulation of KII, Consultation and FGD instruments</li> <li>3. Field investigation preparations</li> </ol>	
1 April, Mon	<ol style="list-style-type: none"> <li>1. Consultation with CCC (AM)</li> <li>2. Consultation with NEDA (PM)</li> </ol>	1.CCC consultation done through email 2. Consultation with DILG moved to June 6 3. Consultation with OCD moved to June 10
2 April, Tue	<ol style="list-style-type: none"> <li>1. Consultation with PAGASA (AM)</li> <li>2. Consultation with DILG (PM)</li> </ol>	
3 April, Wed	<ol style="list-style-type: none"> <li>1. Consultation with HLURB (AM)</li> <li>2. Consultation with OCD (PM)</li> </ol>	
4 April, Thu	<ol style="list-style-type: none"> <li>1. Travel to Cebu</li> <li>2. Consultation with HLURB Region VII</li> </ol>	
5 April, Fri	<ol style="list-style-type: none"> <li>1. Travel to Manila</li> </ol>	Alternatively, travel to Baybay, Leyte and consult with Visayas State University
9 April, Tue	<ol style="list-style-type: none"> <li>1. Travel to Tacloban</li> </ol>	PM flight; Holiday
10 April, Wed	<ol style="list-style-type: none"> <li>1. Consultation with Tacloban City officials (AM)</li> <li>2. Consultation with Leyte province officials</li> </ol>	

11 April, Thu	<ol style="list-style-type: none"> <li>1. Consultation with 1<sup>st</sup> batch Leyte municipal officials (4 municipalities)- MPDC, Budget Officer, Mun Engineer, Mun Agriculturist</li> <li>2. Consultation with 2<sup>nd</sup> batch Leyte municipal officials (3 municipalities)- MPDC, Budget Officer, Mun Engineer, Mun Agriculturist</li> <li>3. FGD 1</li> </ol>	
12 April, Fri	<ol style="list-style-type: none"> <li>1. FGD 2</li> <li>2. FGD 3</li> </ol>	
13 April, Sat	<ol style="list-style-type: none"> <li>1. FGD 4</li> <li>2. FGD 5</li> </ol>	For confirmation with concerned municipalities
14 April, Sun	<ol style="list-style-type: none"> <li>1. Travel to Catbalogan City, Samar</li> </ol>	Overnight in Catbalogan
15 April, Monday	<ol style="list-style-type: none"> <li>1. Consultation with Samar provincial officials (9:00 AM)</li> <li>2. Travel to Borongan, Eastern Samar (11:30 AM)</li> <li>3. Consultation with Eastern Samar provincial officials (3:30 PM)</li> </ol>	Overnight in Borongan
16 April, Tue	<ol style="list-style-type: none"> <li>1. Travel to Balangiga (7:30 AM)</li> <li>2. Consultation with Balangiga municipal officials (9:00 AM)</li> <li>3. Travel to Lawaan (11:00 AM)</li> <li>4. Consultation with Lawaan municipal officials (1:00 PM)</li> <li>5. FGD in Lawaan Bgy (3:00 PM)</li> <li>6. Travel to Tacloban (5:00 PM)</li> </ol>	Overnight in Tacloban
17 April, Wed	<ol style="list-style-type: none"> <li>1. Travel to Basey, Samar (8:00 AM)</li> <li>2. Joint consultation with Basey and Marabut municipal officials (9:30)</li> <li>3. FGD in Basey barangay 1 (1:00 PM)</li> <li>4. FGD in Basey barangay 2 (3:00PM)</li> <li>5. Travel to Tacloban and Manila</li> </ol>	
21 April, Sun	<ol style="list-style-type: none"> <li>1. Travel to Cagayan de Oro City</li> </ol>	PM flight
22 April, Mon	<ol style="list-style-type: none"> <li>1. Consultation with Region X officials (9:00)</li> <li>2. Consultation with CDO City officials (10:45)</li> <li>3. Consultation with Xavier University (1:00)</li> </ol>	All activities moved to April 23
23 April, Tue	<ol style="list-style-type: none"> <li>1. Travel to Iligan City (7:30 AM)</li> <li>2. Consultation with Iligan City officials (9:30 AM)</li> <li>3. Consultation with MSU IIT (11:00 AM)</li> <li>4. Travel to Cagayan de Oro</li> </ol>	All activities moved to April 22
24 April, Wed	<ol style="list-style-type: none"> <li>1. Travel to Manila</li> </ol>	AM flight
25-26 April	<ol style="list-style-type: none"> <li>1. Consolidation of Region X data and info</li> </ol>	
5 May, Sun	<ol style="list-style-type: none"> <li>1. Travel to Davao City</li> </ol>	PM flight
6 May, Mon	<ol style="list-style-type: none"> <li>1. Consultation with regional officials of national agencies (9:30 AM)</li> </ol>	Overnight in Nabunturan

	<ol style="list-style-type: none"> <li>Travel to Nabunturan (12:00 Noon)</li> <li>Consultation with Compostela Valley provincial officials (3:00 PM)</li> </ol>	
7 May, Tue	<ol style="list-style-type: none"> <li>Travel to New Bataan (8:00 AM)</li> <li>Consultation with New Bataan municipal officials (9:30 AM)</li> <li>FGD in New Bataan Barangay (1:00 PM)</li> <li>Travel to Mati City, Davao Oriental (3:00 PM)</li> </ol>	
8 May, Wed	<ol style="list-style-type: none"> <li>Consultation with Davao Oriental Provincial officials (8:30 AM)</li> <li>Joint consultation with officials of Baganga, Boston and Cateel municipalities (1:00 PM)</li> <li>Travel to Davao City (3:00 PM)</li> </ol>	
9 May, Thu	<ol style="list-style-type: none"> <li>Travel to Manila</li> </ol>	
10-16 May	<ol style="list-style-type: none"> <li>Data consolidation and preparation for debriefing session</li> </ol>	
17 May, Fri	<ol style="list-style-type: none"> <li>Debriefing session with ERG and other stakeholders</li> </ol>	Moved to May 30
20-31 May	<ol style="list-style-type: none"> <li>Formulation of Draft Evaluation Report</li> </ol>	
3 June, Mon	<ol style="list-style-type: none"> <li>Submission of Draft Evaluation Report</li> </ol>	Moved to June 19
4-16 June	<ol style="list-style-type: none"> <li>Revision and finalization of Final Evaluation Report</li> </ol>	
17 June, Mon	<ol style="list-style-type: none"> <li>Submission and presentation of Final Evaluation Report and endorsement of materials to UNDP</li> </ol>	Moved to June 28
July	<ol style="list-style-type: none"> <li>Regional presentation of Final Evaluation Report in Davao City, Cagayan de Oro City and Tacloban City</li> </ol>	Tentative and subject confirmation by LGUs and regional officials
	END	



## Annex C

## Persons Met

Name	Position	Agency/LGU/Institution	Contact Details
<b>International Agencies</b>			
<b>A. DFAT</b>			
1. Inge Stokkel	First Secretary	Australian Embassy	
2. Anne Orquiza	Portfolio Manager for Humanitarian and Disaster Risk management	DFAT	
3. Harry Pasimio	Sr. Program Officer	DFAT	
4. Anna Francesca Cubos	Program Officer		09985913384
5. Gemma Ocon			
<b>B. UNDP</b>			
1. Floradema Eleazar	Program Manager	UNDP	
2. Imelda Lamboon	Project Manager	RAPID PMU	
3. Paul Villarico	M&E Officer	RAPID PMU	
4. Marian Co	M&E Analyst	RAPID PMU	
5. Mark Marcos	DRR Specialist	RAPID PMU	
6. Sunshine de Guzman		RAPID PMU	
7. Michael Yu	Project Assistant	RAPID PMU	
8. Cora Punay			09175010760
9. Michael Jaldon	PA		
<b>National Agencies</b>			
<b>A. CCC</b>			
1. Azriel Valdez		FAPMS	09155667046
2. Gemma Regina Cunanan		Do	09152508290
3. Rafael Jumawid	DMO II		09152891509
<b>B. DILG</b>			
1. Jenifer Galorport	LGOO VIII, Division Chief	BLGD	09171324342
2. Blanca Circado	Division Chief, LGCDD	DILG Region VIII	09055642906
<b>C. HLURB</b>			
1. Emma Ulep	HHRO VI	PDG-HLURB	9297798
2. Julia Collado	HHRO III	Do	9297798
3. Charito Raagas	Regional Director	HLURB Region XI	09177033815
4. Jovita Solarte	HHRDO IV	Do	09228884177
5. Roma Mae Qulsado	HHRO III	HLURB Region VII	2544564
6. Evelyn Borier	Head, PRID	Do	Do
7. Linelle Cuevas	Head, CAO	Do	Do

8. Jeremeh Maradabos	Regional Accountant	Do	Do
9. Dunstan San Vicente	Regional Director	Do	Do
10. Rey Niog	HHMO III	HLURB, Cagayan de Oro	09508091062
<b>D. NEDA</b>			
1. Nieva Natural	Director IV	NEDA ANRES, Central Office	09194736399
2. Diane Llanto	Asst. Director	do	
3. Jaqueline Ilio	SEDS	Do	
4. Rory Dacumos	CEDS	Do	
5. Ross de Leon	SEDS	Do	
6. Julius Casabal			6312187
7. Evangeline Paran	OIC-Asst. Regional Director	NEDA Region VIII	09164475336
8. Annielyn Lostiniano	Division Chief	Do	09183848037
9. Jay Ar Ragun	SEDS	Do	09163956405
10. Grace Artede	SEDS	Do	0998564519
11. Mark Lomboy	EDS	Do	
12. Geselle Frances Zeta	SEDS	Do	
<b>E. OCD</b>			
1. Dr. Edgar Posadas	Director, OCD Operations Service	OCD	
2. Rosario Cabrera	Former Regional Director	OCD	
3. Henry Anthony Torres	Regional Director	OCD Region VIII	09178407606
4. Maria de la Calzada	Admin Officer	Do	09059084221
<b>F. PAGASA</b>			
1. Maximo Peralta	Asst. Weather Service Chief	PAGASA	
2. Dominic Joshua Lopez	Sr. SRS	PAGASA	09156263602
3. Thelma Cimo			09279548914
4. Ma. Cecilia Monteverde			09179377244
5. Analiza Tuldao			09179915324
<b>Local Government Units</b>			
<b>Region VIII</b>			
<b>Province/City/Municipality</b>			
<b>Leyte Province</b>			
1. Vanessa Villason	LDRRMO	PDRRMO	09275619504
<b>Tacloban City</b>			
1. Ilderbrando Bernadas	CDRRM Officer	CDRRMO	09173229585

2. Garson Muria	Admin Aide	CPDC	09270331448
3. Reggie Tan	Admin Aide	CPDO	09171020916
<b>Municipalities</b>			
1. Rodolfo Cabias	MPDC	MPDO, Abuyog	09954629119
2. Erik Bargan	MDRRM Officer	MRDRRMO, Abuyog	09989974258
3. John Rey On	MDRRM Officer	MDRRMO, Mayorga	093993992068
4. Marilyn Robedilo	MPDC	MPDO, Mayorga	09103640540
5. Eleazar Bendanillo	Admin Aide	Mun of Tolosa	09197199991
6. Loida Palana	MBO	Do	09162844678
7. Cecillo Marilla	MPDC	MPDO, Tolosa	09999973100
8. Lech Caminong	MDRRM Officer	MDRRMO, Dulag	09399367627
9. Arlene Kempis	Budget Officer	Mun of Dulag	09173063558
10. Gina Vacal	Planning Officer 1	MPDO, Dulag	09086241438
11. Armand Cabaltera	MPDC	MPDO, Palo	
12. Harvey Gasapan	Officer 1	MDRRMO, Palo	0920667475
13. Ricardo Maza	MDRRM Officer	MDRRMO, Tanauan	09774966305
14. Cesar Garcia	MPDC	MPDO, Tanauan	09292850763
<b>Eastern Samar and Municipalities</b>			
1. Ma. Josefina Tutong	PDRRM Officer	PDRRMO	
2. Reytemio----- (unreadable)	OIC- PPDC	PPDO	
3. Judith Alde	LDRRM Officer	MDRRMO, Balangiga	09981982721
4. Al Balderama	Planning Officer II	MPDO, Balangiga	09272229481
5. Louie Ulian	Planning Officer	MPDO, Lawaan	09984300412
6. Elmo Abayan	MDRRM Officer	MDRRMO, Lawaan	
<b>Samar and Municipalities</b>			
1. Sharee Ann Tan de los Santos	Governor	Province of Samar	
2. Nicasio Belviejo	PPDC	PPDO, Samar	09173215507
3. Marvel Van Torquillas	PDRRM Officer	PDRRMO	09117873330
4. Anita Taron	Provincial Agriculturist	OPA	
5. Mylee Ko	Prov, Budget Officer	Samar Province	09177093049
6. Rosalina Quitaly	PEO IV	PEO	09176110101
7. Meldy Adel	MPDC	MPDO, Basey	09185543675
8. Amelita Rayak	Budget Officer III	Mun of Basey	
9. Rowena Olfato	MDRRM Officer	MDRRMO, Basey	09364369414
10. Judarico Salit	MPDC	MPDO, Marabut	09267763818
11. Aida Grefiel	Budget officer	Mun of Marabut	09277461108
12. Rogelio Grefiel, Jr.	MDRRM Officer	MDRRMO, Marabut	09171269065
<b>Region X</b>			
<b>Cities/Municipalities</b>			
A. Cagayan de Oro			

1. Jeo Valerio	ISA III	CPDO, Cag de Oro City	09275495636
2. Jay Canete	ITO 1	Office of the City Administrator	09198822686
B. Iligan City			
1. Venerando Bordeos	OIC CPDC	CPDO	iligancpdo@gmail.com
C. Opol, Misamis Oriental			
1. Eddie Manpe, Jr	MPDC	MPDO, Mun. of Opol	09367459490
2. Edgar Olaco		Do	09261148337
3. Lilibeth Uy		Do	09173199072
4. Romel Lonoy		Do	09177181839
5. Emily Grace Banal		Do	09173199907
6. Alona Gigaluna		Do	09065053126
<b>Region XI</b>			
<b>Province/Municipality</b>			
<b>1. Compostela Valley and Municipality</b>			
1. Raymundo Pajarito	Asst PPDC	PPDO, Province of Compostela Valley	
2. Reynaldo Castardo	Dev Mgt Officer	Do	
3. Prime Enrique Rendon	Project Evaluation Officer	Do	
4. Rolando Plaza		Do	
5. Joseph Randy Ioy	Head, PDRRMO	PDRRMO	
6. Raul Villarin		Do	
7. Lucrecia Polinar	OIC-MPDC	MPDO, New Bataan	09207902087
8. Erlinda Espartero	OIC-MAO	OMA, New Bataan	09218357386
9. Reymart Ruiz	Former ClimExdb Enumerator	MPDO, New Bataan	09952665209
10. Ivy Jay Panes	Admin Aide/do	Do	09652914197
11. Lovely Mae Flores	Data Encoder	Mun Budget Office, New Bataan	09123629553
12. Jejomar Gudelosao	GPS Operator	MPDO, New Bataan	09161909167
13. Arthur John Estrada	AA-II	Do	09265109157
14. Jocris Sagang	Data Controller	Do	09214664718
15. Glendele Babag	Data Validator	Do	09566786399
16. Risa Polistico	Finance Officer	Do	09650662075
17. Allozene Panes	GPS Operator	Do	09079248605
<b>2.Davao Oriental and Municipalities</b>			
1. Ricardo Victor Velasco	Asst. PPDC	PPDO, Davao Oriental	09985331975
2. Kent Dan Albite	PEO II	Do	09062514623
3. Victor Baril, Jr	JO	Do	
4. Ruben Postrero	MPDC	Mun. of Baganga	09358749582
5. Norman Sia		Do	09284024317

6. Floro Butulan	MPDC	Mun. of Boston	09177199723
<b>Academe</b>			
Xavier University			
1. Dexter Lo	Director	Xavier University	<a href="mailto:dlo@xu.edu.ph">dlo@xu.edu.ph</a>
MSU-IIT			
1. Daniel Mostrales	Project Officer IV	College of Engineering	09209103651
2. Elizabeth Edan		Do	09177128595

#### Barangays Covered in Consultation

City/Municipality	Barangay	No. of Participants
1. Tacloban City	1. Barangay 20	10
2. Abuyog, Leyte	1. Balinsasayao	5
	2. Buntay	4
	3. Canuguib	5
3. Dulag, Leyte	1. Salvacion	4
4. Palo, Leyte	1. San Miguel	25
5. Basey, Samar	1. Tingib	6
6. Lawaan, Eastern Samar	1. Barangay 8	12
Total	8	71

## Annex D

### Performance Standards and Ratings

The performance rating applied to the criteria follows the DFAT system as shown below.

Scale	Rating	Standard
1	Very Poor	Does not satisfy criteria in any major area
2	Poor	Does not satisfy criteria in several major areas
3	Less than Adequate	Does not satisfy criteria and or fails in one major area
4	Adequate	Satisfies criteria; does not fail in any major area
5	Good	Satisfies criteria in almost all areas
6	Very Good	Satisfies criteria in all areas

Each of the five criteria has 20% weight. Gender is a major area in each criterion.

## Annex E

PCTP-RAPID Evaluation Matrix

Criteria and Key Questions	Specific Sub-question	Data Sources	Data Collection Method/Tools	Indicators/ Success Standard	Analysis method
<b>1. Relevance</b>					
1. Over all, Is the program design aligned with and responsive to national development priorities? Is it also aligned with and responsive to any set of international priorities or goals? How so?	1. Is the program design congruent, aligned with and responsive to the PDPs (2010/16 and 2016/22)? 2. Are the interventions responsive to the needs of LGUs and communities? PDPs? 3. Is the program design aligned with corresponding programs of UNDP and DFAT? 4. Is the program design aligned with the MDG and SDG? 5. Is the program design aligned with international agreements related to climate change and DRR? 4. Are gender equality concerns sufficiently addressed by the program design?	1. Program documents 2. UNDAF docs corresponding to program period 3. DFAT assistance programs corresponding to program period. 4. MDG 5. SDG 6. Intn'l agreements on CC and DRR e.g. Paris, Sendai 7. LGUs historical accounts on aftermaths of typhoons. 8. Midterm review report	1. Documentary review 2. KII and consultations with national agencies and LGUs 3. Web-search	1. Proposed interventions are congruent with national, donors' and relevant international policies and priorities. 2. Gender equality issues are addressed.	Combination of qualitative and quantitative analytical methods employed in project evaluation
2. Is it aligned with the development priorities of UNDP and DFAT Australia? Are project results aligned to relevant Millennium Development Goals (MDG) and Sustainable Development Goals (SDG)?	1. To what specific priorities of UNDP and DFAT, e.g. environment, human rights, gender equality, etc. is the project congruent/not congruent with? 2. What results are congruent with specific concerns and goals of MDG and SDG?	1. Program documents 2. UNDAF docs 3. DFAT program 4. MDG 5. SDG 6. MTR	1. Documentary review 2. Web-search	1. Proposed interventions and results are congruent with UNDP, DFAT, MDG and SDG policies and priorities.	Qualitative Policy, plans and results analysis
3. Is it responsive to the needs of its target beneficiaries and target communities affected by typhoons Washi, Bopha, and Haiyan? Are the activities and strategies	1. What specific needs of communities, LGUs and national agencies, on information, capacity building, planning, regulation, policy formulation, related operations, etc. were	1. M&E reports 2. LGUs 3. Communities	1. Documentary review 2. Group consultations 3. KII 4. FGD 5. Knowledge Café, if practicable	1. Program interventions and outputs are appreciated . 2. Outputs and results are practiced and institutionalized or in the process of institutionalization.	Qualitative and quantitative analysis

appropriate to the needs of target beneficiaries and communities?	<p>responded to by the program?</p> <p>2. Were the specific interventions relevant to achieving the results and objectives of the program which would address the needs of beneficiary stakeholders?</p> <p>3. Were the interventions culturally fit? In areas where there are IP communities, are the provisions of IPRA observed to be relevant to these communities?</p> <p>4. Were gender equality concerns integrated in the strategies and interventions?</p>			3. Gender issues are integrated in interventions.	
4. To what extent did it use the most appropriate modality and approach to achieve its intended results?	<p>1. Was the implementation and management arrangement appropriate given the multi-level and multi-stakeholders nature of the program?</p> <p>2. Were the strategies and plans appropriate in achieving the desired results?</p> <p>3. Were the interventions (technologies, IEC, capacity building, systems, input products) relevant towards achieving the intended results?</p> <p>4. Were the partnership arrangements with national agencies, NGOs, CSOs and academe relevant in achieving the desired results?</p> <p>5. Were gender equality concerns embedded in the interventions and shared by partners?</p>	<p>1. CCC, national agencies, LGUs, communities, XU, MSU, Balay Mindanao</p> <p>2. Program reports</p> <p>3. UNDP</p>	<p>1. Documentary review</p> <p>2. Group consultations</p> <p>3. KII</p> <p>4. FGD</p> <p>5. Knowledge Café, if practicable</p>	<p>1. Specific interventions and plans have direct correlation with the intended results.</p> <p>2. The partners significantly contributed to the achievement of desired results.</p> <p>3. The products, processes, systems, capacity building, IEC and others significantly contributed to achieving the desired results.</p> <p>4. Gender concerns were observed by partners</p>	Qualitative and quantitative analysis
5. How did it differentiate itself from or complement similar	1. What were the areas of complementation with similar programs	1. GIZ, ADB, EU, WB, JICA, NZ, DFAT, UNDP	<p>1. Documentary review</p> <p>2. Web search</p> <p>3. KII</p>	<p>1. Complementation is evident and contributed to</p>	1. Qualitative and quantitative analyses



projects/programs to ensure non-duplication and targeted solutions?	of GIZ, ADB, EU, WB, JICA, NZ, DFAT, UNDP, etc. 2. How was the complementation or cooperation undertaken? 3. Where there duplication in program interventions with the program of other donors or government? If so, why was duplication undertaken? 4. What existing products of other donors and government programs were explored and used in interventions? 5. Were gender concerns addressed in the complementation modalities employed?			achieving the desired results. 2. No duplication of investment in same area or same tasks. 3. Gender concerns are addressed.	
6. How did it account for the specific concerns of men, women, and marginalized groups to ensure that its interventions are responsive?	How did the program account for the specific concerns of men, women, and marginalized groups to ensure that its interventions are responsive: 1. In terms of intervention plans? 2. In terms of actual interventions? 3. In terms of scope of interventions related to human trafficking, disabilities, men, women, minors, IPs? 4. In terms of IPRA provisions?	1. Program docs 2. LGUs 3. Communities 4. NCIP 5. Social Development Plan	1. Documentary review 2. KII 3. FGD	1. International and national norms on gender equality and social protection are observed and followed.	Qualitative and quantitative analyses.
<b>2. Effectiveness</b>					
1. To what extent did it achieve its intended outputs and outcomes, both expected and unexpected, positive and negative? How valid is the Theory of Change?	1. Were the expected outputs and outcomes achieved/not achieved? Why? 2. Were there unexpected positive/negative outputs and outcomes? What circumstances or factors led to these?	1. CCC 2. UNDP 3. LGUs 4. Communities	1. Documentary review 2. KII 3. FGD	1. Expected outputs, quality/quantity-wise were met. 2. Negative outputs mitigated 3. Negative outputs rectified. 4. Gender dynamics demonstrate positive changes.	Qualitative and quantitative analyses.

	<p>What can be learned from these?</p> <p>3. Are the outputs and outcomes congruent with the Theory of Change? If so or not, why and what are the contributory factors?</p> <p>4. Did the outputs and outcomes demonstrate enhancement of gender equality concerns? How?</p>				
<p>2. How effective was it in building the capacities of key stakeholders and influencing processes and policies on DRR and CCA? What was PCTP-RAPID's value addition?</p>	<p>1. Are the competencies of LGUs translated into appropriate specific practices? How?</p> <p>2. Do the knowledge and skills find translation into related ordinances (policies, regulatory, operational directives)?</p> <p>3. Are the communities aware and knowledgeable on DRR and CCA? Are they practicing what they have learned? How?</p> <p>4. Are gender concerns embedded in local policies and practices?</p>	<p>1. CCC and partners</p> <p>2. UNDP</p> <p>3. Partners</p> <p>4. Program documents</p> <p>5. LGUs</p> <p>6. Communities</p>	<p>1. Documentary review</p> <p>2. KII</p> <p>3. Group consultation</p> <p>4. FGD</p> <p>4. Visual inspection</p>	<p>1. Adopted community practices</p> <p>2. LGU Ordinances</p> <p>3. Embedded budget in plans</p> <p>4. Gender considerations integrated in capacity building efforts.</p>	<p>1. Qualitative and quantitative analyses</p> <p>2. Visual inspections</p> <p>3. Learning gap analysis</p>
<p>3. What were the facilitating and constraining factors that affected the eventual realization of the expected outputs and outcomes?</p>	<p>1. What were the facilitating factors (resources, processes, etc.) during planning, implementation, monitoring and how did they influence the expected outputs and outcomes?</p> <p>2. What were the constraining factors (resources, processes, etc.) during planning, implementation, monitoring and how did they influence the expected outputs and outcomes? How were the constraints addressed?</p> <p>3. What were the facilitating and</p>	<p>1. Partner agencies</p> <p>2. LGUs</p> <p>3. Academe</p> <p>4. LGUs</p> <p>5. Communities</p> <p>6. MTR Report</p>	<p>1. Documentary reviews</p> <p>2. Group consultations</p> <p>3. KII</p> <p>4. FGD</p>		<p>Qualitative analysis</p>

	constraining factors that influenced the pursuit of gender equality and other social protection concerns?				
How effective was it in engaging key stakeholders (e.g. national and subnational government agents and communities, etc.) during project implementation? Was it sufficient to secure buy-in and facilitate ownership? Are there alternative strategies that would have been more effective in achieving intended outputs and outcomes? Were marginalized groups effectively engaged and represented/included in decision making process and in the achievement of intended outputs?	<p>1. Were the stakeholders responsive and compliant with their agreed/expected roles as partners in:</p> <p>a. planning b. implementation c. monitoring and evaluation?</p> <p>2. To what extent was ownership demonstrated in terms of practices, policies and regulatory directives?</p> <p>3. What and how did facilitating/constraining factors influence the expected outputs and outcomes? Were constraining factors addressed?</p> <p>4. Were there options/alternative strategies, intervention modalities which would have been more effective?</p> <p>5. How did the interventions engage marginalized groups in program implementation (decision making, etc.) to achieve desired results?</p> <p>6. Were gender concerns enhancement appreciated and practiced?</p>	<p>1. Partner agencies 2. LGUs 3. Academe 4. LGUs 5. Communities 6. MTR Report</p>	<p>1. Documentary reviews 2. Group consultations 3. KII 4. FGD 5. Visual examination</p>	<p>1. Evident partners cooperation and participation in planning, implementation, product and processes development, etc. 2. Adoption of technologies, knowledge, practices and other program products including policies. 3. Gender concerns addressed. 4. Marginalized groups effectively engaged.</p>	Qualitative analysis
What was UNDP's and DFAT's value addition? How sufficient was the support provided by UNDP and DFAT?	<p>1. What were the distinctive contributions of UNDP and DFAT in terms of:</p> <p>a. planning b. management and implementation c. monitoring and evaluation d. issues resolution</p>	<p>1. UNDP 2. DFAT 3. CCC 4. Partner agencies 5. LGUs 6. Academe 7. Communities 8. MTR Report</p>	<p>1. Documentary reviews 2. Group consultations 3. KII 4. FGD</p>	<p>1. Adequacy and timeliness of resources 2. Timely and appropriate response to operational issues made. 3. Persistence on observance of</p>	Qualitative and quantitative analysis

	during the NIM and DIM modalities? 2. Were the support sufficient in terms of: a. resource allocation and timeliness b. technical c. processes facilitation d. implementation e. monitoring and evaluation?			gender concerns demonstrated.	
<b>1. Efficiency</b>					
1. To what extent did its structure, implementation strategies, systems, processes, and mechanisms ensure that the project was implemented in a cost-effective and timely manner?	1. Were the structure, implementation strategies, systems, processes, and mechanisms efficient options in achieving the expected outputs and outcomes? 2. What other options would have been more efficient (in terms of timeliness and cost effectiveness) to achieve the outputs and outcomes?	1. Program documents 2. CCC 3. PMU 4. Partner agencies 5. LGUs 6. MTR Report	1. Documentary reviews 2. Group consultations 3. KII	1. Costs are within price norms 2. Issues are addressed in timely and effective manner 3. Products are completed timely in prescribed quality and standards. 4. Efficiency measures took into consideration the concerns on gender equality and social protection.	1. Qualitative analysis 2. Comparative advantage analysis 3. Cost effectiveness analysis
2. Was it implemented on budget and on time? Are variances between planned and actual expenditures justified? What effects, whether positive or negative, did these variances have towards the delivery of outputs?	1. Does the budget process (plan and execution) pose delays in implementation? How so? 2. Is the budget allocation sufficient for specific expenditure items? If not, is it due to faulty planning and budgeting? 3. Are cost variances frequent and what are the causes? 4. How did the variances impact on the results? 5. How were the variances rectified?	1. Program documents 2. M&E reports	1. Documentary reviews 2. Group consultations 3. KII	1. Operational delays due to budget are within acceptable norms 2. Budget made provisions to address gender concerns.	1. Qualitative analysis 2. Cost effectiveness analysis
3. Was it able to leverage existing capacities, resources, or initiatives towards a more efficient project delivery?	1. In what way did the program utilize existing capacities and resources; and collaborate with existing initiatives to enhance project delivery, outputs and outcomes?	1. Program documents 2. CCC 3. PMU 4. Partner agencies 5. LGUs 6. MTR Report	1. Documentary reviews 2. Group consultations 3. KII	Cooperation agreements <b>that took note of gender concerns.</b>	Qualitative analysis
4. To what extent has it leveraged	1. Apart from Xavier University, what other	1. Program documents	1. Documentary reviews	Partnership agreements and	Qualitative analysis

private sector partnerships to support project implementation?	partnerships were concluded and how did these partnerships contribute to program efficiency and effectiveness.	2. CCC 3. PMU 4. Partner agencies 5. LGUs 6. MTR Report	2. Group consultations 3. KII	outputs sensitive to gender concerns.	
<b>2. Sustainability</b>					
1. To what extent has it built the resilience of key stakeholders (e.g. government agencies, LGUs, communities, etc.) to future risks?	The key question is addressed under effectiveness.				
3. Is there adequate ownership of its results by key stakeholders (e.g. government agencies, LGUs, communities, etc.)? Which outputs are likely to be continued even without the support of PCTP-RAPID?	1. The key question is partly addressed under relevance 2. After PCTP-RAPID, which output will be continued by stakeholders? Why? 3. What steps are being undertaken to adopt/institutionalize specific outputs? How? 4. In adopting some outputs, is the stakeholder providing budget for their execution?	1. Program documents 2. Partner agencies 3. LGUs 4. MTR Report	1. Documentary reviews 2. Group consultations 3. KII	1. Ordinances and budget of LGUs 2. Operations manuals of partner agencies 3. Items 1 and 2 observe gender considerations.	Qualitative analysis Visual examination
4. Is a well-designed exit or transition strategy in place to ensure the sustainability of results after project closure? What can be done to sustain long-term benefits?	1. What is the probability of sustaining the gains given the exit/transition strategy? 2. What can be done to enhance it?	1. Program documents 2. LGU 3. Partner agencies	1. Documentary reviews 2. Group consultations 3. KII 4. Visual examination	Resolutions adopting the measures in exit strategy that considers gender concerns.	Qualitative analysis
<b>3. Impact</b>					
To what extent has PCTP-RAPID contributed to achieving results at the impact level?	1. What are the indications, if any, that the program is achieving results at impact level? 2. What is the probability that this trend will ultimately reach impact level? 3. What factors are contributing towards the achievement of results at impact level? 4. What can be done to enhance positive trend?	1. Program documents 2. LGU 3. Partner agencies	1. Documentary reviews 2. Group consultations 3. KII 4. Visual examination	1. Adoption of practices e.g. CBMEWS, land use, CC and DRR. 2. Institutionalization in policies e.g. ordinances, guidelines, etc. 3. Items 1 and 2 consider gender concerns.	Qualitative analysis

<b>6. Gender Equality</b>					
<b>NOTE: Other gender equality questions are embedded in other criteria.</b>					
1. Were there mechanisms and safeguards in place to assess gender effects and implications in the implementation of activities?	1. What mechanisms and safeguards are in place?	1. Program documents	1. Documentary reviews		Qualitative analysis
To what extent has PCTP-RAPID contributed to promoting gender equality in its target beneficiaries? Are there any contributions of PCTP-RAPID to observable changes in gender dynamics in communities?	1. Is there a reduction in incidences of abuse/ malpractices related to gender equality? 2. Are gender and social protection laws being followed in greater scale?	1. Program documents 2. DSWD 3. PNP	1. Documentary review 2. KII 3. Group consultation	Reduced incidence of abuses	Qualitative and quantitative analysis

### **Documents Reviewed**

1. 2017 Action Plan for Prior Year's COA Audit
2. Agenda for Sustainable Development (2030), NEDA, 2017
3. Australia's Aid Program to the Philippines
4. ClimEx.db and CBMS Integration Using Qlik Sense, PCTP-RAPID
5. Climate Change and DRR PEIR Final Report
6. CLUP Guidebook- Supplemental Guidelines on Mainstreaming Climate Change and Disaster Risks in the Comprehensive Land Use Plan, HLURB-PCTP-RAPID, undated
7. Community Based Monitoring System, Angelo King Institute, undated
8. Completion Report: Community-Based Disaster Risk Reduction and management Training for 90 Barangays in Leyte and Samar, UNDP
9. Enabling the Cities of Cagayan de Oro and Iligan to Cope with Climate Change, UNDP-DFAT
10. Evaluation Report: Improving the Coverage and Management Effectiveness of Protected Areas in the Central Tian Shan Mountains, Kyrgyzstan, GEF-UNDP
11. Evaluation Quality Assessment Report, DFAT
12. Final Aid Quality Check, DFAT
13. Handbook on Planning, Monitoring and Evaluating for Development Results, UNDP
14. Highlights of 8<sup>th</sup>, 9<sup>th</sup> and 10<sup>th</sup> PMB meetings
15. Highlights of June 4, 2018 RAPID meeting chaired by NEDA
16. HLURB Memorandum Circular No. 10, 10 January 2019
17. Independent Mid-Term Review of PCTP-RAPID, March 15, 2017
18. OECD-DAC Criteria for Evaluation
19. Mid Term Evaluation Report: Local Climate Adaptive Living Facility, UNCDF, March 2018
20. Partnership Framework for Sustainable Development (PFSD) 2019-2023, DILG, 2018
21. Partner performance Assessment (PPA), DFAT
22. PCTP Annual Work Plans, 2013, 2014, 2015
23. PCTP-RAPID Annual Work Plans, 2016, 2017, 2018
24. PCTP-RAPID Annual Progress Reports, 2013, 2014, 2016, 2017, 2018
25. PCTP-RAPID Expenditure Analysis, April 28, 2019
26. Philippines Development Plan, 2011-2016
27. Philippines Development Plan, 2017-2022
28. Resilience and Preparedness Towards Inclusive Development (RAPID) Program for Yolanda Affected Areas, UNDP-DFAT,
29. Sendai Framework for Disaster Risk Reduction, 2015-2030, March 2015
30. Status of CLUP in Northern Mindanao, HLURB Region X, 2019
31. Status of Provinces, Cities and Municipalities with Approved CLUP, HLURB, Jan 2019
32. Support to Long Term Recovery of the Provinces of Compostela Valley and Davao Oriental under PCTP, undated
33. RLUC VIII Resolution on SPBLGBFP
34. Technical Evaluation Report- Strengthening National Capacities for Consolidation, Operationalization and Sustainability of Belize's Protected Areas System, UNDP-GEF, March 2015
35. Terminal Report: Formulation/Revision/Enhancement of CLUP and Zoning Ordinance with Mainstreaming Guidelines, HLURB Central Visayas Field Office, September 2018

36. The Paris Agreement, Dec 28, 2015
37. TOR- Technical Consultant to Conduct ClimEx.db. Survey, Training and Data Integration with CBMS, Nov 15, 2018
38. UNDP Country Programs and Strategic Plan
39. UNEG Ethical Guidelines for Evaluation
40. UNEG Norms and Standards for Evaluation
41. Various Memorandum of Agreement (CCC and agencies)



## Annex G

### Questions for Respondents and Discussion Guide

#### Questions for CCC

1. Was the mid-term review of PCTP-RAPID reflective of realities of the program? If not, what were the deviations from realities?
2. Various related and similar interventions were being conducted by several donors simultaneous with PCTP-RAPID. How did CCC manage the complementation of PCTP-RAPID with other programs/projects?
3. How is the program related to the CORE program of CCC?
4. What is CCC's plan regarding the ClimEx.db after end of the program?
5. There were reports of delayed remittances to some partners during PCTP implementation. If true, what were the causes of the delays?
6. There was a lull or slowdown of program implementation for about two years (2015-2017). What were the causes of this lull?
7. The program has products related to climate change which are well appreciated by LGUs and national agencies. What is CCC's plan regarding these products after end of the program?
8. The program involved many agencies and LGUs. Were the management and partnership arrangements effective? If so, how? If not, what should have been done?
9. Was the funds flow system of the program effective and efficient? How so?
10. Was the program design and resource allocation to various outputs sufficient to address the issues and cover the costs of activities? If not, what improvements should have been done?
11. The program used the UNDP M&E system. Was the system sufficient and effective in terms of generating information for management decision?
12. In what way was UNDP and DFAT helpful/not to program implementation?
13. In what way was the program compliant with international conventions on climate change?
14. Overall, what is CCC's view regarding the program?

#### Questions for NEDA

1. As oversight body for all programs and projects, how did NEDA avoid the duplication of PCTP-RAPID Program with similar investments? How was complementation managed?
2. As implementing partner, what is the scope of involvement of your agency in the PCTP-RAPID Program? How were you organized to undertake the activities you cited?
3. In what ways was the program beneficial to the needs of your agency?
4. The intervention assigned to NEDA would involve practically all agencies. Were the activities conducted in inclusive manner? How?
5. Were the concerns of women, children, PWDs and the elderlies addressed in the conduct of program activities under your agency?
6. What were the issues encountered in the course of program implementation?
7. Was the funds flow and procurement of goods and services effective and efficient?

8. In what way was the PMU helpful in the implementation of your activities ?
9. The product of NEDA under the program will still be subjected to consultations with agencies and ICC approval. What is NEDA's plan for these after end of the program which is ending in June 2019?
10. Did you have instances when you sought assistance from UNDP and/DFAT? If so, how was the response?
11. Overall, what is your general view about the program?
12. If there will be another program, what do you think are the needs related to your mandates that need to be addressed?
13. The ICC has numerous guidelines for program/project formulation. This refers to gender equality and social protection environment; among others. Add to these the integration of DRRCC. Does NEDA plan to integrate all these guidelines into one comprehensive guidebook?

#### **Questions for Other National Agencies (DILG, HLURB, PAGASA, OCD)**

1. As implementing partner, what is the scope of involvement of your agency in the PCTP-RAPID Program? How were you organized to undertake the activities you cited?
2. In what ways was the program beneficial to the needs of your agency?
3. The program was implemented with LGUs and other agencies as partners. How effective and efficient were the partnership arrangements in the delivery of goods and services?
4. Were the activities conducted in inclusive manner? How?
5. Were the concerns of women, children, PWDs and the elderlies addressed in the conduct of program activities under your agency?
6. What were the issues encountered in the course of program implementation?
7. Was the funds flow and procurement of goods and services effective and efficient?
8. In what way was the PMU helpful in the implementation of your activities LGU?
9. What products of the program are being used now by your agency? In what way are they being used?
10. Has your agency issued memoranda or directives related to and as a result of the program products?
11. Did you have instances when you sought assistance from UNDP and/DFAT? If so, how was the response?
12. Overall, what is your general view about the program?
13. If there will be another program, what do you think are the needs related to your mandates that need to be addressed?

#### **Questions for LGUs (Municipal and Provincial LGUs)**

1. As implementing partner, what is the scope of involvement of your LGU in the PCTP-RAPID Program? How were you organized to undertake the activities you cited?
2. In what ways was the program beneficial to the needs of the LGUs and its constituents?
3. The program was implemented with many partners. How effective and efficient were the partner agencies in the delivery of goods and services?
4. Were the activities conducted in inclusive manner? How?
5. Were the concerns of women, children, PWDs and the elderlies addressed in the conduct of program activities?

6. How were the learnings and program information, products cascaded to the communities?
7. What were the issues encountered in the course of program implementation?
8. Was the funds flow and procurement of goods and services effective and efficient?
9. In what way was the PMU helpful in implementing the activities in your LGU?
10. What was the role of the provincial LGU during program implementation? (Question for municipal LGUs only.)
11. What products of the program are being used now by your LGU? In what way are they being used?
12. Has the LGU issued memoranda or ordinances related to and as a result of the program products?
13. Some program products need to be updated from time to time. Does the LGU have the capacity for this?
14. Did you have instances when you sought assistance from UNDP and/DFAT? If so, how was the response?
15. Overall, what is your general view about the program?
16. If there will be another program, what do you think are the needs of LGUs that need to be addressed?

### **FGD Guide Questions (Barangays/Communities)**

#### **Question Guide for Barangay Consultation**

1. To your knowledge, what is the PCTP-RAPID Program, which donor/s funded it and what were the activities of the program in your barangay/community?
2. How were the activities conducted? And who were the people involved?
3. What have you learned from the program?
4. What benefits, if any, has your community derived from the program?
5. Were there other disasters after Haiyan/Washi/Bopha? Can you cite what the barangay council, households and individuals did when another disaster happened.
6. What are their most pressing needs during calamities?
7. What are the expectations of the community from the program/government in times of calamity?
8. How were women involved? How useful was their involvement, if any to women, children, PWDs and the elderlies?
9. In what way are the barangay council, municipal and provincial governments helpful during calamities?
10. If there is another program what needs do you want to be addressed related to calamities?

## CV of Evaluator

Curriculum Vitae (CV)

**JOHNSON P. MERCADER**

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CP: 0929-5996288  
E-mail: kyjp1951@gmail.com**

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### Key Qualifications:

About 40 years of professional experience in rural development work, of which 25 years are as Independent Consultant. Have repeatedly worked with almost all major international donor agencies in conjunction with government agencies in the Philippines, South and Southeast Asia. Proficient and knowledgeable with Philippine laws including the Local Government Code, the Indigenous Peoples' Rights Act, Taxation Laws, Land Administration and Management, Comprehensive Agrarian Reform Law, Agriculture and Fisheries Modernization Act, ARMM Organic Law, Climate Change Act and numerous others related to rural and human development. Have worked with IP communities in the Philippines and Southeast Asian countries and have worked with professionals, mainly consultants and counterpart officers of various nationalities and culture. Have demonstrated successes in project design, evaluation, implementation and management. Have numerous skills including management, M&E, financial management, human relations and IT technologies.

**Date of Birth:** October 9, 1951

### Membership in Professional Societies:

- Volunteers for International Technical Assistance (VITA)
- Management Association of the Philippines (MAP)
- Animal Science Society of the Philippines
- Soils Society, International
- Upsilon Sigma Phi

### Education:

- Master in Business Administration, Ateneo de Manila Graduate School of Business (Units), 1978

- Master of Science in Agriculture, University of the Philippines at Los Baños (UPLB), Philippines, 1976
  - Bachelor of Science in Agriculture, Xavier University, Cagayan de Oro City, 1972
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#### **Trainings Attended and Conducted:**

- Attended and conducted numerous training programs on general and project management, M&E system development, policy formulation and analysis, economic analysis, organizational development, project preparation and evaluation, development planning, specific management tools and techniques, rural enterprise, institutional development, monitoring and evaluation and agribusiness development, among others, abroad and in the Philippines.

#### **Languages:**

<b>Language</b>	<b>Speaking</b>	<b>Writing</b>	<b>Reading</b>
English	Excellent	Excellent	Excellent
Filipino	Excellent	Excellent	Excellent
Cebuano	Excellent	Excellent	Excellent
Bicolano	Excellent	Excellent	Excellent
Ilonggo and Waray	Good	Good	Good
Spanish	Fair	Fair	Fair
Bahasa	Fair	Fair	Fair

#### **Employment Record:**

**Year:** September to December 2017 and January to March 2018

**Client:** Department of Finance / Millennium Challenge Corporation (MCC)

**Position Held:** National Coordinator

#### **Roles/Activities Performed:**

- Led a multi-disciplinary team for the review and reformulation of proposals on secondary national roads, farm to market roads in Agrarian Reform Communities and Ports and Fish Ports projects in

the Eastern Seaboard for MCC financing. The three projects amounted to more than US\$800 million.

**Year:** January to May 2017

**Client:** Department of Agrarian Reform

**Position Held:** Consultant

**Roles/Activities Performed:**

- Evaluated and reformulated 9 agribusiness feasibility studies proposed by cooperatives in Regions 9 and 13 covering rubber, coconut, abaca, coffee, cacao, rice and secondary crops, for financing by the International Fund for Agricultural Development (IFAD) under the ConVERGE Project.

**Year:** November - December 2016

**Project:** Implementation Support Mission for the Convergence on Value Chain for Growth and Equity (ConVERGE) Project

**Client:** International Fund for Agricultural Development (IFAD)

**Position Held:** Team Leader

**Roles/Activities Performed:**

- Led a team of consultants for the review of the project and formulation of recommendations for enhancing project implementation performance.

**Year:** May 2015 - January 2016

**Client:** SEARCA

**Position Held:** Team Leader

**Roles/Activities Performed:**

- Led a multi-disciplinary team of 39 experts for the formulation of the national program on Climate Change Adaptation and Mitigation in Agriculture (AMIA). The program involved the reformulation of agricultural policies, regulatory regime, plans, programs and budget and the overall operation of the Department of Agriculture for resiliency and risk reduction related to climate change.

**Year:** September 2014 to May 2015 and  
September 2015 to May 2016

**Client:** Millennium Challenge Account-  
Philippines

**Position Held:** Program Closure Plan  
Consultant and Compact Completion Report  
Consultant

**Roles/Activities Performed:**

- The task involved the formulation of Program Closure Plan for the \$434 million MCA-P projects, compliant with the requirements of the Millennium Challenge Corporation of the US Government and the laws of the Philippines. The latter assignment is for the evaluation of the program and the execution of the Program Closure Plan

**Year:** February - April 2012 and February - April 2013

**Project:** Small Scale Infrastructure Development Project (SPL 6), Vietnam

**Client:** Nippon Koei Int'l and Thai Engineering  
Consultants

**Position Held:** M&E Specialist (Rural  
Electrification, Water Supply and Agricultural  
Development)

**Roles/Activities Performed:**

- The task involved the review and improvement of M&E and field investigation systems for SPL 6, a pro-poor small infrastructure-focused rural development project in 34 provinces of Vietnam funded by JICA.

**Year:** October 2011 - February 2012

**Project:** Second Land Administration and Management Project (LAMP 2)

**Client:** AusAID and World Bank

**Position Held:** Institutional Development  
Specialist

**Roles/Activities Performed:**

- The task involved the institutional assessment of the Assessor's Offices and BLGF and the formulation of an institutional reform framework for the eventual passage of the Property Valuation Reform Act as part of Land Administration and Management governance.

**Year:** May - August 2011

**Client:** Southeast Asia Center for Graduate  
Studies and Research in Agriculture  
(SEARCA) and Food and Agriculture  
Organization (FAO)

**Position Held:** Country Case Writer

**Roles/Activities Performed:**

- The task involved the conduct of research and documentation on small and medium enterprises and the assessment of services by government agencies to them; and the formulation of a road map for improved service delivery to micro, small and medium scale enterprise development.

**Year:** February - June 2011 (Intermittent)

**Client:** PAIBARE and Philippine Center for Civic Education

**Position Held:** Senior Resource Person on Management, Governance, Agricultural Development, Policy Development, Communication and Advocacy

**Roles/Activities Performed:**

- Designed and conducted training programs on management, governance, agricultural development, policy development, communication and advocacy for Filipino and Bhutanese trainees.

**Year:** October 2010 - January 2011

**Project:** Sustainable Health Project (SHIELD)

**Client:** USAID

**Position Held:** Project Management Adviser

**Roles/Activities Performed:**

- The task involved the review of project management and implementation and the provision of recommendations for enhancing SHIELD operations; and assistance in formulating a proposal for the extension of SHIELD project for another year.

**Year:** May 2005 – June 2010

**Project:** Second Land Administration and Management Project  
(LAMP 2)

**Client:** Land Equity International for World Bank and AusAID

**Position Held:** Project Management and Institutional and Organizational Development Specialist for Property Valuation and Taxation Reforms as part of LAM governance

**Roles/Activities Performed:**

- Provided project management support for the implementation and institutionalization of property valuation and taxation reforms in the Philippines through the Department of Finance.
- Formulated a long term change management plan



- Reviewed legislations (including recommendations and enhancement of proposed legislative reforms on property valuation and taxation)
- Created property valuation office to undertake the reforms (including its operating systems, information and communication plan, etc.)
- Conducted internal and external advocacies for the reforms
- Identified risks and mitigation measures as a result of the proposed reforms
- Conducted capacity building for the staff and the assessors and treasurers in local government units and introduction of courses on property valuation and taxation in a national university.
- Formulated a framework for reforms compliance monitoring for the organization established to spearhead the reform processes.

**Year:** November 2007 - December 2008

**Project:** Review and Master Plan Preparation for the Comprehensive Agrarian Reform Program (CARP) Extension

**Client:** SEARCA

**Position Held:** Team Leader and Institutional and Organizational Development Specialist

**Roles/Activities Performed:**

- Supervision of a multi-disciplinary team (14 consultants) undertaking the review of CARP and formulating a Master Plan for Philippine Rural Development and CARP.
- Socio-economic and technical profiling of various crop types in lands covered by agrarian reform was done to formulate options for diversification and land management.
- Also acted as Institutional Development Specialist for the study. The study focused on governance of CARP covering review of policies; implementation, institutional, organizational and financial aspects and cross cutting issues (social and environmental safeguards, planning and M&E system).
- A master plan for CARP extension was formulated following the review.

**Year:** November 2009 - January 2010

**Client:** Danish Agricultural Advisory Services

**Position Held:** Institutional and Management Specialist

**Roles/Activities Performed:**

- Evaluation of the management and institutional arrangements of the EU-funded Support to ARCs (cooperatives) in Central Mindanao (STARCM) Project.

**Year:** November 2007

**Project:** Rural Livelihood Improvement Project (RLIP), Supervision Mission

**Client:** UNOPS

**Position Held:** Agricultural and Small and Medium Enterprise Specialist

**Roles/Activities Performed:**

- The task involved the review of the economic development, natural resources management and small and medium enterprise development components of RLIP, a project funded by IFAD in two provinces of Lao PDR. Value chain analysis in Lao context was used in analyzing agri-enterprise situation and in formulation of recommendations. Land use options for the beneficiaries were defined to maximize production and profit. Following the review, recommendations were formulated.

**Year:** July 2007 - May 2009 (Intermittent)

**Project:** Results Monitoring and Evaluation System for the Philippine Agriculture Sector, Department of Agriculture

**Client:** World Bank

**Position Held:** M&E Specialist and Team Leader

**Roles/Activities Performed:**

- The responsibility covered the supervision of consultants and staff of the Department of Agriculture in the review of existing M&E system, formulation of a multi-level computer-based Results Monitoring and Evaluation System for various commodity programs of the Department of Agriculture. The system which involved the participation of civil societies in agricultural development was pilot tested in four regions.

**Year:** June 2007

**Project:** Oudomxai Community Initiative Support Project (OCISP), Supervision Mission, Lao PDR

**Client:** UNOPS

**Position Held:** Agriculture Specialist

**Roles/Activities Performed:**

- Review of the agriculture and natural resources management component of the OCISP in Oudomxai Province of Lao PDR, one of the poorest provinces in the country the beneficiary of which are largely indigenous peoples (IP).
- Formulated recommendations to enhance the performance of the agriculture and small enterprises components using the value chain analyses tools.

**Year:** September - October 2006

**Project:** Review Mission for the Rural Livelihoods Improvement Project, Lao PDR

**Client:** UNOPS- IFAD

**Position Held:** Rural and Agricultural  
Development Specialist

**Roles/Activities Performed:**

- Reviewed the institutional, operating policies and implementation arrangements including project management of the project against the background of prevailing and foreseeable agricultural and rural enterprise development regime in Laos using the value chain method.
- Formulated recommendations for institutional reforms and agricultural and agribusiness development re-direction.

**Year:** May - June 2006

**Client:** Child Fund Indonesia

**Position Held:** Training Specialist on Project Development and Evaluation

**Roles/Activities Performed:**

- Formulated training design and conducted training and evaluation together with an Associate Trainer, on Project Development, Management, Implementation and Evaluation for CFI staff.

**Year:** March - June 2006 (Intermittent)

**Project:** Formulation of the National Program in Support of Agrarian Reform

**Client:** World Bank; Department of Agrarian Reform

**Position Held:** Team Leader and Institutional Development Specialist

**Roles/Activities Performed:**

- The task involved the management of a team of 11 consultants to review national policies on agrarian reform, formulate a national program on agrarian reform and institutional and organizational development scheme in the context of the government rationalization plan. The program called for the integration of civil societies (ARC cooperatives) in DAR's development activities on agriculture, land advocacy, and other basic social services.

**Year:** January - February 2006

**Project:** Evaluation of Macalelon Community Based Water and Sanitation Project

**Client:** Christian Children's Fund

**Position Held:** Team Leader and Management Specialist

**Roles/Activities Performed:**

- Led a multi-disciplinary team to evaluate a civil society –initiated project and acted as Management Specialist for the team.

**Year:** August 2003 - December 2005

**Project:** Second Eastern Zone Agricultural Program, Kingdom of Bhutan

**Client:** IFAD and SNV

**Position Held:** Planning, Monitoring and Evaluation and Project Management Adviser

**Roles/Activities Performed:**

- The task involved the development and installation of a functional planning and M&E system for SEZAP using the national M&E system as the framework. It also involved provision of project management advisory services and capacity building for program stakeholders from village to national level and assistance to the Ministry of Agriculture in refining the national M&E system. Also participated in various management tasks assigned by the PFO.

**Year:** August 2003

**Project:** Appraisal of Land Administration and Management Project II

**Client:** AUSAID

**Position Held:** Institutional Development Specialist

**Roles/Activities Performed:**

- The task involved the review of institutional and organizational capacity building aspects of the project from the grassroots level up to the national agencies concerned with land titling and formulation of recommendations. The project is in the context of decentralization and local government code.

**Year:** July 2003

**Project:** Supervision Mission for the Second Eastern Zone Agricultural Programme, Bhutan

**Client:** UNOPS

**Position Held:** Rural Development Specialist

**Roles/Activities Performed:**

- Reviewed the technical components of the programme including its M&E system and formulated recommendations for enhancing overall programme performance.

**Year:** March - July 2003

**Project:** Study on Agrarian Conflict Management System in the Philippines

**Client:** GTZ, Department of Agrarian Reform

**Position Held:** Team Leader

**Roles/Activities Performed:**

- Led a multi-disciplinary team in evaluating the institutions, systems and procedures, laws and performances related to agrarian conflict management including the judicial system, monitoring and evaluation of agrarian cases and their settlement and the participation of civil societies in agrarian conflict resolution. The study recommended reforms in all aspects of agrarian conflicts management.

**Year:** January - March 2003

**Project:** Review of Support Services Under the Comprehensive Agrarian Reform Program with Special Focus on ARCs (Cooperatives) in Marginal Areas

**Client:** JICA

**Position Held:** Team Leader

**Roles/Activities Performed:**

- Led a multi-disciplinary team in reviewing the infrastructure, agricultural, agribusiness and institutional development interventions covered by DAR's ARC projects. The study focused on policies related to these components, institutional arrangements, investments, and effects and impacts on households and local economies and the monitoring and evaluation system for support services.

**Year:** December 2002 - January 2003

**Project:** Review of Local Government Units (LGUs) Technical and Financial Capacities in Solid Waste Management

**Client:** Hazama, Inc

**Position Held:** Team Leader

**Roles/Activities Performed:**

- Led a multi-disciplinary team in assessing the capabilities of LGUs based on the requirements of the Solid Waste Management Act in preparation for the conduct of feasibility studies for a nation-wide solid waste management program. The study determined the approximate project size for all levels of LGUs and options for financing the investments required by the law. The important role of civil societies in waste management was also emphasized.

**Year:** September - November 2002

**Project:** Farm to Market/Barangay Roads Sector Study

**Client:** NETC, Department of Agriculture

**Position Held:** Team Leader

**Roles/Activities Performed:**

- Responsible in directing a multi-sectoral team of specialists in the conduct of the Study. The study reviewed the institutional and policy arrangements relating to farm to market roads and assessed the economic and social impact of rural roads to rural households and local economies in the context of the Local Government Code. Further the study recommended measures for policy reforms, institutional reforms and rationalization of investments in them and M&E system for rural roads.

**Year:** April - May 2002

**Project:** Northern Mindanao Community Initiative and Resource Management Project (NMCIRMP)

**Client:** International Fund for Agricultural Development (IFAD)

**Position Held:** Team Leader

**Roles/Activities Performed:**

- Led a team of consultants in preparing Project Implementation Manuals for the Project. The manuals translated the project design into operational procedures which the PMO, beneficiaries and other stakeholders would use during implementation. The manuals cover finance and administration, agriculture and fisheries including agribusiness, social services, infrastructure and M&E.

**Year:** February - March 2002

**Project:** Review of Policy Institutions' Capacity

**Client:** Australian Agency for International Development (AusAID)

**Position Held:** Policy and Institutions Specialist

**Roles/Activities Performed:**

- Conducted a diagnosis of institutional capacities of government institutions (Local Government Units, national government agencies, and legislative bodies) with regard to formulation and synchronization of policies related to poverty reduction and income improvement. The policy review focused on agriculture and rural aspects as they relate to poverty. These are agricultural extension, rural finance and rural infrastructure.

**Year:** November - December 2001

**Project:** Western Mindanao Community Initiative Project

**Client:** United Nations Office for Project Services (UNOPS)

**Position Held:** Management Specialist

**Roles/Activities Performed:**

- The task covered the review of institutional, management and operational aspects of the project and the formulation of effectiveness and efficiency measures related to them.

**Year:** October 2001 – March 2002

**Project:** Rural Incomes Diversification Project

**Client:** Department of Agriculture

**Position Held:** Team Leader and  
Management Specialist

**Roles/Activities Performed:**

- Led a multidisciplinary team in formulating a rural income diversification program. The project sought measures to improve rural incomes in selected provinces (6) through production intensification, agribusiness activities and other measures of diversification including processing of agriculture and fishery products; introduction of support infrastructure; post-harvest facilities, etc.
- Formulated socio-economic and technical profiles of major crops and livestock to develop options for improving productivity and income in consideration of cross cutting issues such as gender, environment and others.
- Formulated the framework for the project's M&E system.

**Year:** July - August 2001

**Project:** Northern Mindanao CIRMP

**Client:** IFAD

**Position Held:** Team Leader

**Roles/Activities Performed:**

- Led a multidisciplinary team in appraising the Project and preparing the revised Project design document. The project, although focused on ARC cooperatives, provided special provisions for the Indigenous Peoples of Agusan and Surigao areas.

**Year:** June 2001 - March 2003 (Intermittent)

**Project:** Secretary's Technical Assistance Group (STAG)

**Client:** Department of Agriculture

**Position Held:** Agricultural Governance  
Specialist (pro bono)

**Roles/Activities Performed:**

- Provided technical advice to the Secretary on various matters related to agricultural development governance.
- Conducted short term studies related to agricultural governance in the context of decentralized government.

**Year:** February - May 2001

**Project:** Improving Governance of the Agricultural Bureaucracy (IGAB)



**Client:** Southeast Asian Regional Center for Graduate Study and Research in Agriculture (SEARCA)

**Position Held:** Team Leader/Local Governance Specialist

**Roles/Activities Performed:**

- Managed a multidisciplinary team of consultants which reviewed the country's agricultural bureaucracy with the end view of effecting reengineering/change management of the bureaucracy in view of the decentralization process. Key outputs were analyses of the functions of the major instrumentalities of the DA and the Local Government Units, recommendations on improving DA's key functions and systems, and a change management plan (CMP) to implement the recommendations. The change management Plan included new systems in the exercise of the Department's mandates, capacity building requirements, communication plan and identified risks and mitigation measures related to the reforms included in the Change Management Plan.

**Year:** January 2001

**Project:** Supervision Mission of Matale Rural Economic Advancement Program (REAP)

**Client:** IFAD

**Position Held:** Management Specialist

**Roles/Activities Performed:**

- Upgraded the Project management system and the institutional arrangements and enhanced a mechanism for alliance building among various stakeholders for the Project, which involved the introduction of various entrepreneurial (largely through agricultural productivity improvement and agribusiness) and employment options for three provinces in Sri Lanka. The task involved formulation of recommendations for rural enterprises and linkage of rural communities with finance, support and related institutions such as Chamber of Commerce, Hotels and resorts Associations and other business groups.

**Year:** September 2000 – January 2001

**Project:** Rural Infrastructure Support Project (INFRES)

**Client:** Asian Development Bank (ADB)

**Position Held:** Project Management Systems Specialist

**Roles/Activities Performed:**

- Prepared operations manual and drafted global and annual work plans and budget for the Project. The manuals covered finance and administration, rural infrastructure, agricultural development, poverty alleviation measures (a grant component) and monitoring and evaluation.

**Year:** August - September 2000

**Project:** Supervision Mission of IFAD-funded Western Mindanao Community Initiative Project

**Client:** UNOPS

**Position Held:** Project Management Specialist

**Roles/Activities Performed:**

- Reviewed Project operations and formulated recommendations for all aspects of Project management.

**Year:** July - August 2000

**Project:** Northern Mindanao Project Reformulation

**Client:** IFAD

**Position Held:** Institutional Development Specialist

**Roles/Activities Performed:**

- Formulated the implementation arrangements for all components of the Project.

**Year:** April - June 2000

**Project:** AGILE Project

**Client:** USAID; Department of Agriculture

**Position Held:** Team Leader/Institutional Development Specialist

**Roles/Activities Performed:**

- Prepared the institutional and implementation framework for sanitary and phytosanitary agreements with the World Trade Organization (WTO).

**Year:** February - March 2000

**Project:** Reorganization of DA's Regional Field Units

**Client:** Canadian International Development Agency (CIDA)

**Position Held:** Agricultural Governance Specialist

**Roles/Activities Performed:**

- The task involved the review of effectiveness and efficiency of DA Regional Field Units in relation to their clientele and the formulation of a change management plan covering a framework for the reorganization of DA's regional offices, operating systems, capacity building requirements, advocacy and communication plan and risks management. The recommendations covered rationalization of RFU mandates, measures for streamlining RFU structure, reorganization of

local government agricultural offices and introduction of systems and procedures for improved service delivery.

**Year:** January - February 2000

**Project:** Midterm Review of the Central Cordillera Agricultural Program

**Client:** European Union (EU)

**Position Held:** Rural Finance Institutions  
Specialist

**Roles/Activities Performed:**

- Conducted a performance review of the Rural Finance component of the Project, particularly the adequacy of various financial institutions involved in the Project.

**Year:** November - December 1999

**Project:** Agricultural Trade Remedies

**Client:** WTO/USAID-AGILE

**Position Held:** Institutional Development  
Specialist

**Roles/Activities Performed:**

- Formulated institutional and operational framework for the implementation of laws on trade remedies, in compliance with WTO agreements.

**Year:** September - November 1999

**Project:** Sanitary and Phytosanitary Measures

**Client:** AGILE- USAID, DA

**Position Held:** Team Leader

**Roles/Activities Performed:**

- Prepared the institutional framework for the implementation of sanitary and phytosanitary agreements with WTO.

**Year:** July 1999

**Project:** Midterm Review Mission of Rural Infrastructure Development Project

**Client:** ADB

**Position Held:** Staff Consultant/Management  
Specialist

**Roles/Activities Performed:**

- Conducted an overall review of project performance including the M&E system and formulated recommendations to enhance Project implementation.

**Year:** March 1999 – October 1999

(Intermittent)

**Project:** Project Preparation of the Mindanao Rural Development Program

**Client:** World Bank

**Position Held:** Team Leader

**Roles/Activities Performed:**

- Supervised a multi-disciplinary team in the preparation of a 12-year program and a Phase I project focusing on infrastructure within the context of the *Local Government Code, Agriculture and Fisheries Modernization Act (AFMA)*, and participatory development principles. The M&E system for the project was also formulated. The program highlighted and specified the roles of community organizations.

**Year:** July 1997 – February 1999

**Project:** Advisory Technical Assistance for Capacity Building in Agricultural Policy and Planning, Monitoring and Evaluation

**Client:** ADB

**Position Held:** Institutional Development and  
Agricultural Projects Specialist

**Roles/Activities Performed:**

- Worked on institutional reforms following the passage of AFMA. Formulated an institutional master plan for the reorganization of DA's planning units, planning and M&E systems and procedures, and improving DA's capacity in project planning. The advisory TA was implemented to reflect reforms under the Local Government Code which decentralized DA operations as well as the Agriculture and Fisheries Modernization Act in the DA and local government units system.

**Year:** April - July 1997

**Project:** Agrarian Reform Communities (ARCs) Project (ARCP)

**Client:** ADB

**Position Held:** Team Leader/Institutional  
Development Specialist

**Roles/Activities Performed:**

- Managed a team which formulated the feasibility study for a project involving Local Government Units and ARCs (Cooperatives). The project covered infrastructure, agricultural development, agribusiness and cooperative development, capacity building measures and the formulation of M&E system.

**Year:** May 1995 – December 1996  
(Intermittent)

**Client:** World Bank

**Position Held:** Project Management  
Consultant

**Roles/Activities Performed:**

- Provided consulting services on project management, institutional arrangement, financing mechanism, and monitoring and evaluation for the Agrarian Reform Communities (Cooperatives) Development Project. Prepared the Operations Manual for the Project over an eight-month preparation and appraisal period.

**Year:** July - October 1996

**Client:** UNDP

**Position Held:** Asset Reform Consultant

**Roles/Activities Performed:**

- Prepared the Programme Support Document (PSD) and Programme Support Implementation Arrangement (PSIA) for the "*Support to Asset Reform through Agrarian Reform and Development of Indigenous Communities.*"

**Year:** November 1995 – June 1996

**Project:** Agrarian Reform Support Project (ARSP)

**Client:** EU and DAR

**Position Held:** National Co-Director

**Roles/Activities Performed:**

- Managed the Project which covered infrastructure development, institutional development of Local Government Units and ARCs (Cooperatives), and livelihood creation for beneficiaries.

**Year:** January 1993 - October 1995

**Client:** Department of Agrarian Reform (DAR)

**Position Held:** Adviser, Office of the  
Secretary

**Roles/Activities Performed:**

- Strengthened DAR's capability in project development and international resource mobilization. Participated in the formulation of EU-funded Agrarian Reform Support Project and two Belgian government-funded Agrarian Reform Communities Projects.

**Year:** June-July 1992

**Client:** FAO Investment Center

**Position Held:** National Consultant

**Roles and Activities Performed:**

- Formulated the institutional framework/arrangements for the Agricultural Research, Training and Extension Project proposed for World Bank financing.

**Year:** February 1990 - December 1991

**Client:** Pioneer Development Foundation for Asia and the Pacific, Iowa, USA and Manila

**Position Held:** President and Executive Director

**Roles/Activities Performed:**

- As CEO of this regional organization (under the Pioneer Hybrid Int'l) operating in 12 countries in Asia, was mandated to organize the office as a channel for agricultural development assistance to farmer groups in 12 Asian countries. Set up the administrative, financial, and management systems, as well as its medium-term development plan. Set up a network of international donors, NGOs, as well as recipients and established systems for evaluation, financing, and management of various projects.

**Year:** May 1987 - January 1990

**Client:** Department of Agriculture

**Position Held:** Assistant Secretary for International Agricultural Development Cooperation

**Roles/Activities Performed:**

- As Assistant Secretary, was the key executive officer of the Department for formulating projects for international donor financing (project/program planning, resource mobilization, loan and grant negotiation and others); supervision of agricultural attaches and management of international relations with UN bodies, ASEAN and others. Established the International Agricultural Development Cooperation Coordinating Office in August 1987 and generated over \$2.0 Billion of loans and grants in two year period.

**Year:** May 1982 - April 1987

**Client:** ASEAN Food Handling Bureau (AFHB)

**Position Held:** Program Manager

**Roles/Activities Performed:**

- Provided general management and supervision of the AFHB's Grains and Fish Handling Projects in Brunei, Indonesia, Malaysia, Philippines, Singapore, and Thailand.
- Apart from the management of post-harvest projects, also conducted short-term studies and international conferences related to post-harvest handling, recruited consultants for various projects, undertook procurement, prepared project proposals, evaluated projects and provided training for project staff .
- Provided consultants and managed contracts for the construction of various post-harvest infrastructure projects in the region.
- Was involved in managing contracts for various projects, including consulting services, conduct of specific studies, procurement of equipment and vehicles, and construction of buildings and facilities.

**Year:** 1978 – 1982

**Client:** Ministry of Agriculture, Philippines

**Position Held:** Chief, Agricultural Project Preparation Unit (APPU), Office of the Minister

**Roles/Activities Performed:**

- Established the APPU, which was designed to improve the Ministry's capability in project development and analysis for international financing. Worked with the WB, Food and Agriculture Organization (FAO), ADB, USAID, Japan International Cooperation Agency (JICA), Overseas Economic Cooperation Fund (OECF), and other international organizations in the supervision of project development works.
- Set up the office operating systems, including the systems for prioritization evaluation and monitoring of projects with foreign assistance.
- Held the following concurrent positions: Consultant for Project Planning and Evaluation, Philippine Cotton Corporation; Management Consultant, Planters Foundation Inc.; and Project Manager for the Ministry of Agriculture Management Information Systems Development which aimed to provide the Ministry management with systematic monitoring and evaluation system for its operation.

**Year:** 1976 -1978

**Client:** Economic Development Foundation

**Position Held:** Associate Consultant

**Roles/Activities Performed:**

- Acted as Senior Resource Person on rural and agricultural development; Area Manager for Management Development Services; Chief Evaluation Officer for Rural Development Projects; and Training Design Specialist for rural development projects.
- Was Project Manager for: Corporate Farm Management Training Program, Rural Development Trainers Training Program, and Government Project Management Training.
- Prepared feasibility studies for various agro-industrial projects.

**Year:** 1972 – 1976

**Client:** University of the Philippines at Los Baños (UPLB)

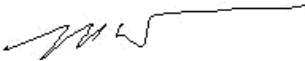
**Position Held:** Research Associate (From Research Assistant)

**Roles/Activities Performed:**

- Designed and conducted socio-economic research on cooperatives and agricultural credit; prepared integrated rural and agricultural development project; conducted feasibility studies and planned various pilot rural development projects; and took charge of the general supervision of the research and training teams for the above projects.

**Certification:**

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe me, my qualifications, and my experience.



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**JOHNSON P. MERCADER**

Date: Feb 14, 2019  
*Day/Month/Year*