IMPLEMENTATION OF SUSTAINABLE LAND MANAGEMENT (SLM) PRACTICES TO ADDRESS LAND DEGRADATION AND MITIGATE THE EFFECTS OF DROUGHT

TERMINAL EVALUATION REPORT

Dec 22, 2019

EXECUTIVE SUMMARY

In accordance with the UNDP and GEF M& E policies, a Terminal Evaluation (TE) was conducted for the project entitled **Implementation of Sustainable Land Management (SLM) Practices to Address Land Degradation and Mitigate the Effects of Drought (Pims # 5365).** The project aims to strengthen the SLM framework to address land degradation process and mitigate the effects of drought in the Philippines. Seven Outputs were planned to achieve two outcomes namely: a) Effective national enabling environment to promote integrated landscape management; and) Long-term capacities and incentives in place for local communities and LGUs to uptake of SLM practices in two targeted municipalities in the Philippines.

The Project focuses principally at the systemic and institutional levels, and hence strengthens the enabling regulatory and institutional framework that would govern efforts to address land degradation in the Philippines. Project investment includes the promotion of SLM measures and technologies for adoption by vulnerable farming communities. The LGU will be the key platform for planning and extension, guided by an SLM-friendly land use plan and program as well as policy-based technical guidance from national agencies.

The TE assessed the achievements of project results; identify lessons that both improve the sustainability of benefits from the Project and aid in the overall enhancement of UNDP key programming. The central criteria included Relevance, Effectiveness, Efficiency, Sustainability and Results particularly Impact, otherwise known as REESI. In addition to REESI, other criteria were given special attention as well. These included: a) M& E and b) Execution by the Implementation Agency (IA). The TE is an independent, evidence-based exercise, employing both quantitative and qualitative methods. Respondents to the evaluation questions included project holders; co-implementers; consultants; partner agencies; non-government partners; training participants; local political leaders; LGU technical personnel; and farmer representatives including women and IPs.

Overall, the Project as designed is highly relevant to national, local and international needs. The stated objective and two outcomes are logical responses to two barriers identified (absence of enabling frameworks and lack of capacity and demonstrated experience). Key design gaps include inadequate guidance on how to operationalize the “cross sectoral” feature of the desired enabling framework. It also projected a very high farmer adoption target but did not prescribe result areas that would sufficiently “bridge” the adoption of SLM-friendly CLUP and actual farmers’ decision making. There is no result area on knowledge management which could have helped enhance competency development (a key result area) especially that so many changes are expected over a short three-year period.

Given limitations in project timeframe and in project *efficiency,* major outcome indicators were still substantially achieved (reflected in *effectiveness*). The project was able to catalyze the needed “***information sets, enabling rules, tools, champions and models”*** that can help initiate the “engineering of a paradigm change” as envisioned by the long-term solution of the project (PRODOC, page 16). A very key policy related gain is the information articulation (supported by field evidence) of the true nature of land degradation (LD) in the humid tropics. This is now being reviewed and discussed in detail by the new leadership of the DA as it strengthens the agency’s climate change adaption program that emphasizes on soil health. Another equally important gain is the set of *rules and associated tools* for integrating SLM in the CLUP which has been technically reviewed and is ready for official adoption by the HLURB Board. A key forestry sector decision was also reached to adopt SLM principles and practices in the Forest Land Use planning process espoused by the DENR.

Innovative on farm technology recommendations were demonstrated addressing humid tropical LD that emphasizes farmer adaptation rather than simple adoption of SLM. Important SLM *modeling* work was started in two LGUs. A higher form of outcome was achieved in terms of the move of Malaybalay City to include SLM in the local AFMP and launch an upscaling program, and the proactive move of the municipality of Abuyog to include the SLM in its CDP.

On the other hand, there are equally important result areas that are still a work in progress. The first is the formal incorporation of SLM in the updating of the Agriculture Fishery Modernization Plan (AFMP) which could lay the groundwork for incremental for financing SLM. The second is about the information system to support local government decision support system that facilitates CLUP preparation with SLM factored in it. This is important for the scaling work for other LGUs. The third is the inadequate work to develop the agricultural extension approach that would serve as a delivery mechanism for on farm technical solutions.

One of the key barriers to SLM is the "inadequate demonstrated experience in landscape management approaches (PRODOC page 18) and the long-term solution envisioned by the Project (baseline program to engineer a paradigm shift (PRODOC page 18)." While new "rules and tools" cited above would increasingly guide decision making at the national and local level, local decision makers will need to see convincing evidence that the idea of localized SLM is a worthwhile investment.

It is thus recommended that the Project stakeholders consider consolidating the piloting work in the two LGUs at least in the next two years as a key investment to promote a paradigm shift, along with the promulgation of enabling policies. At the same time, there is a need to complete the establishment of operating systems for technical support, particularly at the BSWM to help LGUs nationwide with SLM mainstreaming. The following are recommended:

1. **Consolidate the Models for Best Practice.** BSWM and other agency partners to consolidate the support the piloting actions started in the LGU pilots in the next two-year period. This would consist of activities that would help trained LGU staff to better apply SLM learnings in relevant LGU processes that will establish the foundations for SLM. At the same time, this will help in making the two pilot LGUs become more convincing Philippine models on mainstreaming of SLM in local governance. Among the items for discussion and agreement would be:

    - **Recap of expert recommendations**. These would particularly include findings on the inherent soil related issues and expert recommendations that were shared spontaneously and intermittently by the SLM specialist earlier. Facilitate reflection and internalization of issues and solution pathways. These recommendations would be directed at the CLUP, CDP or special programs that the LGU is contemplating such as the Malaybalay SLM upscaling program. The existing supportive role of the Province also needs to be sustained. A one day on site meeting with the PLGU and city/municipal LGU in each province would be helpful to start the post project collaboration
    - **Complete the ILMF, NPAAD, SAFDZ, and CLUP processes.** Based on the above consultations, clarify and address the residual mapping and other technical needs of the LGUs concerned to complete the ILMF. Under the recently launched updating program, prioritize the upgrading of the NPAAD and SAFDZ in these two LGUs. Where the opportunity exists, utilize the process to also identify and understand he role of other drivers that were not adequately addressed during the project and determine recommended actions. These include the role of plantation agriculture and the strategies

to be studied further to address them. The role of cross sectoral drivers such as incentives for applying massive corn production in hilly areas may also be studied

- **PLGU role** The recommendations will also discuss on how to more effectively tap important PLGU programs that currently support the city/municipal initiatives and agriculture.
- **Role of the private sector in the ILMF.** As additional part of the ILM, consider the formulation of recommendations to factor the role of agro-industrial plantations. The recommendations may include the identification of decision frameworks that can be used so that plantation operations are biodiversity and soil conservation friendly among others.
- **Identify/launch the interim extension approach**. Identify and agree on an interim extension design that will help the LGU MAO disseminate the results of the demonstration trials among farmers pending the development of the formal FFS module by ATI. This can build on the farmer to farmer approach started in the pilot sites.
- **Documentation of key local governance process flow incorporating SLM.** On the 2nd year, the BSWM, DA-SPCMAD, HLURB the DILG and PLGU to collaborate with the City and Municipal LGUs concerned to document the decision making, planning and action stage of the LGU in partnership with line agencies, and the actual early outcome and lessons learned. This can be used by the HLURB, DILG and PLGLU in their training programs for LGUs.

2. **Maximize Project Learnings to Strengthen BSWM's Capacity to Support Outscaling and Upscaling of innovations**. Consolidate initial discussions within and among key BSWM program offices/divisions to systematically incorporate innovative analytical and planning tools that have been piloted under the SLM project into the Bureau's regular operating procedures such as:
   - Land degradation assessment and monitoring and utilization with participatory process as backbone.
   - Technical support for ILMF planning process and interphase with NPAAD and SAFDZ.
   - Information system as decision support for LGU decision making nationwide.

3. **Assemble and Utilize Curated Knowledge Products for the Information Needs for Upscaling and Out scaling.** Using available project resources, conduct an IEC workshop(s) or bilateral workshops among the key planners to identify, and develop SLM knowledge products that would be needed to support the integration of SLM concept and learnings into the targeted agency programs (through their organic training programs). These targeted programs and activities would include the following:
   - DA-SLM integration points for overall AFMP preparation and rice and corn programs.
   - BSWM (land degradation assessment, agricultural land use and soil conservation extension).
   - FMB (integrating SLM in FLUP and CBFM).
   - DAR (support services for ARBs).
   - HLURB (integrating SLM in training module for land use planning protocol).

The powerful new information on the nature of LD in the humid tropics and the participatory process of measuring LD is currently discussed in the new DA administration. The dialogue can be enhanced and sustained further with the help of a policy brief that articulates the key points from project learnings.

4. **Accelerate the Preparation of SLM in FLUP and Initiate the same for the CBFM Program.** To take advantage of the momentum started at FMB, the BSWM and FMB will need to

collaborate to conduct an orientation program for the DENR personnel responsible for promoting the FLUP and CBFM processes. These would include FMB-based personnel and FLUP personnel in DENR regional offices where the pilot LGUs are located (regions VIII and X). Entry points for the mainstreaming would be identified by FMB. The BSWM would be in the best position to share the cumulative information and lessons learned from both previous and current projects (SLM, SCoPSA).

The ratings are provided separately reflecting the analysis of findings and following the criteria and related guidance of UNDP implemented GEF assisted projects (summarized in the Annex). In addition, the review was guided by the thorough review of the substantive intentions of the PRODOC as reflected in the PRODOC write up that became the basis for the Log frame. /Results Matrix. The evolution of ratings under the PIR until 2018 and the progress of work in the first two quarters of 2019 were also considered.

Evaluation Rating	
1. Monitoring and Evaluation:	**Rating**
MLMS rMS M&E design at entry	MS
M&E Plan implementation	MS
Overall quality of M&E	MS
2. IA& EA Execution	
Implementing Agency execution (UNDP	S
Executing Agency execution (DA BSWM)	MS
Overall quality of project implementation / execution	MS
3. Assessment of Outcomes:	
Relevance	R
Effectiveness	S
Efficiency	MS
Overall quality of project outcomes	MS
4. Sustainability:	
Financial resources	L
Socio-economic	ML
Institutional framework and governance	ML
Environmental	L
Overall likelihood for Sustainability	L
5. Impact:	
Environmental status improvement	M
Environmental stress reduction	M
Progress towards stress/status change	S
OVERALL PROJECT RESULTS	S

Legend(see Annex for index):

M: Minimal (at point of time)
MS: Moderately satisfactory
ML: Moderately likely
L: Likely
S: Significant
R: Relevant

ACRONYMS AND ABBREVIATIONS

A&D	Alienable and Disposable
ACPC	Agricultural Credit and Policy Council
AFMA	Agriculture and Fisheries Modernization Act
AFMP	Agriculture and Fisheries Modernization Plan
AFT	Agriculture and Fisheries Technician
AIP	Annual Investment Program
ALMED	Agricultural Land Management and Evaluation Division
ARA	Agricultural Resource Accounting
ASEAN	Association of Southeast Asia Nations
ATI	Agricultural Training Institute
BAI	Bureau of Animal Industry
BD	Biodiversity
BENRO	Bukidnon Environment and Natural Resources Office
BPI	Bureau of Plant Industry
BPP	Biodiversity Partnership Project
BSWM	Bureau of Soils and Water Management
CAO	City Agriculture Office
CBFM	Community Based Forest Management
CCA	Climate Change Adaptation
CCC	Climate Change Commission
CCRMB	Committee on Conservation and Management of Recourse for Development
CDP	Comprehensive Development Plan
CLDI	Composite Land Degradation Index
CLUP	Comprehensive Land Use Plan
CMU	Central Mindanao University
CPD	Country Program Document
CRI	Capacity Results Index
DA	Department of Agriculture
DAR	Department of Agrarian Reform
DENR	Department of Environment and Natural Resources
DFAT	Department of Foreign Affairs and Trade
DILG	Department of Interior and Local Government
DLDD	Drought Land Degradation and Desertification
DM	Dry Matter
DRR	Disaster Risk Reduction
DRRMF	Disaster Risk Reduction Management Fund
ENRA-ARA	Environmental Natural Resource Accounting-Agriculture Resource Accounting
ENRO	Environment and Natural Resource Office
FFS	Farmer Field School
FLUP	Forest Land Use Plan
FMB	Forest Management Bureau
GEF	Global Environment Facility
GIAHS	globally Important Agricultural Heritage Sites
GIS	Geographic Information System
GMO	Genetically Modified Organism
HLURB	Housing and Land Use Regulatory Board
IATC	Inter-Agency Committee
IEM	Integrated Ecosystems Management

IKSP	Indigenous Knowledge System and Practices
ILM	Integrated Landscape Management
ILMF	Integrated Land Management Framework
IP	Indigenous People
IPM	Integrated Pest Management
KM	Knowledge Management
LADA	Land Degradation Assessment
LC	Local Coordinator
LCCAP	Local Climate Change Action Plan
LD	Land degradation
LDN	Land Degradation Neutrality
LFW	Logical Framework
LGU	Local Government Unit
LTWG	Local Technical Working Group
MAO	Municipal Agriculture Office
MLGU	Municipal Local Government Unit
MPDC	Municipal Planning and Development Coordinator
NAP-DLDD	National Action Plan on Drought, Land Degradation, and Desertification
NCI	National Convergence Initiative
NEDA	National Economic Development Authority
NPAAD	Network of Protected Areas for Agriculture and Agro-Industrial Development
NPS-ENRMP	National Program Support to Environment and Natural Resource Management Project
OM	Organic Matter
PAO	Provincial Agricultural Office
PCSD	Philippine Council for Sustainable Development
PDPFP	Provincial Development and Physical Framework
PES	Payment for Environmental Services
PhilCAT	Philippine Conservation Approaches and Technologies
PIR	Project Implementation Review
PLEA	Production Loan Easy Access
PLGU	Provincial Local Government Unit
PMO	Project Management Office
PMPCRFD	Philippine Master Plan for Climate Resilient Forest Development
PRA	Participatory Rapid Appraisal
PRODOC	Project Document
PSF	Peoples Survival Fund
RBCO	River Basin Control Office
RCEF	Rice Competitiveness Enhancement Fund
RI	Result Indicator
SPCMAD	Special Project Coordination and Management Assistance Division
SAFDZ	Strategic Agricultural and Fisheries Development Zone
SCoPSA	Sustainable Corn Production in Sloping Areas
SFM	Sustainable Forest Management
SLM	Sustainable Land Management
SLM in CLUP	Mainstreaming SLM in CLUO
UNDP	United Nations Development Program
VSU	Visayas State University
WOCAT	World Overview of Conservation Approaches and Technologies

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1. INTRODUCTION

In accordance with the UNDP and GEF M& E policies, a Terminal Evaluation (TE) was conducted for the project entitled IMPLEMENTATION OF SUSTAINABLE LAND MANAGEMENT (SLM) PRACTICES TO ADDRESS LAND DEGRADATION AND MITIGATE THE EFFECTS OF DROUGHT (PIMS # 5365). The project is referred to as the SLM Project for short.

The project aims to strengthen the SLM framework to address land degradation process and mitigate the effects of drought in the Philippines.

1.1. Purpose and Scope of the Evaluation

The TE TOR called for the assessment of achievements of project results, and to draw lessons that both improve the sustainability of benefits from this project and aid in the overall enhancement of UNDP key programming. The central criteria included Relevance, Effectiveness, Efficiency, Sustainability and Results particularly Impact, otherwise known as REESI. The scope and methods were derived from the GUIDANCE FOR CONDUCTING TERMINAL EVALUATION OF UNDP IMPLEMENTED GEF FUNDED PROJECTS.

In addition to REESI, other criteria were given special attention as well. These included: a) Monitoring and Evaluation; and b) Execution by the Implementation Agency (IA). It also presented sub-topics under Sustainability and Impacts. In addition, the TE tracked the co-financing that was made available.The Project focused on systemic and institutional level (PRODOC page1). Thus, the evaluation methodology focused on analyzing policy and institutional innovations and capturing the outcomes at both institutional and field levels.

The TE studied the nature and extent of project actions as defined by the Results Framework as well as by its consequent workplans. It examined how these actions influence the learning process and strategic decision making at national and local levels, towards SLM.
The TE was guided by a set of Evaluation Questions, revolving around Relevance, Effectiveness, Efficiency, Sustainability and Impact (REESI). It identified the indicators of achievements and the sources of information and methods. Evaluation questions were customized into audience specific questions in order to effectively elicit responses. The evaluation questions are indicated in Annex 6.

The TE is an independent, evidence-based exercise, employing both quantitative and qualitative methods. It was a participatory and consultative process. TE evaluation methods aimed to capture the answers to the evaluation questions and included the following:

- Literature review and content analysis. This included content analysis based on the guidance from project design, evaluation framework and supplemental analytical frameworks.
- Focus Group Discussion (FGD) given time constraints FGDS were used, tapping proven improved discussion methods to capture divergent perspectives among relevant key offices and teams involved in project implementation. . The evaluation questions were customized to different types of audience. These were preceded by a review of pertinent documents.

- Key informant Interviews (KII) among key officials and key stakeholders including representative participants of training sessions.
- Use of GEF prescribed Score Card system in the case of tracking institutional capacity building.
- Where respondents were not available for face to face interaction, online interviews and emailed questionnaires was utilized.

Respondents to the evaluation questions included project holders; co-implementers; consultants; partner agencies; non-government partners; training participants; local political leaders; LGU technical personnel; and farmer representatives including women and IPs(the later in the project site in Malaybalay).The evaluation method ensured coverage of women interviewees at national, LGU and community levels. Questions at community and farm level intended to understand the effect of interventions on women's issues and capacities. The project studied and triangulated different perspectives to determine where views converged or diverged as well as to validate project reports. This covered perspectives between national and local actors (between national agencies LGUs and communities) on common topics as well as between local actors (e.g. between local offices of national agencies, LGU and community). Documents such as reports were validated with observations and views from the ground

There were some limitations in the study. Access to some old records was a challenge due to the high staff turnover. One previous project manager and two previous site managers were inaccessible for interviews. This was overcome by expanding document review to cover associated documents that were available and expanding the range of interviewees who could shed light. In some cases, follow up discussions (calls) with key LGU and community level informants were conducted.

2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

As articulated in the SLM Project document, this Project focuses principally at the systemic and institutional levels, and hence strengthens the enabling regulatory, institutional and financial framework that would govern efforts to address land degradation in the Philippines. It will mainstream Sustainable Land Management (SLM) policies and programs into the developmental plans of LGUs through the guidance of the government agencies such as Department of Agriculture, Department of Environment and Natural Resources, Department of Agrarian Reform, Department of Interior and Local Government, and Housing and Land Use Regulatory Board to strengthen complementation among these government institutions concerned with land degradation and ensure that the incidence and spread of land degradation in vulnerable ecosystems will avoid and/or reduced."

Project investment includes the promotion of "SLM measures and technologies for the adoption of vulnerable farming communities." The LGU will be the key platform for extension, guided by am SLM friendly land use plan and program, as well as policy based, technical guidance from national agencies. Given these, the project aims to strengthen the SLM framework to address land degradation process and mitigate the effects of drought in the Philippines.

The project started in July 2015 and was supposed to end in June 2018. However, it was extended until December 2019. The objective of the Project is to strengthen SLM frameworks to address land degradation processes and mitigate the effects of drought to contribute in enhancing integrated natural resource management in the country. The key outcomes of the proposed SLM project to address the barriers previously identified are the following:

a) Effective national enabling environment to promote integrated landscape management; and,
b) Long-term capacities and incentives in place for local communities and LGUs to uptake of SLM practices in two targeted municipalities in the Philippines.

The main stakeholders are the two pilot LGUs who are expected to establish SLM-friendly land use plans and farming communities in pilot barangays. Key national agencies are DA-BSWM, DENR-FMB, HLURB, DAR and DILG. The baseline indicators and expected results are indicated in the PRODOC pages 57 to 70.

3. FINDINGS

3.1. Project Design / Formulation

3.1.1 Analyses of Results Framework.

Overall, the Theory of Change has provided a reasonable articulation of nature of the problem at hand (including the threats and root causes);the needed long term solutions; structural barriers to application of such solutions and solution pathways that the project should undertake. The planned objective and two outcomes are logical responses to the two barriers identified. As implied by the Theory of Change, the absence of enabling frameworks for mainstreaming SLM could be addressed by simultaneously addressing the gaps at national/sectoral and local policy levels. These could not be addressed effectively at only one level. Specific methods for mainstreaming at the LGU level need to be embedded in a mandated process (CLUP) for the former to be doable and sustainable. But sectoral policy (agri and forestry) need to reinforce this. Piloting SLM in the CLUP process in two LGUs is essential demonstration of the "proof of concept" The combination of national and local level systemic changes support the Theory of how transformative change can be made. The planned objective and two outcomes are logical responses to the two barriers identified by the Theory of Change.
A further commentary on the validity of the theory of change born from implementation experience is made in Section 3.3.3.2 (Theory of Change validation and augmentation).

Following the logic of the Theory of Change and given limited project resources and time, the results framework focused on what was perceived as compelling concern to address such as establishing policies, regulations and capacitating institutions to implement this. In this context, broader development impacts such as income generation, gender equality, livelihood benefits were considered as associated concerns revolving around the policy and structural concerns.

The Project strongly addresses national development priorities including the National Plans for Biodiversity SLM and Climate Change. UNDAF and CPD priorities also are addressed. Specific descriptions on the extent of doing so are indicated under Section 3.3.2 Relevance.

The following is an analysis of the extent to which the hierarchies of targeted results are consistent with the Theory of Change. Their "SMART"ness and feasibility within the project timeframe is also discussed:

- Outcome 1 refers to the need for a cross sectoral feature in the enabling framework but the design did not adequately provide guidance on how this would be reflected in the result areas

particularly at the local action level (e.g. guide the development of best practices that would reflect the result of cross sectoral collaboration at the village level)[1].

- The Project projected a high farmer adoption target but did not clearly prescribe an output that would "bridge" the point of adoption of SLM-friendly CLUP, and the point of actual decision making by a good number of farmers (i.e. 500 farmers) over a 3 year period. The formulation of CDP (an example of a "bridge") is regarded only as an indicator level l expressed in term of a policy/guideline for formulating SLM in CDP. Given this gap, aiming for a relatively large number of adaptors within a short time frame is not realistic.
- Outcome 2 calls for "long term capacities and incentives". The output level result area (Output 2.4) calls for improvements in public financing only. There is no output level result area or outcome indicator that would imply a study of existing subsidy systems that have historically affected success or failures of upland programs.
- A key gap is the inadequate recognition of the need to include the DA regional offices in strategic capacity building (simultaneous to BSWM). They provide frontline assistance to LGUs considering the BSWM does not have sufficient manpower to directly help LGUs at the operational level. Not articulating the regional offices potentially affects its feasibility.
- There is no result area on knowledge management which could have helped the Project "engineer paradigm shift" (the project's stated long-term solution) especially that so many changes are expected over a short three-year period. Ironically the project section on "replicability" cited the need to create a KM strategy.
- In terms of original site selection, the site identified in Leyte did not exactly fit the criteria while in Malaybalay, selection of upland farming community located in forest land would have been an equally good venue to demonstrate cross sectoral collaboration. This is the type of landscape where most of the land degradation hot spots in the Philippines is occurring.

Certain outcome indicators are not appropriate /feasible given time constraints orclear and specific enough). The following are examples:

- Use of crop yields as source of information for the adoption of ILMF. A more institutional type of indicator might be more appropriate.
- Using plant/soil cover ratio as indicators of Outcome 2 is not appropriate because this is the result of more landscape-oriented actions rather than farm-based improvements.
- The target indicator on CLDI "stable and improved LDI Monitoring system across 20,000 has." is not clear if this was referring to the monitoring system or the coverage area of the system.

[1]There are many forest related indicators at project outcome level in the project design. Yet the output result areas as designed, did not sufficiently articulate how agriculture, forestry (and other sectors such as ancestral concerns) can be addressed in a holistic manner in a common, bigger landscape (i.e. village) in order to better adapt to ecosystems wide threats. The first step towards this would ideally involve the conduct PRAs that look at the mosaic of forests and agriculture and how they are embedded in culture (ancestral domain) and livelihood systems. PRAs that consider the use of sustainable livelihood analysis (SLA) perspective would be an advantage. Based on the PRA, village level dialogue can identify immediately doable activities at both farm level and at community landscapes (community woodlots, riverbanks etc). Sectoral agencies can then begin to address these initiatives. See also section on recommendations

Overall, the mix of Outcome indicators serves as the backbone for the project. Given the above analysis however, the key challenge is the insufficiency of indicators such as Indicators of achieving cross sectoral approach; planning instrument to bridge CLUP and farmer adoption; generation of financing; role of DA regional office; and Knowledge management). Other challenges maybe secondary. This includes the doubtful feasibility of high number of targeted adaptors given.

The PRODOC did not have a discrete gender analysis and the Theory of Change as well as the Results Framework did not benefit from such. There was no gender Action Plan to guide specific interventions. Observance of human rights approach focused on needs, aspirations and rights of poor farmers as whole those are experiencing land degradation accentuated by climate change. Given limited manpower and technical resources, the project prioritized systemic and institutional changes in the way land degradation was assessed, and how agricultural land use plans were prepared. Findings related to the effects of implementation on women welfare are discussed under the section 3.3.3. Effectiveness.

3.1.2 Assumptions and Risks.

The overall risks cited are sound. Project implementation risks were identified in the PRODOC stage and further validated and accentuated during the inception workshop. Annual reporting processes also updated the risk profile. The key risks identified at PRODOC stage include potential effects of 1) local leadership changes after elections; 2) lack of participation from PAOs and MAOs (due to changes in leadership); 3) climate change; and, 4) non-participation of farmers in demonstration activities. During the annual reporting (APR) processes, the Project reported on the following risks: 1) delayed approval of the 2017 budgets; 2) effects of martial law in Mindanao; and 3) delayed delivery of outputs of consultants. Section 3.3.3.3 Risks and Risk Management describes how risks were managed and their effect on effectiveness. These included risks that evolved during implementation.

Under Annex H- Social and Environmental Screening Procedures (SESP) the PRODOC identified one risk – the presence of indigenous peoples in (one) project area and the possibility that their rights and perspectives will not be given due attention. The SESP rated this risk as low in impact and probability and low in significance. The concerned IP community appears to have adopted many lowlander farming practices which include the intensive use of herbicides and GMO corn. Secondary forests in steep areas are not spared from conversion to farms. The project is concerned not only with farming but also on forests. The assignment of low risk scores may not be appropriate because interventions that are not sensitive to IP community's integrated view of farms and forests, could mean missed opportunities to tap the remaining Indigenous Knowledge Systems and Practices(IKSP) which may eventually help arrest biodiversity loss and land degradation. The project design did not contain sufficient (and differentiated) provisions for ensuring sensitivity to IP needs (e.g. incorporation of relevant topics in capacity building modules for LGU extension staff). It is our view that the scores for Impact, Probability and Significance, should have been in the 2s or 3s and "of Moderate significance" respectively. The safeguards identified under Question 4 should have been differentiated to also cover IP perspective. More discussion on the validity of the Project risks and Risks identified under SESP are indicated in 3.3.3.3.Risks and Risk Management.

3.1.3 Lessons from other relevant projects in the same focal areas.

The project studied the profile of projects and their contributions and earnings as cited in the NAP DLDD. Identification of project sites was guided partly by the list of hotspots cum poverty areas in the country. The key learnings from the PhilCAPP project (Enhancing Delivery of Extension Services on support to the Philippine Climate Change Adaptation Project) were considered because of the learnings in promoting CCA among rain fed farms. THE LADA (Land Degradation Assessment) project analyzed land use trends in the country and provided guidance on key priorities based on their work including in Northern Mindanao where Malaybalay is located.

3.1.4 Planned stakeholder participation.

Overall, the descriptive list in the PRODOC's stakeholder analysis is sound. However, the analysis and planned stakeholder participation is not very sensitive to the fact that the promotion of SLM is largely n the hands of LGUs (due to decentralization) and local offices of DA and DENR. Certain types are not cited such as role of the regional office of DA and DENR who provide more direct support to LGUs, or the role of LGU planning officers who are so critical to the ILMF process. In fact, in practice the planning officers drive the process with the MAO in providing information. The important role of the SPCMAD of DA in knowledge management (upscaling learnings to policy) is also not cited. NCIP is also not cited considering that part of the sites is under ancestral domain. The plan is not very clear on the participation of civil society and other non-government stakeholders in the preparation of the ILMF for CLUP.

3.1.5 Replication approach.

The project banked on the promulgation of national guidelines as well as knowledge management to provide both guidance and inspiration to LGUs for adopting the process of mainstreaming SLM in CLUP. It is interesting to note however that the conduct of KM is not considered a result area in the Results Framework. Thus, this was not reflected in the project workplans.

3.1.6 UNDP comparative advantage.

The UNDP's comparative main advantage is based on its experience under several recently completed GEF projects on biodiversity. This involved work with HLURB, on mainstreaming biodiversity in CLUP and SLM and the development of a draft policy for biodiversity friendly agriculture. Under a joint project with DFAT, UNDP supported the development of guidelines that mainstream DRR and CCA also in the CLUP preparation process. UNDP Philippines. Within the Asia Pacific region, UNDP offices play key roles in biodiversity CCA and SLM projects.

3.1.7 Linkages between projects and other interventions in the sector.

The Project proposed to link with initiatives that also support integrated landscape management. These include the Sustainable Conservation and Utilization of Philippine Indigenous Crops Species which promotes agrobiodiversity conservation. Links were established with the Conservation and Adaptive Management of Globally Important Agricultural Heritage Systems (GIAHS) project since it would work with upland traditional communities. The concept was included in the planning framework for integrated land management (ILM). Another important link was made with the Biodiversity Partnership Project (BPP) because of its work in mainstreaming biodiversity in CLUP. Key links were supposed to be made with the National Program Support to Environment and Natural Resource Management Project (NPS-ENRMP). This is the same project that supports the work of the New Convergence Initiative or NCI which would potentially provide lessons on cross sectoral collaboration. This link however was not given sufficient attention.

3.1.8 Management arrangements.

The Project was to be implemented as NIM, with the DA BSWM as the key implementing partner. A Project Board consisting of representatives of key agencies and other stakeholder sectors would provide overall direction. A PMO based in BSWM would provide the lean secretariat type of work. LGUS would serve as key responsible partners, while line agencies particularly FMB and HLURB would provide policy and technical support. An Inter-Agency Committee (IATC) would provide technical advice along with the provision of short-term expert assistance. A local version of the IATC would be created at the LGU level. The above are essentially sound. However, the role of the DA regional office in the promotion of SLM, and how this can be enhanced was not sufficiently discussed. This was important because the LGU capacity for extension activities for SLM is still very formative (compared to flagship commodities like rice), In view of BSWMs limited presence on the ground, the regional office would theoretically play a very crucial backstopping role for LGUs.

3.2 Project Implementation

3.2.1 Adaptive management.

An inception workshop was conducted in late 2015 a few months after the official project start in July 2015. The IR identified needed changes (mostly on the structure of indicators) but these were not sufficient enough to warrant major changes in the Results Framework. There were no major changes proposed except for a project extension from June 2018 to August 2019.

Interestingly the indicative three-year work plan did not adequately address the concerns addressed by the IR. These include the observations on the appropriateness of indicators and the need to manage multiple tasks well to ensure attainment of outcome over a very short three-year period. There was not much discussion within the Project on the possibility of restructuring workplans so that some activities could be done simultaneously (instead of sequentially) given the short project period[2]. There was no major concern raised on the very large size of HH adoption targets over a three-year period, or the absence of output or activity target that would translate the results of the ILMF into a supportive activity in the CDP or AIP. Such activity would provide direction to the MAO; mobilize manpower and budgets and incentives for a large HH adoption target[3].

On the other hand, the project supported opportunities that surfaced during implementation. A good case was when it supported two workshops that eventually led to the development of the local version of the Agriculture and Fishery Modernization Plan for Malayabalay. As well as a joint planning process among the ENRO and Agriculture offices of the city. Such moves have helped influence the development of LGU's own SLM program. It also added a site in Leyte. Given the above the practice of adaptive management can be deemed not optimal particularly in terms of managing expectations (targets) however it was also open to opportunities for leveraging resources.

3.2.2 Partnership arrangements.

[2] The project tended to regard the CLDI activities as the sole precursor to many project activities.
[3] Since the CDP would be dependent on approval of a CLUP.

The project exchanged learnings and advice with the DA SCoPSA project which also supported the promotion of soil conservation in upland corn production. Locally based best practice on conservation approaches and technologies that have been documented by the PhilCAT project were shared during the various training. The PhilCAT uses WOCAT documentation protocols. The project linked with the ACPC to directly inform partners about the low interest microloans that it can provide. During the preparation of the GEF assisted Biodiversity Corridor Project, consensus was reached between DA-BSWM and the DENR to also pilot the SLM in CLUP guidelines in the two biodiversity corridor sites of the GEF assisted project.

The planned partnership with the local state colleges and universities did not materialize. The earlier participation of regional partners (VSU, CMU) was not sustained. One of the reasons was the discontinuation of the LTWG meetings which in turn resulted from heavy staff turn-over. IIR and CMU did participate in the peer review exercises on protocols and guidelines proposed by the Project.

3.2.3 Project finance

The Project operated on a NIM modality whereby the overall management rested with the government implementing agency through a PMO based at BSWM. The PMO had a fulltime accountant to manage the financial affairs under the supervision of the BSWM focal person and the fulltime project manager. Site coordinators also provided back up financial management roles. The overall structure of planned expenditures was followed during implementation. Slight realignment increased the amount allocation to Outcome 1 and PMO while the amount for Outcome 2 was slightly reduced. As of June 2019, the total disbursement rate is approximately 92 % as of September 2019.

Disbursement delays are partly related to delayed approval of budgets (usually within the 1st quarter of the year instead of the last quarter of previous year), and in the first two years, delayed procurement of personnel and procurement of services and consultants and goods like planting materials. Accordingly, delays in the procurement of field logistics was due to a combination of weaknesses of procurement planning at site level and difficulties related to the compliance to the new rules on government procurement. The PMO coped with the delayed approval of budgets by adjusting disbursement schedules accordingly. The BSWM also requested the UNDP to execute the procurement functions so that the issue can be addressed swiftly.

Financial reports were generally reported in a timely manner as part of the regular project reporting process. Accordingly, recent audit did not indicate significant adverse findings (did not receive copy). The DA SPCMAD which monitors the Project's physical and fiscal progress noted the difficulty of comprehending the budget portion managed by the UNDP because of the lack of details.

In terms of co-financing information, UNDP committed USD 500,000 and actually allocated a total of 501,000 of which 80% was in kind financing; 3 % through use of office space and 16% in term of TRAC funding. Government actual expenditure amounted USD 5,061,872 or 87 % of the original commitment of USD 5,303,152. Allocations from government agencies represented the effort of offices reflected in terms of staff time allotments; office space and venue and occasional support to workshops and training (time, part of transport and accommodation). The support of BSWM would constitute the largest among the line agencies, followed by the DENR, the City of Malaybalay and the HURB.LGU support during implementation also consisted of time (planning office, agricultural extension and environment and natural resources or ENRO offices) and use of agency resources (mapping services etc.) .The Provincial Agriculture program of Leyte PLGU did

not make an original commitment, but made a notable contribution to the project when it included the original upland project site (Tadoc, Abuyog) under its coverage for the demonstration of Agri based livelihood enterprise (vegetable production)concurrent to the project period and beyond. In the case of Abuyog Municipality the recorded actual co financing represents only the expenditures of the LGU planning office. Due to uncontrollable circumstances, the contributions of the two other offices in terms of monetary value (Agriculture and Environment offices) could not be ascertained at this time. Nonetheless, the evaluation process did observe sample relevant activities of these 2 office's contributions during the evaluation period. These observations were also triangulated with the Provincial Government staff.

Under Section 3.3.4 (Efficiency) and3.3.7 (Sustainability), we note the actions of the two partner LGUs to increase its investments in SLM particularly beyond the project (started on the last year of the project).These are not included in the discussion on co financing but considered as part of indicators of outcome. In the case of Malaybalay city, two offices (agriculture and environment and natural resources offices) co launched a major local SLM program expanding the coverage of SLM as piloted in Silae and investing in P PHP 1.8 M (USD) per annum initially.

Table 4. CONFIRMED SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE

Sources of Co-Financing	Name of Co-financer	Type of Co-financing	Investment Mobilized	Committed Amount ($)	Actual
Recipient Country Government	Bureau of Soil and Water Management	Grant	Recurrent expenditures	697,500	697,500
Recipient Country Government	Bureau of Soil and Water Management	In-kind	Investment Mobilized	1,961,740	1,961,740
Recipient Country Government	Department of Environment and Natural Resources	Grant	Recurrent expenditures	700,000	805,882
Recipient Country Government	Housing and Land Use Regulatory Board	In-kind	Recurrent expenditures	374,576	374,576
Recipient Country Government	Local Government Unit-Malaybalay City	In-kind	Recurrent expenditures	582,463	582,463
Recipient Country Government	Local Government Unit-Abuyog Leyte	Grant	Recurrent expenditures	986,875	102,000
Recipient Country Government	Provincial Local Govt of Leyte	In- kind	Recurrent expenditures	NA	36,711
Recipient Country Government	Local Government Unit-Abuyog Leyte	Grant	Investment Mobilized	986,875	102,000
GEF Agency	UNDP Philippines	Grant	Recurrent expenditures	500,000	501,000
Other					
TOTAL				**5,803,154**	**5,061,872**

3.2.4 Monitoring &Evaluation: design at entry and implementation.

The PRODOC provisions on M& E were used as the *de facto* Project M&E design, observing the key process of RBM. This was supplemented by incorporating the PRODOC M&E design in the annual work program. The ME framework followed the basic structure of the Results Framework. There was no clarification or changes done on the indicator statements of some outcomes and outputs, nor were some unclear baselines clarified as pointed out in the Inception workshop. In Section 3.1 (Analysis of Results Framework) a point is made about the insufficiency of outcome indicators which has implications on the effectiveness of the M& E system.

Nonetheless, most the indicators to be monitored were substantially aligned to the regular indicators of the implementing agency, the DA BSWM. These included the formulation of guidelines; database and information systems; and capacity building/training of government personnel. Extension oriented indicators were embedded in the LGU program of work as special projects.

The design also captured information on Information Education and Communication (IEC) and indirectly on gender responsiveness (e.g. disaggregated data on training participants).There was no prescribed monitoring of the activity level of local technical working groups as well as relevant LGU initiatives apart from those in the output description section. The GEF-UNDP Capacity Development Scorecard guidelines required the incorporation of the capacity scorecard system in the M&E design. This did not materialize, however.

Quarterly and APR formats covered outcomes and outputs as well as activities. The QPR and APR covered outputs under each outcome. Implementation of the M&E design and submission of reports was through the conduct of regular site visits by PMO and occasionally by UNDP.The GEF OFP was informed of developments and the OFP visited one project site. Risk logs were regular features of the APR format. The PIR self-ratings progressed from MS to S and the ratings by UNDP, OFP and GEF progressed from US to MS. A major development was the assumption of a new DA Secretary who made swift policy redirections which subsequently accelerated the project's policy work. At the same time the Malaybalay LGU walked an extra mile by launching its own expanded SLM program. The Project Steering Committee with the new Secretary's Senior Advisory Group in attendance, noted the earlier project challenges and vowed to address through the actions in response to the recommendations.

Information generated by the M& E system was regularly submitted to the Project Board. The midyear and year end in house assessments helped in the process of analyzing M& E findings. Sec 3.2.5 (UNDP and Implementing partner) discusses how the project managed the information from M&E system to support decision making processes of the Project Board as well as to the DA. These were essentially managed well. However in Section 3.3.3. 3 (Risks and Risk Management), a key gap (relevant to M& E execution) identified was about the ability to identify and communicate risks that evolved during project implementation. Overall the M& E system can be considered only moderately cost effective. It dutifully provided the minimum management information to help management track overall progress and keep the project running. But it could have been made stronger if indicators and baselines were better defined and risks that evolved during implementation were identified and communicated in a timely manner.

Partner LGUs participated in the preparation of workplans and also submitted annual workplans. The LTWGs were not sustained during implementation proper, partly due to limited follow up, resulting from high staff turnover. Thus, the Project missed the opportunity of securing the support of LGU member institutions in monitoring outputs and outcomes.

The year-end assessments were well designed and well facilitated. These interactive events collectively identified issues and lessons and eventually led to preparation of workplans for the succeeding year. The PMO reported to the PB during each PB meeting. While the reporting is based on the PIR format, it seems that there was difficulty to communicate early on the risks for non-attainment of certain components (see also discussion on risks under Effectiveness).

BSWM also reported regularly to the DA SPCMAD to ensure that project outputs and learnings are factored in total DA accomplishments and future plans. The SPCMAD on the other hand

reports to the management committee of the USEC for Operations as well as to the Project Development Service (PDS) in order to convey accomplishments and lessons learned.

3.2.5 UNDP and implementing partner implementation/ execution, coordination and operational issues.

The technical strength of UNDP is in biodiversity and CCA/DRR as well as in governance, and perhaps not so much(technically) on SLM. However, UNDP would still be a very appropriate executing agency because of its experience in supporting work on integrated landscape management as well as supporting effective local governance (for LGUs) In two previous projects, it was deeply involved in mainstreaming DRR-CCA and biodiversity themes in the CLUP process, and in supporting policy development towards biodiversity friendly agriculture.

The UNDP joined all board meetings and majority of the IATC meetings. This presence together with that of NEDA, allowed UNDP to apply its quality assurance roles and helping participants maintain awareness of planned outcomes. Participation on the more technical discussions of the IATC as well as conduct of yearly site visits allowed it to understand technical challenges and nuances in the development of policy frameworks and analytical tools.

Among the major points pursued by UNDP in its interactions with project stakeholders was the need for more attention to cross sectoral collaboration (DA and DENR), cost efficiency, and cost replicability, co-financing, and synergy with other projects located in similar regions including those that UNDP co-financed. It was helpful that UNDP had ample experiences on the process of mainstreaming thematic concerns in the CLUP before SLM. This was on DRR/CCA and Biodiversity. During site visits, UNDP representatives co-facilitated the discussion of progress, troubleshoot issues and follow on implementation planning. Advice and suggestions were delivered in a clear and respectful manner.

Upon the request of the implementing agency, UNDP undertook direct procurement of key staff and consultants as well as key logistics. UNDP facilitated strategic discussions on progress towards outcome during the Board and IATC meetings and engaged the BSWM in addressing the delays in some components such as the development of some sectoral policies and of the extension modules. The discussion on actions to address delays in extension modules was particularly complicated by the fact that preceding activities (which were delayed themselves) were indispensable in shaping the form and content of the subextension modules. There were also no perceived clear alternative pathways to address the target.

BSWM. BSWM is the appropriate implementing partner because it has the main mandate to ensure promotion of sustainability of fertility measures as safeguard against land degradation. The BSWM chose a senior officer with good project management track record in previous foreign assisted project as BSWM focal point. Through a special Order, BSWM technical divisions provided the necessary technical services such as geomatics services, land evaluation and soil conservation education and techno demo establishment. It was the intent of the PMO to use the process of delivering services to the project to be also a simultaneous learning process. This would be enhanced by formal training as well as through informal discussions/coaching between the BSWM staff and senior consultants who were highly respected authorities in their fields[4].

[4] See also discussion under effectiveness- competency development. The planned post training follow up sessions did not fully materialize for a variety of reasons, The focal person employed several methods to engage peers including utilizing the weekly flag ceremony information sharing.

The PMO was composed of skeletal staff based in BSWM and a site coordinator in each site. Consultants provided expert assistance in the design of framework and policy instruments and in the conduct of trainings. Except for one admin and one field staff, the PMO was primarily managed by women, from the BSWM based senior Focal Person, to the project manager and site managers. The PMO reported to a female BSWM Director and a female Assistant Director.

Overall the PMO adequately managed the information support to the Project Board as well as to the IATC, which resulted into well-organized meetings. The PMO conducted mid-year and year-end assessment and planning workshops that were well designed and facilitated to extract stakeholder participation. The Focal Person and PMO were up to date in keeping key DA Central offices (SPCMAD and climate Change office) on the loop in terms of project progress; The DA SPCMAD appreciates this and has in turn made sure that project learnings were communicated to the Planning Service. In the first few years a key challenge at the national level was the Bureau's lack of success to engage the Senior USEC level in a substantive dialogue for policy support (including adoption of a proposed framework for SLM mainstreaming in the AFMP). With the appointment of a new Secretary on the final year of the project, high level attention to policy took a positive turn.

Another challenge in relation to monitoring and reporting was the inadequacy of risk identification and risk communication which is discussed further under the section on Effectiveness- Risk Management.

BSWM had major concerns related to the delay of procurement of personnel as well as field materials. UNDP was eventually requested to manage the procurement of personnel and key operational materials. High turn-over rates of the Project Manager (3 time) and on-site managers (twice per site)[5] affected the flow of communication with partners and the effective facilitation of local interagency oversight of contributions to the implementation processes. Important project record keeping and "institutional memory" was also affected. There is limited documented information available indicating the sufficiency of mitigating measures employed to address the effects of high turn-over rates.

Another major challenge was the ability to effectively communicate information among stakeholders. An indicator was the perception of several LGU respondents that a very large amount was spent for the demonstration farms for technology demonstration purposes with limited impact. There was limited appreciation of the vital participatory technology development/action research that was also going on. While the correct information was certainly shared by the BSWM during the formal orientations and trainings, continuous follow up communication may not have been up to par to the existing local views that demonstration projects of previous projects had lackluster success. The communication issue also appears to be related to the view of several LGU respondents on lack of feed backing mechanism on the utilization of project resources.

These were aggravated by the disrupted presence of site manager and the unsustained facilitation of the Local Technical Working Group. Due the decline in the role of the LTWG, most of the communication at the field level was vertical in nature (project components at the LGU level related directly with concerned national consultants), and less of horizontal (between components and stakeholders working at the LGU level). This was not helpful for the attainment of outcomes which is dependent not only on direct project inputs, but of the inputs of and shared resources from partners.

[5] Usually due to transfer to higher paying positions or health/family reasons (e.g. pregnancy)

BSWMs observance of the data sharing protocols under the new national regulations was perceived to have increased the transaction cost of obtaining data. LGUs for instance usually got jpeg data and seem to have difficulty obtaining shape files.

Notwithstanding the challenges cited above, the BSWM was able to sustain the overall high interest of key LGU champions who saw the overall picture and who valued their long-standing relationship with BSWM due to previous projects. They walked an extra mile to help address gaps e.g. the PAO of Leyte facilitated the preparation of the MOA; planning officers took over most of the preparation of the ILMF from the MAO. They also kept in close contact with the BSWM Geomatics Division for direct mapping assistance. *Note: the rating provided for the Implementing agency is for the BSWM as whole and not to the PMO*

3.3 Project Results

3.3.1 Overall Results (attainment of objectives)

Notwithstanding certain gaps in implementation, the Project was able to generate a certain combination of outputs that is leading to attainment of most of key outcome indicators. The attainment of such outcome indicators can lead to the strengthening the overall SLM framework to address land degradation processes. This is explained further in the subsequent discussion of relevance, effectiveness, efficiency, country ownership, mainstreaming, sustainability and impacts.

3.3.2 Relevance

The Project supports the Philippine Development Plan National Action Plan (PDP), particularly specific PDP strategies that promote SLM to arrest land degradation. This is achieved by being closely aligned to the National Action Plan (NAP) to Combat Land Degradation and Drought (NAP-CLDD). Its work on the development of guidelines to mainstream SLM in LGU CLUPs allows LGUs to ensure the sustainability and resilience of its agriculture sector. The Project also targets the two major LD types cited by the NAP which are on soil erosion and chemical degradation. It is applicable in targeted hotspots particularly those that are in production landscapes.

The SLM project provides evidence-based knowledge to support advocacy for SLM as currently embedded in different government programs though different names and labels. A major example is the National Convergence Initiative (NCI) which is a convergence program of DA, DENR, DAR and DILG in 145 watershed areas using the concept of Integrated Ecosystems Management (IEM). Addressing LD in the agriculture landscapes of these watersheds is a major NCI thrust. The SLM projects also partly support the agroecosystems component of the National Biodiversity Strategy and Action Plan.

It supports local plans and priorities of LGUs concerned at the provincial and municipal levels. In Leyte, the LGUs welcome its contributions to improvement of implementation of the major Provincial poverty alleviation project. Abuyog municipality on the other hand welcomes its direct contribution to improved land use standards as the town accelerates its advocacy towards cityhood. The province of Bukidnon and the city of Malaybalay look at the Project as direct support to its upland agriculture, ENR and watershed management including disaster prevention (landslides) thrusts as articulated in the PDPFP and CLUP respectively.

The Project supports the UNDAF and Country Program outcome which provides that by 2018, adaptive capacities of vulnerable communities and ecosystems are strengthened to be resilient to threats, shocks, disasters and climate change. Small holder rice farmers who are affected by climate change and deal with high cost of fertilization can benefit from the Project results. The project period encompassed the interphase between MDG and SDG. It contributed to MDG 9- Environmental Sustainability and made a major proactive contribution to SDG 15.3 Life on Land and in particular combating desertification and land degradation. It also supports the 2 pronged GEF Strategy for SLM – a) support ground implementation of SLM and b) provide the enabling environment for the voluntary implementation of Land Degradation Neutrality (in the context of LDN target recently established. Implementation of LDN is particularly important in the soil erosion hotspots like in the 2 project sites. The project expands the government capacity to understand and measure the extent of land degradation. It also expands the menu of options for LGUs to address land degradation issues and provides science basedjustification for increased LGU investments in SLM. as a strategy for LDN.

The Project also is relevant to small holder upland corn farmers who cope with the realities of soil erosion and acid soils. Community level activities encouraged the participation of women in the identification of problems and solutions though the village consultations. The technologies developed were designed to be labor saving and this implies potential sensitivity to women needs, However the technologies focused on the core farming enterprise. There was limited opportunity to look at associated activities where the women had more control such as backyard livestock raising, and home lot activities.

Overall, the Project is internally coherent. Section 3.1.1.Of this Project (Analyses of Results Framework) describes features of the Results Framework. The stated objective and two outcomes are logical linked to the two barriers identified. An example of a key gap is that the project projected a high farmer adoption target but did not prescribe an output or activity that would "bridge" between the LGU decision to adopt SLM in the CLUP (the Project's main intervention), and actual farmers decision making to adopt SLM technologies. The bridge could be the formulation of SLM activities in the existing or proposed CDP or AIP that would be implementable during the project period. The Results Framework calls only for the formulation of guidelines for incorporation in CDP at an indicator level.

Another example is on Outcome 2. It calls for "long-term capacities and incentives". The output level result area (output 2.4) calls for improvements in public financing only. There are no output level result areas or outcome indicator that would imply a study of subsidy systems and perverse incentives that have historically affected success or failures of upland programs. As a result, under implementation, the working paper describing the entry points for mainstreaming SLM in the DA plans is silent on how to deal with perverse incentives that might indirectly drive household decisions that are not SLM friendly. More examples are cited in Section 3.1.1. and Section 3.1.3.Above.

3.3.3 Effectiveness

3.3.3.1 Achievement of Outputs and Outcomes

The following discussions present the status of outputs and the extent to which they are being translated to each of the two key outcomes. The discussion of each outcome and its constituent outputs is preceded by a summary table that articulates, in a clearer way, the conceptual link

between output and outcome as stipulated by the Project Results framework. The results framework itself is presented in Annex

Table 1: Summary of Outputs and Outcome Indicators

OUTCOME 1: Effective cross-sectoral national and local enabling environment to promote integrated landscape management (ILM).

The following table (adapted from the Results Framework) describes the outputs and outcome indicators under Outcome 1:

TARGET OUTPUTS	OUTCOME INDICATORS	END OF PROJECT TARGETS
Op 1.1. Approved guidelines on SLM mainstreaming into national and local land use plans and investment programs (to be field tested under Outcome 2) Op 1.2. Multi-sectoral stakeholders committee strengthened at the national level to oversee and give advice on the integration of SLM into LGU development plans.	Oc 1.1. An integrated land management framework incorporating SLM practices and technologies. Oc 1.2. Enhanced CLUP guidelines to mainstream SLM. Oc 1.3. Relevant policy issuance for the mainstreaming of SLM in local forest land-use and development planning processes.	i) A national integrated land management framework mainstreaming SLM practices and technologies developed and adopted by HLURB. ii) Guidelines on mainstreaming SLM have been applied in pilot municipalities and further enhanced based on experience and findings of the testing exercise. iii) Issuance of Joint Memorandum Circular or special order on mainstreaming SLM by DA, DENR and DAR. iv) Issuance of Memorandum Order or administrative order on mainstreaming SLM by DILG to priority LGUs.
Op 1.3. Information management system to support SLM integration into LGU's development plans and improving informed land use allocation decisions.	Oc 1.4. Data base and information system to support decision is operational and accessible to LGUs.	iv) Developed a GIS-based LADA maps incorporating SLM practices and technologies with information/maps accessible and relevant to CLUP preparation of LGUs.

TARGET OUTPUTS	OUTCOME INDICATORS	END OF PROJECT TARGETS
Op 1.4. Training of-trainers from BSWM, DA Regional Offices, DENR and DAR and the PAOs and MAOs/CAOs capacitated in training extension officers from the LGUs in promotion of SLM practices and technologies.	Oc 1.5. Competency development programme for LGUs on SLM technology application and mainstreaming developed and implemented.	v) List of training modules on SLM technology application and mainstreaming for LGUs developed. Provincial trainors from DA-BSWM, DENR and HLURB are identified and trained on various SLM management and physical technologies on SLM. At least an average increase in 5 capacity results for BSWM, FMB and HLURB (details in LFW)

Overall, outcome 1 is partially achieved with the following major milestones:

- Articulation of, of the true nature of LD in the humid tropics as foundational principle for SLM planning. This has also led to a recent senior level discussion on the topic under the new DA leadership.
- Development of vetted guidelines for mainstreaming SLM in the CLUP through the ILMF process, and endorsement by the HLURB technical leadership for official HLURBP adoption.
- Ongoing incorporation of SLM in the forest land use planning (FLUP) process, based on consensus between BSWM and FMB.
- Development of two models of local work in progress for mainstreaming SLM in CLUP and local investment programs.
    - The conduct of ILMF is piloted in two LGUs. In the process this generated updated SLM information sets and national and local skills to support the analytical process.
    - One LGU (Abuyog) incorporated SLM elements in the CDP. Another (Malaybalay) is mainstreaming SLM into their local AFMP as well as launched a follow on SLM upscaling program.

The following are the gaps constraining the attainment of outcome 1:

- The planned supportive sectoral policy framework (AFMA, PMPCRFD) necessary to guide local mainstreaming and justify incremental national financing for SLM did not materialize.
- An information management system to support more effective localized SLM decisions through improved access to combined information on updated LD information and matching best practice options) is still work in progress.
- The competency development program addressed immediate needs for piloting SLM in two LGUs. However, the utilization of trained staff particularly at BSWM will be limited unless project innovations are incorporated in the regular internal protocols for assistance program to LGU. Key discussions already started need to be sustained.

Outcome 1-Detailed description of outputs

Output 1.1 (Approved SLM guidelines in national and local land use and investment plans). The Project developed four draft policy working papers, two for guiding local planning and two for guiding national sectoral planning. One of the four proposed guidelines (SLM in CLUP) is going to be officially adopted.

It led a multi-sectoral consensus on a planning tool that would guide the mainstreaming of SLM in the CLUP process. Referred to as the ILMF, this tool guides local planners (particularly planning coordination and local agricultural offices) to organize information and conduct analysis that would facilitates local decision making towards mainstreaming SLM principles and practices in the CLUP. It was piloted in two LGUs: Malaybalay and Abuyog, representing two major land degradation types, namely soil erosion and fertility depletion respectively. The HLURB senior technical leadership has endorsed the guide, and HLURB is now in the process of final review of the formal guidelines, referred to as the Draft Supplemental Guidelines for mainstreaming SLM into the CLUP. Accordingly, this is due for HLURB Board approval in 2019.

Still related to Output 1.1, the Project also prepared three draft policy working papers that would guide the mainstreaming of SLM in two national policies that guide local level planning, and a working paper that would promote a joint policy between the FMB and BSWM. The need for these working papers has been initially discussed in the IATC but the papers themselves have yet to be bilaterally discussed between the concerned agencies and the DA-BSWM.

- A working paper that identifies the entry points where SLM can be mainstreamed in the: (i) current guidelines for preparing the Provincial Development and Physical Framework (PDPFP) which is recommended for consideration by NEDA; and, (ii) guidelines for preparing the CDP of municipalities (recommended for review by DILG). Discussions for the need for such guidelines have been initially discussed under the CCRMD/IATC but the draft working paper has yet to be discussed bilaterally between the NEDA, DILG, and DA-BSWM.

- A policy working paper justifying the need for mainstreaming SLM in the national action plans of DA and DENR namely, the AFMP and the PMPCRFD respectively. This paper articulates the nature and geographic scope of land degradation, gaps in the above current national plans and recommends a list of specific SLM-oriented language to be embedded in each of the key chapters of both the AFMP and PMPCRFD.

- A draft joint guideline by the FMB and BSWM for the conduct of activities that will mainstream SLM in two documents.

Output 1.2. (Multi sectoral stakeholders committee strengthened). The Project supported the engagement of a multi-disciplinary IATC consisting of representatives of relevant institutions. Most of the institutional members of the IATC are also members of the CMRD under the PCSD. As such, they are exposed to previous planning initiatives such as the NAP DLDD and more recently the LDN[6]. There is insufficient information to make a determination if "strengthening" happened to the group as a whole. The project did not follow a specific capacity building plan to use the peer review as part of a concurrent capacity strengthening process for the IATC. As a consequence, baseline data were not collected upon which future capacity improvements vis-a-vis its role in SLM would be gauged. The minutes of the peer reviews did not also indicate a

[6]By "they" we refer to a good number of them, not all, because of occasional staff turn-over in each agency. Some representatives are changed from time to time.

reflection of how the inputs would help in the overall long-term functioning of the IATC as a *de facto* subset of CCRMD for SLM concerns.

But based on their TOR, they were able to provide substantive peer review of issues and interventions proposed by the project. Three peer review sessions were conducted for this purpose. On several occasion senior LGU technical staff participated in the reviews. Individual members were targeted by the competency development program as part of the training category referred to as line agencies. They also attended selected training sessions conducted by the project under its competency development component. The effect on individual members is discussed under competency development indicator.

Output 1.3. (Information management system). The information management system as contemplated under the project has yet to be established at this time, but spadework has already started. The PRODOC contemplated to develop an online platform that provides a continuing information service to support decision-making by LGUs towards SLM. It would build on the existing platform for the LADA and the existing platform for the Philippine Conservation Approaches and Technologies or PhilCAT.

Initial ideas for the development did not mature into a formal plan. The consultant hired for this purpose was deemed unable to deliver the outputs needed while the Geomatics Division of BSWM who volunteered to take over was unable to meet its commitments despite its strong enthusiasm. It was unable to cope with the limited time left for systems development given its current volume of work to support BSWMs regular programs. The project however provided a *de facto* project-based information service for the pilot LGUS. These consisted of several composite maps and some intermittent on-site hands on support needed for the preparation of ILMF. Contents of the PhilCAT were discussed in field orientations.

Output 1.4. (Training of Trainers to support LGU extension officers). The project conducted x training sessions involving x participants from line agencies (particularly DA, DENR, DAR), regional offices of DA and pilot LGUs. The sessions created in-depth awareness and understanding of SLM useful for local planning. However, it did not adequately cover skills to help agency experts impart the same to LGU based extension officers.

A competency needs analysis was conducted to determine priority needs. The trainings were conducted in Manila and in regional cities and benefiting at least 680 stakeholders, 51% of which were women. The training sessions form part of a competency development program guide developed by the Project consisting of three parts: a) An overview of the Competency and Development Program; b) SLM Training Manual; and, c) Manual on Adopting the ILMF and Mainstreaming SLM in CLUP. Part 1(Overview) provides an overview of competency needs.

Outcome 1—Achievement of outcome target indicators.

a) ILM and related frameworks (Target Indicators i, ii, iii)

The Project was able to chart a policy agenda that had the potential to increase the chances of sustained attention and funding for SLM and enhanced upscaling to larger areas.

a.iPolicy agenda. The Project planned to develop a suite of policy instruments to include three guides for local planning: CLUP, CDP and PDPFP, and a guide for two national planning exercises (AFMP and PMPCRFD as follows:

- An SLM friendly CLUP provides the geographic guide and its enforcement (zoning).

- An SLM oriented CDP would translate geographic strategies into actual multi-year investment programs of the LGU. This is important because otherwise the LGU would normally depend on the generic program templates provided by national commodity programs.
- An SLM friendly PDPFP would enhance SLM upscaling of SLM practices on a province-wide basis.
- At the national level, an SLM friendly AFMP and PMPCRFD would guide the DA and DENR on policy development and technical guidance and operational support to LGUs programs.

a.ii Catalyzing new thinking on SLM and climate change adaptation in the humid tropics[7]. The Project articulated and demonstrated (in pilot sites) the need to redefine the nature of LD in the humid tropics including the Philippines, emphasizing on the unique temporal and spatial nature of LD among others[8]. It also demonstrated a simple farmer-based process for understanding LD (photo-based system using the Smartphone plus use of bioindicators). It demonstrated a learning-oriented adaptive method for SLM integration at the farm level that tapped local knowledge. This would be a marked departure from the conventional and linear delivery of SLM as a package of science-based technology. It recommended the redefinition of the formula for Composite Land Degradation Index (CLDI) an LD measurement tool to reflect the seasonal nature of land degradation as affected by climate change.

This has strategic implications on developing more cost effective SLM programs (e.g. application of site-specific nutrient management, introducing alternative approaches for managing carbon at farm level etc.). The concept has thus been discussed initially with the DA Climate Change program office and more recently in the Technical Advisory Group of the newly appointed DA secretary Wiliam Dar. Under the "New thinking in Agriculture" the Secretary recognizes the crucial land degradation trends going on. He is actively espousing a science based, agency wide action to promote soil health as a key component of productivity increases and resilience. The Technical Advisory Group is an interdisciplinary senior expert group assisting the Secretary in the transition period of his new administration. The group is brokering the discussion of the findings under this project (including the climate adaptive technologies promoted) to the priority agenda of the DA under the leadership of the Undersecretary for Planning and Policy.

a.iiiSectoral policies. The mainstreaming frameworks for AFMP and MPMCRDF however have not been fully discussed yet but once approved, they can help ensure SLM financing and sustainability. Continued attention to the development of the above policy instruments is important to enhance the relevance and enforceability of locally generated policy (CLUP). The key observations on strengths and gaps of the sectoral-oriented policy paper include the following:

- They have targeted the appropriate national planning frameworks for mainstreaming (AFMP and PMPCRFD) as both have strong bearings on sustainable financing.
- They correctly identify the CBFM under the PMPRFD as a focal program to work on. However, they did not identify the equivalent DA flagship program(s) to focus on.
- They are based on a good understanding of local governance dynamics that pay little attention to sound agricultural planning.
- There is no strategic platform (s) identified that would operationalize the desired cross sectoral feature of the enabling framework contemplated under Outcome 1[9].

[7] This is not officially an end of project indicator target, but it is a good foundation for a major SLM paradigm shift in the Philippines.
[8] Prevailing definitions and corresponding response strategies are largely shaped by the experience in arid and semi – arid countries where most SLM related scientific studies begun.
[9] For, instance the guidelines have not adequately articulated how forest, agriculture (and climate change) issues can be addressed holistically in the agricultural landscape regardless of the legal classification of the land.

- The BSWM is expected to catalyze the SLM mainstreaming in the entire DA program which will be a challenge to its resources.

a.ivSLM in CLUP (also under Target indicator I, ii, ii). The Guide for SLM in CLUP reached almost full maturation under this project, having been subjected to piloting, peer review and final review at HLURB level. This represents the most recent thematic incorporation into the CLUP process since the formulation of the HLURB Guide for the preparation of the CLUP. The first two are the themes of CCA DRR (through the CCC/DFAT UNDP Twin Phoenix Project), and Biodiversity in CLUP (through the DENR/GEF/UNDP Biodiversity Partnership Project or BPP).

The guide consists of steps that can be directly linked to the 12 steps of the CLUP guide. This ensures that SLM concerns are embedded right from the situation analysis stage up to the investment programming and zoning and implementation management stage. It also includes the effects of climate change as well as agricultural land conversion. It provides a means to better understand land and crop suitability potentials and can contribute to the updating of the NPAA and SAFDZ. There is currently no agriculture-oriented sectoral planning that is equivalent to the FLUP in the forest sector. Thus, while the ILMF as a planning tool focuses on land degradation, the way the ILMF is configured almost makes it a *de facto* tool for updating the NPAAD and SAFDZ and overall agriculture resource planning tool for a municipality.

There are some concerns on the ILMF process that are discussed under the section on sustainability. These relate to the inadequate articulation on how this and the current NPAAD and SAFDZ preparation process as mandated under the AFMA can be reconciled.

The ILMF in the pilot municipalities are in the final stages of completion. Some information gaps still need to be addressed but the respective LGU teams can already provide a perspective of the nature and scope of LD in their respective localities and articulate the various technical strategies. Overall, LGU representatives interviewed found the ILMF methodology as a systematic approach to generate and organize information to better convey the SLM message to political decision makers in the LGU. However, it is evident that the novel process requires continuing intermittent technical support from BSWM[10].

Abuyog is interested in a holistic CLUP that can guide its aspirations for Cityhood. Malaybalay on the other hand is very worried about the widespread erosion and realized the significant role of CLUP. LGU staffs in both places were particularly interested with the planning step involving the conduct of ARA (agricultural resources accounting). Accordingly, this would not only help justify investments in SLM but in agriculture itself. ILMF was accepted by HLURB Planners Forum, by the CCMRD/IATC, and by the technical leadership of the HLURB. The official advisory for LGUs awaits the approval of the HLURB Board. HLURB is interested in the ILMF because of a perceived need to strengthen the guidance for regional planning and to balance the previous emphasis on urban planning.

- **Spin off.** As a result of the awareness built by the new thinking on LD in the humid tropics as well as of the ILMF tool, the two LGUs used their learnings to generate LGUs own even before completion of the CLUP updating:
  - Abuyog: Inclusion of major SLM language in the CDP.
  - Malaybalay: inclusion of SLM in the Local AFMP and the launching of an SLM upscaling project using funds from the 5% DRRMF.

[10]The project decided not to include the computation of the CLDI in the current ILMF guide. This is to make the guide a simple as possible for the moment, In the case of Abuyog and Malaybalay, the CLDI was determined separately and directly by the BSWM Geomatics division and was not an integrated into the ILMF process.

b) GIS based maps-towards LGU access to information (target indicator iv).
Maps were partially provided to LGUs. A few maps that need BSWM assistance are still lacking. LGUs request for the availability of shape files not just jpeg files. Pilot LGUs received mapping support from BSWM during the project based on the BSWMC regular support program (including the LADA platform), but these maps did not emanate from an information system that was contemplated in the PRODOC. Information on SLM good practices were made available during training sessions but these also emanated from the existing WOCAT inspired PHILCAT platform.

Thus, the recurrent problem of information access remains a challenge. Foundational work has however started under this project. The original premises of CLDI was challenged, and there is now a better understanding of the nature of LD in the humid tropics which should drive the formulation of analytical frameworks for assessing LD at LGU level. The platform for best practices on the other hand continues to be updated for future complementation with the platform for LD assessment.

c)List of training modules for LGUs and identification of potential trainers (target indicator v).
A list (including content) of training modules is in place but needs fine-tuning based on project experience and long-term training needs. Potential trainors have been identified and trained on the subject matter but not on how to train LGUs.

c.iScope of Competency program. The competency needs analysis breaks down the need's identification process into those of LGUs, Line agencies (and within line agencies those of bureaus and those of frontline local offices. It is also somewhat slanted to the assessment skills for LD (through the CLDI process). This is gleaned in the Capacity Development Program Report 3, Table 1.4). This emphasis strongly supported the needs of LD monitoring related targets execution. But it did not adequately cover other arenas of concern (apart from measuring LD and developing farmer-based solutions) like those contemplated in the Capacity Score Card Targets (e.g. skills for engaging stakeholders, for managing knowledge, for planning/ mobilizing resources etc.). As a result, the Project may have missed the opportunity to develop a more strategic competency development strategy particularly in BSWM and in FMB, to support SLM.

c.iiInitial impacts of learning events. Immediate knowledge and skills to support project deliverables were however addressed. Field level TOTS facilitated hands-on skills for agricultural technicians as well as farmer cooperators (with the direct help of a senior expert). A good number of those interviewed at this level have started to also share the same to other farmers. In Sta. Fe (upscaling site of Abuyog), the senior cooperator (a *MagsasakaSiyentista*) felt that he has become very effective because of better understanding of the true nature of LD in humid tropics. Similarly, the young AFT challenged herself to make her farm a very profitable model using the principles and technologies she learned.

- In both Abuyog and Sta. Fe, the pace of sharing by these frontline champions is affected by the fact that the SLM practice still has to be fully discussed and incorporated in the extension and support services programs of the LGU agriculture office. Counterparts in Malaybalay have used part of their training to incorporate SLM language in the local AFMA as well as launch an upscaling project.
- Both LGU planners and HLURB based planning officers' express continuing interest with the gained knowledge and skills for ILMF preparation. There was particular interest in the ARA. Non-agriculture planners appreciated the eye opener field visits made possible by the project.
- At the FMB level, plans are underway to accelerate SLM training of staff in charge of the assistance program for FLUP preparation by LGUs. The principal officer for the CBFM

program believes it is high time that the SLM learnings be mainstreamed in the upland agriculture component of the CBFM program.

c.iiiContinuing competency concerns. Except for the training for ILMF, no post-training assessments were done. Thus, the training modules piloted have not been fine-tuned based on feedback from practitioners.

- Selected government participants (NSWM, FMB, HLURB, LGU) of training sessions have been identified to be natural advocates and potentially qualified to become trainors. However, there is no program of work that ensures that continuing skills sharpening of said individuals. At BSWM, plans to conduct post-training mentoring and coaching sessions for the younger generation of BSWM professional staff did not fully materialize due to the lack of opportunity, given partly to the sheer volume of work to support DA's flagship programs.
- In their current state, the technical content of the training modules would first need to be vetted with agencies, particularly the BSWM and its divisions to ensure that the methods described in the training modules and tried in the pilot areas are considered and integrated in the protocols and standard operating procedures of the offices concerned. This will then make possible for the technical innovations to be replicated by the recently trained agency subject-matter specialists without or with lesser need for external consultants. Without this process, the newly acquired knowledge and skills by BSWM staff may not be fully maximized. For instance, while trained staff now exists, discussions has yet to start on how the technical assistance program for ILMF preparation piloted under the project (with external consultants' guidance) will be replicated as a regular BSWM service to benefit other LGUs. The Soil Conservation and Management Division (SCMD) which serves as the technical focal point for the NAP DLDD and LDN programs believes that the CLDI can be reconciled with the LDN's own LD monitoring criteria, but additional discussions will be needed.
- The absence of a project knowledge management/communication strategy to complement the training strategy may have deprived the project of an earlier impact from the training sessions. Such a strategy would have ensured that the knowledge generated and shared by the project do in fact get into the hands of those who need them in a timely manner, for decision making. Otherwise, a shotgun approach for knowledge diffusion reigns. During the training sessions for a combination of national and local stakeholders, the highly experienced SLM expert engaged by the project provided in passing a range of very useful and experience-based advice on possible adaptive SLM strategies. These helpful advices could have been subsequently packaged as formal follow up advisory to the LGUs concerned.

d)Scorecard for BSWM FMB and HLURB (still under target indicator v).

For the three key line agencies (BSWM, FMB and HLURB), the project adopted GEFs framework for monitoring Capacity Development Initiatives in five capacity result areas or RIs: 1). Engagement; 2). Information & Knowledge; 3). Strategy & Policy; 4). Management & Implementation; and, 5). Monitoring & Evaluation. The BSWM, FMB and HLRUB teams recorded both their baseline and end of project scores for each of the Capacity Result Indicator (RI), as well as in selected indicators (selected from Indicators 1-15).

- The end of project assessments, conducted in-house by an interdisciplinary team indicates perceived general increase capacities in all the five Capacity Result areas.[11] These increases are not solely attributable to Project interventions but may likely be the result of an accumulation of related interventions and the project may have accentuated or consolidated the cumulative effect. The self-assessments however can be partially correlated to results of

[11] Aside from being a self-administered assessment, the standard questions were not customized as needed to relate to the project context and thus subject to many interpretations. No documented proceedings of the scorecard sessions were available. The PMO officers joined the self-assessment sessions, conducted by each of the three agencies to facilitate and contextualize the discussions to ensure coherence and accuracy. This may have at the same time unintentionally affected the objectivity of the process.

interviews with individual respondents as well as document review. The following are illustrative examples of findings that appear to have contributed to the improved conditions represented by incremental scores administered for three of the five CRI areas.

- Relevant to *CRI-1* (stakeholder engagement). Through the IATC the BSWM gained confidence to manage a dynamic national forum that brought people from different disciplines and agencies to actively discuss, challenge and reach consensus on the various issues and solutions surfaced by the project. Relevant to *CRI-2* (information and knowledge use), stakeholders in both national (IATC) and local fora (local workshop/seminars) were enlightened by new information about the actual nature of LD in the humid tropics and practical (out of the box) methods to measure and mitigate them. BSWM gained hands-on experience in the CLDI determination process. The HLURB in particular, appreciated the eye opener field visits that allowed hands on understanding of the issues that could not be addressed by conventional land use planning thinking. The DENR CBFM program particularly appreciated the potential usefulness of the proposed technical solutions to farming in upland grassland ecosystems.
- Relevant to *CR-3* (policy/planning), senior and middle level subject matter specialists of the three focal agencies appreciated the methodical process for mainstreaming of SLM in guidelines for local land use policy formulation (CLUP). The HLURB gained confidence in co-crafting the guidelines for mainstreaming SLM in CLUP partly as result of similar previous work to mainstream CCA/DRR and biodiversity as well as the eye-opening effect of the training field visits and interaction with both farmers and LGUs. The FMB on the other hand decided to start the process of incorporating SLM in the FLUP process guidelines. Overall however, it may be noted that there was no major capacity strengthening gained in preparing national /sectoral policies for SLM (particularly on the AFMP) as actual project-wide initiatives in this regard was insufficient to make a dent.
- Relevant to *CRI-4 and CRI- 5,* there are no relevant project interventions that could be strongly correlated to project interventions. BSWM had significant project implementation challenges on the ground. The reported increases in scores for FMB and HLURB cannot also be correlated to project interventions since there was limited investment for them for implementation capacity building processes. The increases reported by the three agencies are likely more the effect of interventions by regular programs and other projects.

Table 2: Summary of Capacity Building Score Cards(BSWM, FMB and HLURB)

BSWM/CR	Ave. at Baseline	Average Score at End of Project		
		Target increase by	Actual Score	>or <
CR1-Engagement	2	0.33-1	2.3	=
• I-3Decision support		3	3	>
CR2-Information /Knowledge	1.6	0.33-1	3	>
• I-4 Cooperation	2	3	3	>
• I-5 Info access	2	3	3	>
• 1-7 Science to policy	2	3	3	>
CR3-Policy /Planning	1.6	0.33-1	2	>
CR4 Implementation	2	0.33-1	3	>
• 1-13 Tech transfer skills	2	3	3	>
CR5-M&E	1	0.33-1	2.5	>

FMB	Ave Baseline	Average End of Project Target		
		Target increase by	Actual	> or <
CR1- Engagement	1.6	0.5-0.8	2.3	
• I-3 Decision support	2	2-3	2.0	
CR2-Information /Knowledge	1.6	0.5-0.8	2.6	
• I-4 Cooperation	2.0	2-3	3.0	
• I-5Info Access	2.0	2-3	3.0	
• I-8 - Traditional knowledge	1.6	2-3	3.0	
CR3-Policy/Planning	1.66	0.5-0.8	3.0	
CR4-Implementation	2.5	0.5-0.8	3.0	
• 1-12 Res. mobilization	2.0	2-3	3.0	
CR5-M&E	1.0	0.5-0.8	2.5	

HLURB	Ave Baseline	Average End of Project Target		
		Target increase by	Actual	> or <
CR1-Engagement	1.0	0.2-1.33	1.6	>
• I-1 Mandate	2-0	2-3	3.0	
CR2-Information /Knowledge	2.0	0.2-1.33	2.6	
• I-4 Env. awareness	3.0	2-3	3.0	
• I-5 Info access	1.0	2-3	2.0	
• I-8 Traditional knowledge	3.0	2-3	3.0	
CR3-Policy/Planning	1.66	0.2-1.33	2.66	
• I-10 ENR policy	2.0	2-3	3.0	
• I-11 Decision support info	2.5	2-3	3.0	
CR4-Implementation	2.0	0.2-1.33	3.0	
• I-12 Resource mobilization	2.0	2-3	3.0	
CR5-ME	1.0	0.2-1.33	1.5	
• I-14 Monitoring	2.0	2-3	3.0	

The overall performance in three of five CRIs cannot be partially attributed to the agencies' exposures to project activities either through structured learning events (part of formal training courses) or through less structured events (e.g. peer review sessions) or through the conduct of implementation competency program because the latter did not cover all the five capacity result indicators in the first place.

Table 3: Results Framework

OUTCOME 2: Long-term capacities and incentives in place for local communities and LGUs to uptake SLM practices in two (2) targeted municipalities in the Philippines.

The following table (adapted from the Results Framework) elucidates on the conception link between the outputs and outcome indicators under Outcome 2:

TARGET OUTPUTS	OUTCOME INDICATORS	END OF PROJECT TARGETS
Op 2.1. Comprehensive Land Use Plans (CLUPs) updated/revised for targeted City and Municipality with serious I.D issues.	Oc 2.1. Plant/soil cover in the agricultural land area covering 2,887 ha and forest cover in Barangay Silae.	i) Increase in plant/soil cover ratio. No net loss of forest covers in Barangay Silae.
Op 2.2. SLM best practices implemented in target City and Municipality.	Oc 2.2. Dry Matter (DM) and Organic Matter (OM) Content from 5 sample sites randomly selected from the agricultural land area (151 ha) and forest land area of Barangay Tadoc.	ii) Arrange increase in DM and OM Content of Soils in five sample sites representing the soil fertility of the 151 agricultural land areas. No net loss of forest covers in the Barangay Tadoc.
Op 2.3. National and LGU extension services capacitated to incorporate SLM to LD and drought risk areas and deliver targeted support to targeted City and Municipality and farmers with similar agricultural threats.	Oc 2.3. Composite Land Degradation Index (LDI) monitoring system for monitoring LD is developed and in place for City of Malaybalay and Abuyog Municipality.	iii) Stable or improved composite LDI monitoring system across 20,000 ha in two (2) municipalities. • Agriculture: 3, 038 ha • Forestry: 734.26 ha • Mixed System: 16,227.74 has.
Op 2.4. Secure additional finances for SLM investments and align existing financial contributions in the forestry and agricultural sectors to support SLM practices in at least two (2) selected municipalities.	Oc 2.4. Increased in % of SLM guidance delivered by extension services.	iv) 100% SLM guidance delivered by extension services through integration of complete SLM modules in the season-long FFS.
	Oc 2.5. Farming households adopt sustainable agricultural practices and integrated SFM/SLM practices.	v) At least 585 of the farming households in two targeted municipalities (3 brgys. out of 46 brgys. in Malaybalay City and 13 brgys. out of 63 brgys. in Abuyog) adopt sustainable agriculture practices and integrated SFM/SLM practices.

Overall, Outcome 2 is partially achieved.

- The two LGUs are ready to incorporate the ILMF into the CLUP when the latter will be officially updated in 2020 /2021.
- Farmer-based monitoring of LD demonstrated in selected farms in pilot barangays. This serves as backbone for an LGU-wide, CLDI- assisted monitoring system. This is also complemented by the initial development of a farmer to farmer-based extension approach.
- Additional financing has been secured of SLM investment in Malaybalay through the launching of the LGU-initiated and managed SLM upscaling program as well as mainstreaming SLM in the local AFMP. Abuyog has incorporated SLM in the CDP.

Certain gaps exist relevant to Outcome 2:

- A sustainable LGU monitoring system for LD trends using the CLDI is only partially completed.
- An FFS-assisted SLM extension system in the pilot LGUs for Project-assisted technology improvements is not yet in place. Alternative extension approaches were however piloted though its uptake by the extension system remains a question.
- HH level adoption is less than 5 % of targets partly due to absence of extension systems and limited success in facilitating appropriate policy-based incentive systems.

Outcome 2—Detailed description of outputs

Output 2.1 (Revised CLUP). The two LGUS are in the process of finalizing their respective ILMF. They are expected to complete this by the 2nd to 3rd quarter of 2019. The actual mainstreaming of the ILMF into the CLUP will not happen until 2020/2021 when the LGU would actually update their respective CLUPS following the prescribed government procedure. But the ILMF team is gaining confidence to share the science-based information and recommendation in the context of a socio-political decision-making process.

The planning offices of the said LGUS are also internally motivated to continue this (Abuyog becoming a city, Malaybalay being able to address massive soil erosion). The LGUs have partly utilized the same information generated for the ILMF (combined with the learnings from the training on CLDI) to support the development of CDP in the case of Abuyog; and the launching of an SLM upscaling program in the case of Malaybalay. These are discussed further under output 2.4

Output 2.2 (Best practices implemented). A farmer-friendly LD monitoring process and two set of adaptive SLM technologies were discussed with farmer groups and demonstrated in at least three farmer cooperator farms with potential for replication.

A common set of technology done for both sites is the conduct of participatory analysis of the LD situation in the farm. This was done with farmer cooperators and farmers organization. Based on the inherent assets and limitations of the farm, labors saving technical solution were tried out. These included on-site nutrient management and use of more selective fertilization in Abuyog and the management of burning of cogon in Malaybalay. The demonstration has proven to be technically feasible in terms of increased OM content (see separate output), DM content, and productivity. It has sparked interest among farmers and technical personnel alike. However, the economics of it has not been thoroughly discussed (no documentation from BSWM ALMED yet). There are other angles in the review of the best practices and that have a bearing on its contribution to the attainment of outcomes. These are discussed under the section on outcome indicators.

Output 2.3 (National and local extension service for SLM strengthened). The Project initiated discussion with ATI at the national and local levels in the early years of the Project to develop the appropriate FFS modules and building on the experience in the project sites. Unfortunately, the discussions were not sustained. While the project did develop and test a promising farmer to farmer diffusion strategy, this was not discussed with the extension service for further methodological fine-tuning and sustained application. This could have been an additional extension method (apart from FFS).

Based on recent discussion with the Project and technical expert considered, the national ATI estimates that 12 to 15 months will be needed (starting on the concluding months of the Project) to package the FFS for key flagship commodities (rice and corn) that will incorporate SLM practices. This is partly because they have to generate the needed budget following the budget calendar for line agencies. The regional ATI offices also expressed interests to pursue this exercise using their regular budgets.

Outputs 2.4 (Secure additional financing). The Project engaged the ACPC to explore the accelerated application of the PLEA (loan program) in the project sites so that farmers may be able to finance investments involving SLM practices. Accordingly, the PLEA is the most comparatively accessible program available for the poorest in the agriculture sector. The PLEA program representatives provided an orientation but there are no takers so far. At the time of the orientation the PLEA program still did not have local representation in the form of Local Coordinator (LC) who would facilitate further community dialogue and study as well as the flow of papers. This is still a viable program that can be tapped.

Outcome 2--Achievement of outcome target indicators

a) Plant Soil Cover and other physical indicators (Target indicator I, ii)
From the Agri mapping data of Malaybalay LGU, there was a reported increase in forest cover between the years of 2017 to 2019 by approximately 30%. Accordingly, this can be partly attributed to 2 tree planting activities that formed part of the City's own program. It is not necessarily directly related to the core activities of the project in the pilot barangay. There is no similar data on forest cover available from the Leyte site. Overall, Plant – Soil Cover data cannot be correlated with project interventions which focused strongly on farm level interventions. Also, extension activities have not achieved yet a certain threshold of adoption that would involve large land areas.

Data from Abuyog and Sta. Fe pilot sites in Leyte(a total of 3 sample sites) provide insights on the positive effect of interventions on organic matter (from below 1.8 to above 1.8%). Data for Dry Matter content in Leyte was substituted with yield data. Yields increments from 3 sample farms (range of 47-57 % increase).

b) CLDI monitoring system in place (Target indicator iii).
A user-friendly farmer level monitoring system was developed and demonstrated in both sites. However, this method has not been adequately extrapolated yet into an area /landscape-wide monitoring system with adequate technical and organizational protocols for implementation, quality assurance, use of results and other institutional arrangements to ensure credibility and usability of result. But the backbone of such a system (farmer level monitoring system adapted to humid tropical conditions) now exists.

Because the method will give a better picture of LD including its nuances under humid tropical conditions (and further affected by climate change), it can potentially help barangays and LGUs develop more effective SLM plans especially in the era of climate change. But the question is who should do it? Should the MLGU be the default institution? Given the formative stage of the system development, should one also not consider BSWM, DA regional office or PLGU? Whoever will be doing it on the long haul; there is a need for BSWM to continue to lead the piloting until maturation. The Bukidnon PLGU through its BENRO- a traditional watershed advocate and who is developing and financing a network of watershed councils in the province might be a good example of a candidate host.

The farmer-based monitoring can be highly useful to LGUs who perceive a compelling need and who belong to river basins or watershed management programs that put a high premium on more advanced forms of LD information. Potential national/sub national host institutions could follow the: a) river basin programs being assisted by DENR-RBCO; b) watershed programs piloted by NCI using the IEM approach; c) LGUS/ecotown models under the CCC; and d) PLGUS with serious watershed programs like Iloilo and Bukidnon.

A potential challenge is that the UNCCD appear silent to CLDI. In fact, the recent LDN target setting exercise adopted the three indicators suggested by UNCCD. The Project did not have the chance to reconcile the two methods above. Until this is done, the specific BSWM division that serves the soil conservation demonstration functions of the Bureau may not be able to incorporate the CLDI process in their regular LD assessment functions.

c) 100 percent in SLM extension guidance delivered plus best practice. (Target indicator iv)

Successful delivery of guidance depends on the relevance of the technology being promoted; the delivery system for the technology; and presence of enabling support services such as incentives and financing.

- ***First on relevance.*** The best practices that were introduced are considered "out of the box" but highly viable production systems that combine science and local knowledge and addresses real concerns (e.g. labor availability) in modern times. One example is recommending the use of combined harvesters as direct contributors to organic matter build up in the highly mechanizing rice systems in Abuyog. Another is the use of controlled cogon burning in trash lines to improve immediate upland soil fertility in Malaybalay.

  However there still seem to be a missing link. Limited Available documentation indicate that the analysis of the actual farmer situation at baseline year appear inadequate. In Malaybalay, the scope of the PRA tended to study only the issues associated with agri-commodity production and not about the whole agro–forest system in the village. If this was adequately done, information on location specific drivers of LD in different sectors could have been better understood and dealt with while knowledge of existing local good practices could have been built upon, thereby guiding the formulation of relevant technical solutions[12]. Without sufficient understanding of the drivers (and local barriers), the Project and its partners would be unable to effectively manage risk of having none or slow adoption of solutions introduced.

  There seemed limited attention given to the fact the farm is part of wider landscape and of a value chain. For instance, there was limited evidence to indicate that parallel attention was given to essential landscape level actions. Examples would be measures that would make

[12] Knowledge of bioindicators was considered.

single nutrient fertilizers more readily commercially available in Abuyog, or community regulations to control stray animals that destroy seedlings. The Malaybalay community is also largely, a part of an ancestral domain that is already co-opted by the system of herbicide intensive upland corn production. Formulation of the best practice could have probed further on what possible IP and IKSP related concerns can be factored in the technology development.

- ***Second, on Extension delivery*.** The scope of best practice shared also ideally includes the extension system that will facilitate learning and diffusion of recommended technical solutions. While the Project did develop and test a promising farmer to farmer diffusion strategy, this was not discussed with the extension service for further methodological fine-tuning and application during the project period. One notable feature of the initial majority of on farm champions were women (2 Agricultural Technicians in Leyte and 1 female cooperator in Malaybalay.

- ***Third, on Incentive system*** (partly emphasized by Outcome 2 statement and reflected in the output statement on Financing). The PLEA program has high potential due to its mandate to serve the poorest sectors. Its low uptake must have been a function of timing (as it is still in the formative stage). Apart from this, the Project did not however study other pathways that could potentially expand the incentive system for SLM. An opportunity existed that could have been tapped was when the ENRO and CAO of Malaybalay formulated the follow-on program to upscale SLM province wide. This could have been the venue for further exploration of workable incentive systems and how they can be strengthened.

- ***Fourth, on role of women***. The heads of the Malaybalay Agriculture and ENRO offices and the Asst Chiefs of Bukidnon and Leyte Provincial Agriculture Offices respectively were women. The site level focal extension persons in both sites were also women. Finally at the village level the key farmer cooperator/disseminator in Malaybalay was a women leader while two of the 4 cooperators in Abuyog were women farmers, The women thus while played a major role in implementation planning for technologies to be applied (with the inputs of the Project Consultant on SLM) and in the extension functions to disseminate these technologies. The technologies designed in both sites bore strong labor saving features, which is favorable to women (as well as to men). If the PRA was done with strong gender lens, (see discussion on PRA gaps in bullet item1 above) the suite of technology interventions would have included more women oriented practices (e.g. seed keeping, home lot gardens, water harvesting /conservation etc.)

d) Farmer HH adoption (Target indicator v).

Less than 5% of targeted adoption was achieved. LGU personnel and ATI joined the training sessions and observed the best practices demonstration. However, there was lack of venue to jointly assess and reflect on learnings and consider proactive LGU action that would influence diffusion to reach the project targets within the project period with support from an extension delivery system (supposed to be developed with ATI). Thus, the technology diffusion process was largely carried out by limited efforts of farmer cooperators, hand in hand with the individual efforts of assigned agricultural technician of the LGU Agriculture office. The Project co-sponsored two LGU wide seminar workshops that tackled the preparation of the local AFMA and a discussion of SLM practice and tree planting. In the latter part of the project, the ENRO and CAO of Malaybalay on their own jointly developed and were able to secure LGU funding for an SLM program that would build on the SLM learnings. This was partly based on the results of the above workshops as well as on the learnings from the SCoPSA and a joint study with the CMU. To start in 2019, this would cover at least 45 cooperators in 7 MLGUs.

Table 4 below indicates the actual number of adaptors (columns 2 and 3) and the potential number of cooperators (columns 4 and 5). In the case of Malaybalay, the potential adaptors from the above would be realized after the project through the newly launched program.

Table 5: Farmer Adoption Trend.

Site	Original	Secondary	Potential A	Potential B
Camamating, Abuyog	1	1 (FC)	5	NA
Sta. Fe, Leyte	2	1 (AT)	20	NA
Silae	1	9 (FC)		45 (in 44 other brgys.)

- Potential A- identified and personally reached by the cooperator and technician combined during FA meetings and related sessions by other programs (e.g. Rice IPM FFS).
- Potential B- attended the formal upscaling orientation sessions co-sponsored by the LGU.

3.3.3.2 Theory of Change Validation and Augmentation

The identification of two sets of barriers, and the solution pathways as operationalized by the two outcomes are valid in the Philippine setting. The country is rich in ENR-oriented policies and commitments to international standards, but these have yet to be applied in a more operational way to the local land use planning processes and to the agriculture sector. Since land use planning and agricultural extension are largely devolved functions, the focus on the local enabling frameworks (tools, information support, manpower and models) is very valid. However, experience from the project as well as experience of related initiatives indicates that at least three concerns should have been considered in crafting results framework of the project (either as output, outcome indicator or assumption).

- **First, the conduct of CDP should have been treated as outputs (not just outcome indicator) while the development of an SLM promotional strategy should have included as outputs.** Being able to incorporate SLM in the CLUP does not guarantee immediate action on the part of LGUs to implement SLM actions that influence positive behavior of agricultural land users. This is important because the Project has a target HH adoption of 500 plus households. The mandated planning processes require that spatial strategies need to be translated into development plans (with incentive systems) to get things happening on the ground. Having only a set of guides that tells the “dos” and “don’ts” of land use will not work in the development country setting.

  The Comprehensive Development Plans or CDP is the first big step. The Project’s results framework included this (CDP) but it did not merit sufficient attention in project implementation plans. In addition to the CDP, a more proactive move would be to further help the LGUs translate the CDP into an SLM promotional program. Such a program would include an extension strategy a more focused capacity building strategy for LGU agri team and an incentive system that are important to influence SLM oriented behavior.

- **Second, in formulation the ILMF, analysis of drivers (and incentive system) beyond the agriculture and ENR sector deserves attention** this is to complement the analysis of the agriculture sector itself under the ILMF methodology. A good example of an indirect driver of soil erosion is the market driven promotion of herbicide intensive GMO corn in upland areas that are deemed to cause heavy erosion and some biodiversity loss. This is partly driven by the lack of sectoral policy on GMOs by the DA (and the DENR in the case of public lands) in ecologically sensitive areas. In the case of Bukidnon for instance the local policy for DRR has very good intentions but may have unintended adverse effects (e.g. accelerate soil erosion and biodiversity loss). The Provincial Government promotes corn GMO as part of DRR recovery incentive system because of the ease of application of this technology (Bukidnon PLGU, 2019).

  A related assumption that need to made is that the incentive system for SLM at the farmer level. Implementation of SLM particularly in ecologically sensitive areas involves immediate private costs (e.g. reducing farmer's cropland in favor of constructing soil conservation structures) to produce long term social benefits (i.e. improved ecosystems services).The current incentive system for ecologically sound farm level decisions may not be at par with the costs that upland farmers have to bear. Consider also that the scope of incentive system has at least two facets - the actual provision of direct incentives (credit, subsidies etc.) and the removal of some disincentives (less cumbersome process for tree farming; simplifying the certification system for organic agriculture etc. Thus, the agriculture sector should not be the only one to address the incentive system. Other sectors need to pitch in.

- **Third, the role of export-oriented plantations especially in Mindanao should be highlighted as crucial part of the statement of massive threat to land integrity.** It merits attention as an assumed feature in the ILMF formulation process. Interventions need not be only focused on small farmers. This is because there is much happening now(that is driven by expansion of plantation agriculture) in Mindanao that complicates the conventional solutions to LD issues. A case in point is what happened to the "land care" movement in Claveria where large numbers of small hilly land holdings that used to model the application of conservation agriculture have now been rented out to plantation companies and transformed into virtual tobacco, banana and pineapple plantations that are hardly practicing SLM practices (Mercado, 2019).There is a need to also influence the perspective and practices of the plantation sector.[13]

Key Factors that Enabled or Constrained the Attainment of Outcomes

Enabling factors

- **LGU level - Internal motivations and championship**. Aside from being technically appropriate, the chosen LGUs have respectable development administration track records, relevant internal motivations and natural champions. Abuyog is aiming for cityhood and has a forest co-management agreement with DEN. Its MPDC is noted for championing local planning land use innovations and mainstreaming of DRR CCCA. The Assistant PAO of Leyte helped address delays using PLGU resources. Malaybalay collaborates with the PLGU to promote watershed consciousness in the province. The Malaybalay ENRO and CAO collaborate closely with each other. Malaybalay has its own soil analysis laboratory. Both Leyte and Bukidnon (the mother provinces) are large in terms of land area and have relatively proactive Agriculture and ENRO offices interested in upscaling.

[13]In region to (where Malaybaly is located), the Regional office of the Environmental Management Bureau (EMB) came up with guidelines to plantations on the mitigation of soil erosion among others.

- **Women civil servant champions at all levels**. The senior Project focal person, PMO, and a key LGU focal person were women. Championship was reflected in the “extra mile” that the women leaders demonstrated. The Project National Focal person practiced personalized office to office information campaigns within the larger DA institution. The Assistant Head of the Leyte Agriculture office initiated a localized documentation of all key project based information drives. The City Agriculture and City ENRO heads of Malaybalay (both women) collaborated closely todevelop a joint SLM program to expand on the project’s work.
- **Ability to challenge SLM conventions and begin a paradigm shift.** The engagement of a senior soils expert with deep grounding in soil management and technical and governance issues enabled the Project to challenge conventional SLM thinking. It also enabled the generation of more adaptive farmer based SLM strategies for consideration.
- **Open land use planning culture**. The land use expert and the counterpart senior HLURB program office were involved in developing guides for mainstreaming DRR CCA and biodiversity and knew the real opportunities and practical limitations of planners. Vetting the guide among both HLURB and LGU planners and the conduct of field visits was an eyeopener for HLURB planners on the neglect of agriculture and high need for SLM.

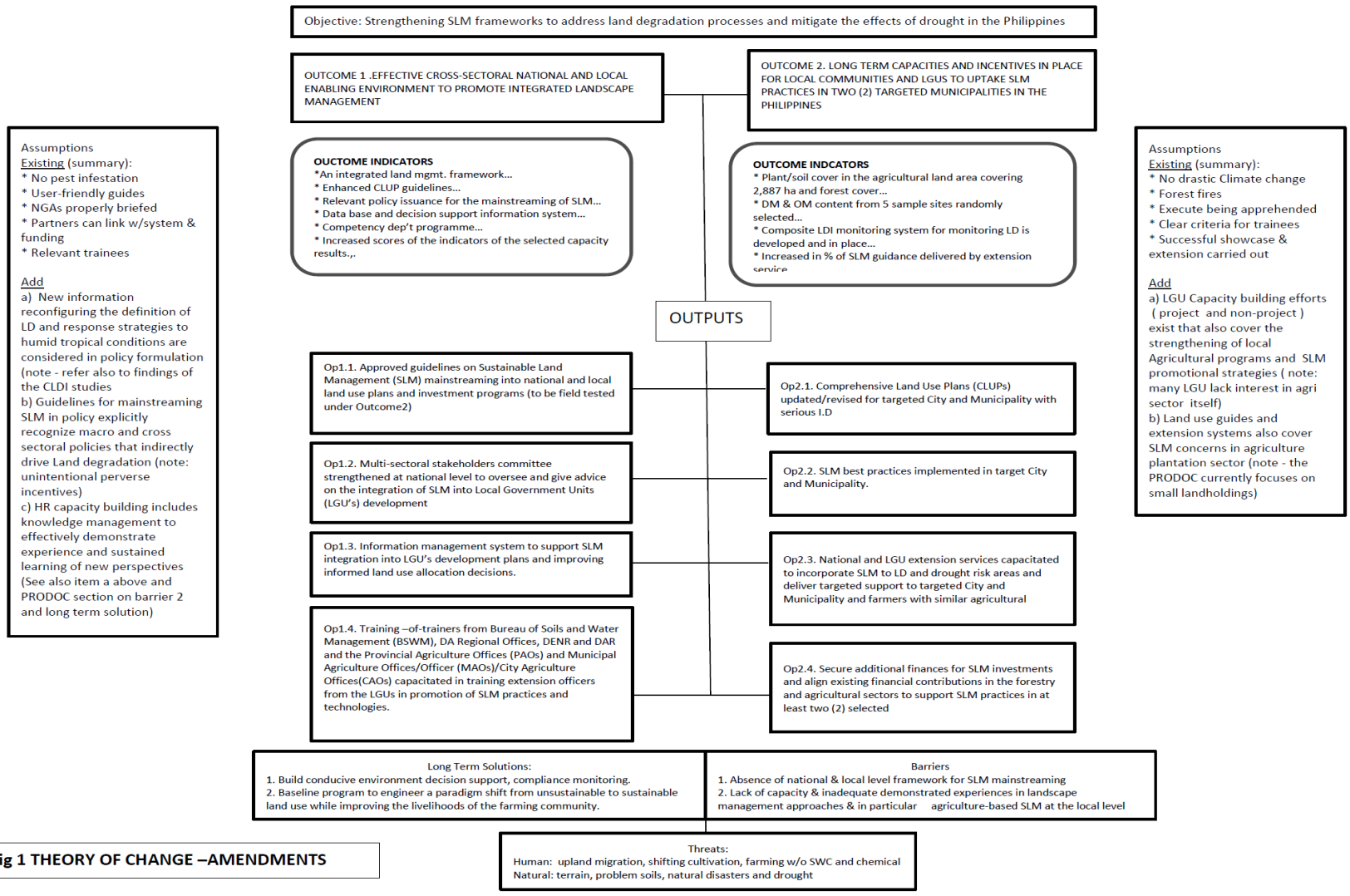

Fig 1 THEORY OF CHANGE –AMENDMENTS

Constraining factors

The main constraining factors involved delays in procurement processes and high turn-over rate among project managers. These are discussed in detail under Efficiency. Other than these, the other programmatic factors include the following:

- **Insufficient guidance from the PRODOC on what enabling cross sectoral framework** means and the failure to define this during implementation start up. The outcome indicators point to important improved forest governance conditions, but output and activity level actions are solely focused only agricultural interventions. Thus, the missed opportunities for DA and DENR to address the grey areas of collaboration for upland agriculture in forest lands (predominant presence of soil erosion hotspots) and pilot the same on the ground.
- **Assumption that the work on LD monitoring/CLDI determination was the main precursor for all the other result areas.** The workplans assumed that most result areas depended on this. While this would have been an ideal situation, adaptations could have been made for coordinated and simultaneous actions such as identification, promotion and adaptation of existing best practices while waiting for the development of more fine-tuned practices (this is discussed more under Efficiency).
- **Lack of coordinated attention to both ATI and LGU role**s related to achieving physical targets in HH adoption. The LGU capacity building support was limited to the ILMF preparation (SLM-CLUP) process. At the same time, the Project had large HH adoption targets during the same project period which could only be made possible if the LGU launched an SLM promotional strategy (ideally with Project assistance), which in turn was partly dependent on the development of extension modules by ATI. Support for LGU on agri–SLM promotional strategy (beyond ILMF preparation) was not part of the design while substantive engagement with ATI only came at the concluding months of the project.
- **Absence of a KM and development communication strategy** prevented effective linkage between the various knowledge generating interventions to ensure optimum support to capacity building over a limited project period involving different levels of actors (professionals, farmers, etc.). At the same time, the absence of good development communication support prevented the timely and effective translation of dynamic scientific knowledge emanating from the LD monitoring/CLDI process into concrete step by step recommendations to LGU decision makers and extension planners.
- **Lack of more focused strategy to motivate, capacitate and mobilize HR at the DA regional office** and be both an active learner and contributor during the project period to ensure sustainability.

3.3.3.3 Risks and Risk Management

Based on the literature review and interviews conducted, all the risks, with the exception of climate change, did not materialize or were minimal in nature. In fact, the above risks were no longer reported in the annual reporting. Of the risks reported during the annual reporting, all risks happened except for the effects of Mindanao martial law on project's planned activities which was not perceived to have materialized. The PIR did not consider the risks as critical.

There were implementation constraints that were not officially anticipated (as risks) during PRODOC or during implementation. These included: a) delays in procurement of project inputs; b) delayed action on policy recommendations; and c) slow adoption by farmers of vetted best practices (beyond the risk of non-participation in demonstration as cited in PRODOC). In the case of slow adoption, it could be due for instance to the presence of competing opportunities from other government projects, and inability to offer technology solutions that overcome perceived opportunity costs (e.g. it is difficult to offer SLM technology solutions that can compete with

subsidies for production of herbicide dependent, low labor, corn production, as part of disaster recovery program of PLGU Bukidnon).

It is interesting to note that the above are recurrent issues in many foreign assisted rural development/NRM projects and yet were not addressed as risk factors. For instance, it is common knowledge that for many development projects, year 1 is usually used up to trouble shoot administrative issues, reducing the number of years for actual on the ground implementation.

During implementation, real concerns such as delays in the development of extension modules/ programs that would "bridge" the results of demonstration farms to actual farmer adoption of recommendations were treated as implementation issues to be addressed through "catch up plans", but the risks that they implied (i.e. slow adoption) were not recognized. Slow adoption minimized the ability of the project to become a convincing working model of the SLM mainstreaming process as contemplated in the PRODOC. By not labeling such concerns as risks early on, the issue did not have the effect of a "red flag" on the Project Board so that timely adaptive and strategic actions could be taken.

The SESP identified that the rights and perspectives of indigenous peoples might not factored in interventions during implementation. Majority of villagers in Silae including the village leadership, were IP. There was no key concern raised on IP perspectives being left out in the design of project activities. This is partly explained by the fact that most villagers have adopted many lowlander farming values and practices. On face value then, the low scores (in the design document) for probability and impact were probably right. However Issues and opportunities related to IP experience many not have been probed with due diligence due to the low scores assigned during project preparation. The conduct of PRAs for instance did not adequately probe into the level of remaining IKSP in the community and the opportunities that it could offer to promote, not only agricultural lands sustainability, but also of forestry restoration opportunities (cross sector) within the prevailing agro ecosystems. Preparation.

3.3.4 Efficiency

The overall progress of the BSWM's performance as implementing agency (e.g. adaptive management, stakeholder engagement mechanisms, communication etc.) is described under section 3.2.1 (Adaptive Management) 3.2.5(UNDP and Implementing Partner issues) and 3.3.3.(Risks and Risk Management). These cited sections indicate that there was insufficient action to identify and act on a potential threat of non-attainment of several major targets due to gaps in the design as well as implementation planning (i.e. perceived dependency of some activities ona particular predecessor activity that took substantial time to be done).

Adaptive actions involving project design modifications could have been proposed. An example was to work with the LGU and community to identify interim technologies to be promoted (including those existing on site and those promoted by local SUCs and Phil CAT) while waiting for the location specific recommendations from the on farm participatory research led by the SLM specialist. Less complex, interim, extension modalities other than the FFS could also have been considered and household adaptor targets rationalized and eventually reduced[14]. This adaptive process could have also guided an LGU (Malaybalay) in the design of their own SLM programs at the tail end of the project.

[14] The SLM specialist explored the possibility of strengthening the farmer to farmer extension modality but there was limited discussion to have this adopted at the LGU level. Other farmer to farmer-based extension modalities could also have been considered.

The development of the LGU information management system, as well as the CLDI monitoring system on the other hand could have been started earlier, using interim measures as specified in existing CLDI protocols. New information from the study on seasonality of LD could have been incorporated later). The project could also have started early on the other half of the information system as contemplated by the PRODOC. This which was the development of a complementary platform for LGU access to information on SLM best practices.

The financial management aspects of its project management responsibilities are discussed in section 3.2.3 above. The disbursement rate is at 85 percent as of June 2019. However, several deliverables are still a work in progress such as those of sectoral policy, information system for decision support, LDI monitoring system, and the extension modules (see section on Effectiveness).

The Project's efforts to be efficient in resource use had mixed results and three cases are cited below.Case 3 below is an example of good project efficiency in funds leveraging while case 1 and 2 may are not very efficient modalities.

- **Case 1**. These learning events usually involved substantial numbers of different levels of participants over several days billeted in a hotel located in the regional center. Also, in 2019, the project conducted major orientation seminars for LGUS and farmers in outreach barangays and LGUs. The possible upside of this modality is that it enabled the project to reach out too many stakeholders in one occasion, to take advantage of the limited availability of experts; while the hotel costs are usually competitive[15]. The possible downside is the doubtful effectiveness of such modalities in personal learning processes, particularly on the part of farmers given the varying socio-cultural environments where participants come from.
- **Case 2**. The project had limited physical presence at the LGU level and relied heavily on relatively young contracted project staff to represent the project for most of the time. It was not able to adequately mobilize the complementary inputs of more senior staff of the DA regional office or of the BSWM research center (Northern Mindanao) whose local networks would have enabled them to interact more closely with LGUs, SUCs and other projects in the area and open more avenues for partnerships.
- **Case 3**. The city of Malaybalay proposed co-funding from the Project to support two major workshops. The first is to help the City Agriculture Office (CAO) convene and help city barangays develop their Local AFMP. Second was to convene barangays to discuss the city plans for upland agriculture and the role of SLM. The first exercise resulted into Barangay AMFPs with SLM concerns embedded on them. This will be the basis for long term programming and budgeting by the city with the possibility of leveraging national DA counterpart support. The second event helped pave the way for joint decision of the CAO and ENRO to develop and launch a joint SLM-oriented upland agriculture upscaling program using funds from the DRRM Fund of the LGU amounting to approximately Php1.8 million per year for an initial three years[16].

In addition to case 3, the LGUs provided office space and the time and effort of their regular extension and planning staff. The project was able to avail of local expertise in land use planning as well as in the conduct of on farm testing of participatory LD monitoring methods and technologies for adoption and adaptation. However Collaborative partnerships with the State.

[15] During the same period, there was limited progress on the development of extension modules.
[16] The content of the LGU program documents indicate a strong SLM orientation. It could stand further improvement if SLM Project experts had the chance to review them and provide further suggestions. This was not enough opportunity provided, to do this during the project.

Universities and Colleges did not materialize. (Note- figures on co financing from partners still are still under final review).

3.3.5 Country Ownership

The Project has high country ownership. The original concept came from the DA-BSWM which wanted to address LD through integrated landscape orientation. The advocacy for SLM is embedded in the NAP DLDD (BSWM is the focal point) and in the Soil and Water Research Road Map. The DA USEC for Operations chairs the Steering Committee. The SPCMAD regularly collects output information from the project for inclusion in regular reporting to the management committee composed or Regional Field Directors. Project results are also reported to the Planning and Development Service (PDS) which provides guidance and clearance to all project preparation processes within the DA system.

SLM will soon be embedded in the HLURB guidelines for CLUP. The FMB on the other hand is in the process of embedding SLM in the FLUP process. At the LGU level, the pilot LGUs will officially embed SLM in their CLUPs. In Malaybalay, the LGU has embedded SLM in the local AFMP. The Abuyog LGU plans to commit funds under the CDP for the next nine-year period (period of their new CDP) while Malaybalay LGU committed Php1.8 million annually for their newly launched project on upscaling SLM. The business sector was not engaged in this project.

3.3.6 Mainstreaming

The project contributes directly to four of six global UNDP's signature solutions that address poverty (particularly among small holder farmers); improve governance (particularly at local level); and improve resilience (reducing vulnerability to seasonal land degradation and helping prevent landslides) and environment (preventing land degradation). The signature solution on gender is addressed indirectly by ensuring that all activities are gender sensitive. In the Philippine setting, the project supports the newly launched Partnership Framework for Sustainable Development (2019-2023) which redefines the scope of partnership from assistance to partnership.

The results of actions involving gender related contributions are described in Section 3.3.3.1 (Achievement of Outputs and Outcomes – topic on SLM extension guidance; and Sect 3.3.3.2 (Factors that enabled and constrained the attainment of outcomes). These results clearly helped advance the project's outcomes that sought to establish enabling frameworks for agricultural land use planning, and institutional capacities for both national agencies and local government. The gender related contributions are of both short and long term value. Immediate/short term benefits were gained when women leaders accelerate delivery of project services during the project and contingency measures for implementation challenges. They also provided long term benefits from the contribution of women to broaden the coverage of the SLM interventions over a broader range of municipalities. There is no identified potential negative impact on gender equality and women's empowerment that can be identified at the moment.

3.3.7 Sustainability

Financial sustainability

The cost to government will be in the form of increased provision of information support, training and technical assistance and extension support for the SLM oriented practices at the LGU and at the farmer levels. These can all be budgeted following the official budget calendar cycle. The

conduct of the ENRA ARA helped the LGUs realize the full potential of agriculture in their area and will help justify increased local budget allocations. During the project period, the pilots LGUs have demonstrated ability to mobilize resources for innovative projects. The Abuyog LGU is including SLM investment program in the updating process of the CDP (approximately Php 2- 3 million per year for the next nine years as proposed by the MPDC). The Malaybalay LGU on the other hand launched an SLM upscaling program to cover 45 more farmer demonstration. The initial outlay is Php1.8 million for year 1. Drawn out from its DRR Funds (as a preventive measure against landslides).

Incremental national level funding especially from the DA is not yet fully assured because SLM has yet to be incorporated in updating the agency policy direction i.e. AFMP (see discussion on Outcome 1 indicator (i) under Effectiveness). However, as a result of the recent national decision liberalizing rice importation through rice tariffication, a Rice Competitiveness Enhancement Fund (RCEF) has been put up to provide technical, market and infrastructure safety net support of Php 10 billion per year for small rice farmers nationwide. This fund can be tapped as financial resource if appropriate SLM oriented proposals can be submitted to and approved by the DA who is the administrator of such Fund. The new Secretary has a high regard for soil sustainability issues. Financial sustainability at both DA and LGUs is likely.

Economic sustainability.

The perceived economic viability of recommended technologies particularly by upland farmers' perspective is shaped by at least three key factors. First is the perceived high cost of labor during the gestation period for SLM interventions (e.g. for the perennial crops, short term annual intercrops, and biological soil conservation structures). Second is access to market ofagro forestry products. Third and especially in Mindanao are presence of alternative economic choices such as renting farmlands to agribusiness plantations, or planting herbicide intensive GMO corn that requires little labor. In some cases, farmers are discouraged by lack of post planting extension support for perennial crops and the difficulty of obtaining permits for utilizing privately planted forest trees species for wood.

Given the above uncertainties, clearly there is a need to partly subsidize the above costs for farmer adoption to happen and enable income increases while mitigating environmental degradation. This is highly justified from the perspective of PES[17]. The newly launched Malaybalay program to upscale SLM across all barangays seeks to partially subsidize the cost of technology adoption by pioneers in each village. However, there is no expectation that it will also provide the same level of support to all adaptors. Plans to help farmers avail of the DA PLEA program for micro financing was not sustained but it remains potential once field level support systems are established.

Without considerable subsidy provisions in sight, and considering that there are no planned mitigation of alternative agricultural land use choices (renting land to plantations, or adopting herbicide intensive GMO corn)[18], the adoption of recommended SLM technologies in Malaybalay may be limited only to those who can afford the investment costs. It could bypass the poorer segments in the farm community. This will partially hinder the attainment of critical mass of adaptors which is needed to overturn the usual tide of resistance to innovations. *Economic sustainability is only moderately likely in Bukidnon site and moderately likely in Leyte.*

[17] The PLGU plans of institutionalize the practice of PES in the next few years- something for the project anticipate
[18] The PLGU of Bukidnon partially subsidizes the use of herbicide intensive GMO corn production in the hilly lands as part of a rapid recovery program from disasters (DRR/CCA program).

Institutional Sustainability

The institutional sustainability will differ on the type of practice as well as agency. The discussion starts with the line agencies and proceeds to LGU level sustainability. The project facilitated sustainability planning among the key partner agencies, the sustainability plans were discussed in detail in 2018 Board meeting. They were fine-tuned and discussed again in the final 2019 Board meeting presided by the USEC for Operations. The senior members of the Secretary's (inner) Technical Advisory Group as well as Chief of Staff attended the board meeting to further understand the project recommendationsas input to forward planning under the new DA leadership. The following are agency specific situation:

HLURB. There is high interest in HLURB in institutionalizing the ILMF tool for mainstreaming SLM in CLUP. The HLURB is about to approve the guidelines for SLM in CLUP. The senior technical leadership expresses particular interest for HLURB to invest more time and attention to improvements in regional planning as its previous efforts was mostly focused on urban land use. The ecosystem support services coming from the countryside (water, food, flood control etc.) are important for urban maintenance and resilience. In the past five years it has worked with the CCC and the DENR institute the mainstreaming of CCA/DRR and Biodiversity concerns in CLUP preparation protocols. The upcoming reorganization within the HLURB includes plans to strengthen technical specialization of staff. This means that some planning specialists will specialize on regional planning (i.e. involving BD, FLUP, and SLM). HLURB shared its sustainability plans to the PRODOC Board in early 2019. The plan involves a 3-stage process consisting of advocacy and technical planning assistance for LGUs and partnership building with technical agencies. Plans for 2020 include the development of a training syllabus and actual conduct of regional trainings. *HLURB: likely*.

DENR FMB. The FMB is particularly interested in incorporating SLM in FLUP processes, among the many item proposed in the proposed actions for PMPCRFD. FLUP is the DENR's main platform for collaborative planning with LGUs on the forestry sector. The CBFM program is also a keen to tap.

- ***FLUP.*** The FMB technical Bulletin No. 2 is currently undergoing review to identify entry points where SLM features can be incorporated. The FMB's sustainability plan includes the conduct of SLM orientation first for FMB personnel, and subsequently for its regional offices. BSWM personnel will be asked to serve as resource persons[19]. There is expected overlap between the FLUP and ILMF in terms of spatial coverage. Theoretically, the interest of ILMF is all kinds of farming in the municipality that contribute to LD regardless of whether these are in forest or A & D lands. The interest of the DENR is to stabilize upland farming that occurs in legally classified forest lands. The spatial overlap can be the same platform for synergy provided that both the DENR-FMB and DA-BSWM work out the site-specific collaboration mechanism with the LGU in the driver seat.

- ***CBFM.*** More recent discussions indicated follow-on FMB plans to introduce SLM innovations in the CBFM program (under FMB), partly to address the recommendations from the mid-term strategic review of the CBFM program. This is because practically all CBFM communities supported by the DENR have fairly substantive components involving the stabilization of upland agriculture activities of CBFM participants. The CBFM program also cited a recently approved ASEAN program to promote agro forestry protocols in the ASEAN member states. The project-generated information about the nature of land

[19] It has not identified other offices of the DA that may be equally important for SLM in agricultural activities in forest lands. An example is the BPI which has the expertise in perennial tree crops or BAI on livestock management.

degradation in the humid tropics will help fine-tune the said ASEAN standards. The Philippines is considered a leader in CBFM in ASEAN and is particularly interested to accelerate its program strategies for the agro forestry/upland agriculture component of CBFM plans on the ground.

The thrust to use the FLUP and CBFM as SLM's initial entry points in the SLM in PMPCRFD framework would be a potentially powerful process. The FLUP process is also mandated by the HLURB planning guidelines and can be co-advocated by HLURB. The DENR partially finances FLUP preparation. SLM-oriented innovations will be implemented by the equivalent FLUP and CBFM organic offices within the regional offices. Plans for introducing innovations in CBFM will be vetted with local CBFM networks facilitated by the DENR in earlier years.

FMB: likely.

BSWM and DA. The BSWM has identified broad arenas of work to sustain project innovations. The major actions include the turn-over of guidelines and tools for SLM in CLUP to HLURB; continuing work on the institutionalization of CLDI methodology and updating of the GDB schema; and fine-tuning of SLM training manual. A good number of senior and middle level career technical staff of BSWM have attended the SLM Projects learning events and are now familiar with the concepts and practices to operate the various analytical and planning tools. However, the application of these acquired competencies require policy clarification within BSWM and with the Operations Sector of the DA (under the USec. for Operations) on intra-office and inter-office responsibilities (e.g. how will the work on sustainability will be allocated to the different offices and personnel among the BSWM and the DA regional offices). The BSWM Focal Person for SLM who holds a senior regular position has made a clear articulation of technical human resource capacity targets in each of the program offices within the BSWM who are expected to sustain the process.

- ***CLDI.*** As the BSWM gears up to roll out the CLDI method, its conceptual link to the NAP, DLDD, and LDN still needs to be resolved. This is because the UNCCD in its LDN program uses another set of monitoring indicator (land cover change, net primary product or NPP and soil organic carbon). The LDN methodology is silent about any role of CLDI. As part of its commitment to UNCCD, the government will be using the LDN indicators and will receive continuing scientific support for this from the LDN global scientific platform. The CLDI does not have the same global technical support to help address future problems in its implementation. One possibility as implied by the SCMD to regard the CLDI system as a reference cross check system at the farm level[20].
- ***ILMF.*** While the HLRUB has demonstrated ownership of the process, continuing technical consultation between it and the BSWM will be needed particularly in sourcing the mapping information. In this context, the interphase between the ILMF protocol and the current protocol for NPAAD and SAFDZ need to clarify. This is articulated in the BSWM sustainability plan.
- ***Info system and Best Practices.*** Except for updating the GDB schema, sustainability plan is not yet very clear about plans to establish the information system as envisioned in the PRODOC (LD trends and SLM best practices in one platform). With respect to continuing work on best practices (PRODOC output 2.2), the plan approaches this in terms of "CLDI monitoring" giving the impression that the only best practice to be promoted would be about the farmer-based monitoring system and not about mitigating measures versus LD. Interaction with the SCMD however indicates the high interest to promote the two

[20] CLDI can also be applied at the landscape level.

technical strategies proposed. This will be included in the upcoming National Soil Conservation Roadmap as well as studied and documented further to be part of the PhilCAT best practices platform following documentation protocols proposed by WOCAT.

- ***Extension system.*** The ATI in consultation with BSWM has shared a sustainability plan that would provide for the integration of SLM in the FFS modules for rice and corn as well as appropriate stand-alone extension modules. The process will involve several interphase workshops with the Project experts starting in 2019; pre-testing in 2020; and the issuance of an Administrative Order by the 2nd half of 2022 mandating the use of the FFS modules. Regional ATIs have the capacity also to stand ready to contribute to the process to ensure the modules are engendered at the regional context. The two-year horizon is partly based on the fact that GOP resources have to be generated to support the process as project resources for this purpose are no longer available.
- ***New thinking in LD and SLM and CCA (DACentral) –***The new Secretary of Agriculture has a strong science orientation. He was former DA Secretary and former head of the CGIAR led International Center for Research in Semi-Arid Tropics (ICRISAT) He is advocating for a "New Thinking (e.g. more science based) in Agriculture" and has included SLM and soil health in the programmatic review of the current Climate change adaptation program. The project, though the SLM consultant has been asked to provide the technical inputs to the discussions of the Secretary's inner Technical Advisory Group. This is being used for the review of an amendment of DAs flagship programs for the remaining of the medium-term development plan (2022).

  DA-BSWM: Moderately likely (for protocols establishment).For DA as a whole sustainability will be likely (for prioritizing SLM in the longer-term agenda)

LGU level. Pilot LGUs through the planning and coordination offices have focal persons for continuing intra LGU discussion of the ILMF and eventual use during the CLUP midterm updating between the years of 2020 to 2022. The MPDC anticipates CLUP approval and thus have proactively included SLM measures in the new CDP.

- ***Abuyog.*** In addition to the LGU actions for financing described under the section on Financial Sustainability, the planning officer sees a potential to support expanded SLM with support from funding from the LCCAP using expected funding from the PSF. The Abuyog situation is such that the planning officer is aggressively incorporating SLM concepts in investment plans but the findings and recommendations from the demonstration site have yet to be discussed in the MAO office as a major input to an SLM-friendly agriculture program.

  The PLGU PAO expects to continue in assisting role on SLM for the LGUS. On its own, it compiled the various guidance and reports generated by the project to the LGU. The PAO is also the focal point of a Leyte wide livelihood oriented (MICS) project. It utilized this project to support the original demonstration village (Tadoc) to serve as buffer for the transfer of the SLM project's demo farm to another barangay (Camanmating). It plans to promote SLM-oriented soil fertility measure in its project barangays. It co- hosted a recent workshop among different municipal agriculture officers to be exposed to the finding and recommendations of the SLM project. The PAO has the largest budget of the PLGU and has 40 trained technicians including two focal persons on soils management. The PAO is a clear SLM champion, *Abuyog: moderately likely; Leyte: PLGU: Likely.*

- ***In Malaybalay.*** LGU prepared the AFMP for each barangay and included SLM concerns in the barangay AFMP. The ENRO and CAO launched a joint program to upscale the

piloting work done so far on soil conservation to cover 45 more demonstration farms. The city has a soil laboratory unit. Both the city and provincial LGUs have upcoming ordinances to regulate upland agriculture activities beyond 12% slope. The province is also keen to support the establishment of local watersheds program where SLM can be incorporated. It is piloting the modality of payment for environmental services (PES) and would like to expand its coverage to cover more watersheds. *Malaybalay: likely*.*Bukidnon P/LGU: Likely*

Environmental Sustainability

The technologies being promoted are ecologically sound. In Malaybalay, this involve the promotion of a step wise approach to introduce soil conservation and agroforestry which, when adopted on a wide scale can help farmers veer away from the technology that requires application of herbicide intensive corn production in Malaybalay. The technology involves controlled burning of cogon (*imperatacylindrica*) along contour lines in order to hasten the availability of carbon to enhance organic matter content and make it more immediately available to farmers. Without this technology, the usual practice is to subject the land to fallow after a few years and then burn larger areas (former cropland now/fallowed fields to resume corn production). Accordingly, the contribution to carbon emission from the micro scale burning is minimal and can be compensated by the establishment of agroforestry which can help sequester carbon on a long-term basis. The approach has been peer reviewed and accepted because it is an important tactical step that enables farmers to shift to agroforestry at a faster rate.

In Abuyog, Leyte the technology involving adaptive balanced fertilization is expected to lessen the number of bags of fertilizer needed by 1 to 2 bags because the farmer will not be very selective in applying fertilizer including choosing the right kind of fertilizer. The use of mechanical harvester (rental) which is being supported by both the DA and the LGU enables farmers to chop the rice stalks into smaller pieces and be incorporated in the soil without demanding too much labor inputs. *Environment: likely*.

3.3.8 Impact

Impact criteria calls for availability of verifiable improvements in ecological status, and reductions in stress on ecological systems. It also looks at specified process indicators towards achievements of stress reduction e.g. regulatory and policy challenges at national and local level (GEF-UNDP Guidelines).

Current project data shows improvements at the demonstration farm level through surrogate indicators such as organic matter content and dry matter content, but this is still at the demonstration farm level. This represents potential improvements in the agricultural landscape depending on presence of enabling conditions. No baseline or end of project information on rate of forest loss(as stipulated by the PRODOC) is available to make a holistic determination if ecological improvements are likely to happen.

The presence of a regulatory national framework and an enforceable local regulatory framework plus promotional program would make the above transformation more likely. Currently, the national draft rules for mainstreaming SLM in guidelines in CLUP will likely be in place soon. At the local level, the ILMFs that guide the actual mainstreaming of SLM in the CLUP have been adopted. LGUs have launched promotional programs for upscaling SLM in Malaybalay, while in Abuyog, SLM is being embedded in the CDP with substantial proposed budgets.

4 CONCLUSIONS, RECOMMENDATIONS & LESSONS LEARNED

4.1.Conclusions

The Project was able to catalyze a major part of the needed information, rules, tools, champions and models that can substantially initiate the "engineering of a paradigm change "as envisioned by the long-term solution of the project (PRODOC, page 16). A very key policy related gain is the information articulation (supported by field evidence) of the true nature of LD in the humid tropics. This is now being reviewed and discussed in detail by the newly appointed leadership of the DA as it strengthens the agency's climate change adaption program that includes emphasis on soil health. Another equally important gain is the set of *rules and associated tools* for integrating SLM in the CLUP which has been technically reviewed and is ready for official adoption by the HLURB Board. A key forestry sector decision was also reached to adopt SLM principles and practices in the Forest Land Use planning process espoused by the DENR.

Innovative on farm technology recommendations were demonstrated addressing humid tropical LD that emphasizes farmer adaptation rather than simple adoption of SLM. Important SLM *modeling* work was started in two LGUs. A higher form of outcome was achieved in terms of the move of Malaybalay City to include SLM in the local AFMP and launch an upscaling program, and the proactive move of the municipality of Abuyog to include the SLM in its CDP.

On the other hand, there are important result areas that are still work in progress. The first is the need to complete the incorporation of SLM in the overall agriculture sectoral policy (AFMP) which would have a bearing on incremental for financing SLM. The second is the need to complete the information system to support local government decision support system that facilitates CLUP preparation with SLM factored in it. This is important for out scaling work to help enforce the guidelines for SLM in CLUP. The third is the need for development of an FFS - oriented agricultural extension module that would serve as the on-the-ground delivery mechanism for farm technical solutions. The low adoption rate would seem to reflect both the effect of shortcomings in the project design (i.e. unrealistic HH targets to begin with, and gaps in the designed interventions) and in implementation (i.e. such as the limited work on extension systems).

Overall, the Project as designed is highly relevant to national, local and international needs. Certain design challenges exist but these are not sufficient to compromise its relevance. Given limitations in project timeframe and in project *efficiency,* major outcome indicators were still achieved (reflected in *effectiveness*), A higher form of outcome was achieved in terms of the move of Malaybalay to include SLM in the local AFMP and launch an upscaling program, and the proactive move of Abuyog LGU to include the SLM in its CDP.

We recall one of the key barriers to SLM is the "inadequate demonstrated experience in landscape management approaches (PRODOC page 18) and the long-term solution envisioned by the Project (baseline program to engineer a paradigm shift (PRODOC page 18). While new "rules and tools" are increasingly guiding decision making at the local level, local decision makers will need to see evidence that the idea of mainstreaming SLM in the local planning process is a worthwhile investment.

Although highly likely, the actual incorporation of SLM in the CLUP will only occur in the next two years (following the legal calendar). There are still a few loose ends in the completion of ILMF while the concurrently low number of adaptors of the recommended technologies does not yet constitute a convincing local experience that can be emulated by other LGUs. It is therefore very important that the Project stakeholders consider consolidating the piloting work in the two LGUs

at least in the next two years, as a key investment to promote a paradigm shift, along with the promulgation of enabling policies. At the same time, there is a need to make sure that operating systems particularly at the BSWM are completed, to help LGUs with SLM mainstreaming. This would be critically needed once more LGUs will appreciate the results of the demonstrated experience, receive guidance on how to do it, and will want to replicate what Abuyog and Malaybalay did.

Evaluation Rating	
1. Monitoring and Evaluation:	**Rating**
MLMS rMS M&E design at entry	MS
M&E Plan implementation	MS
Overall quality of M&E	MS
2. IA& EA Execution	
Implementing Agency execution (UNDP	S
Executing Agency execution (DA BSWM)	MS
Overall quality of project implementation / execution	MS
3. Assessment of Outcomes:	
Relevance	R
Effectiveness	S
Efficiency	MS
Overall quality of project outcomes	MS
4. Sustainability:	
Financial resources	L
Socio-economic	ML
Institutional framework and governance	L
Environmental	L
Overall likelihood for Sustainability	L
5. Impact:	
Environmental status improvement	M
Environmental stress reduction	M
Progress towards stress/status change	S
OVERALL PROJECT RESULTS	S

Legend(see Annex 1 for full index):

M: Minimal (at point of time)
MS: Moderately satisfactory
ML: Moderately likely
L: Likely
S: Significant
R: Relevant

4.2 Recommendations

The following are recommended items for consideration in eh preparation and fine tuning of the Project's sustainability planning process.

1. **Consolidate the Models for Best Practice.** BSWM and other agency partners to consolidate the support the piloting actions started in the LGU pilots in the next two-year period. This would consist of activities that would help trained LGU staff to better apply SLM learnings in relevant LGU processes that will establish the foundations for SLM. At the same time, this will help in making the two pilot LGUs become more convincing Philippine models of mainstreaming of SLM in local governance. Two years represent the period when legally

binding CLUP updating will actually be conducted. It is also a period to generate additional field experience that can be documented as best practice case studies to support subsequent promotional programs.

To start the consolidation process, it is recommended that BSWM and consultants to jointly conduct a one day consolidation meeting with each LGU (MPDC, MAO, ENRO and PLGU counterparts and the regional DA and ATI) before the end of project to recapitulate the Project recommendations that can be included in the content of the ILMF, CLUP and CDP, and firm up lines of communication for sustained partnership. This meet up will also better define the needed technical support from BSWM and partners, using regular agency resources. Among the items for discussion and agreement would be:

a) **Recap of expert recommendations**. These would particularly include findings on the inherent soil related issues and expert recommendations that were shared spontaneously and intermittently by the SLM specialist earlier. Facilitate reflection and internalization of issues and solution pathways. These recommendations would be directed at the CLUP, CDP or special programs that the LGU is contemplating such as the Malaybalay SLM upscaling program.

b) **Complete the ILMF, NPAAD SAFDZ and CLUP processes.** Based on the above consultations, clarify and address the residual mapping and other technical needs of the LGUs concerned to complete the ILMF. Under the recently launched updating program, prioritize the upgrading of the NPAAD and SAFDZ in these two LGUS and reconcile with the ILMF in the process. Reflect the ILMF recommendations in the NPAAD and SAFDZ process. As needed, provide on call assistance to the LGU in the actual incorporation to the CLUP during the latter's updating period.

c) **PLGU role** The recommendations will also discuss on how to more effectively tap important PLGU programs that currently support the city/municipal initiatives. Of particular significance is to deepen the interaction with the ongoing Livelihood assistance program of the Leyte Provincial Agriculture Office (PAO); and relevant programs of Bukidnon PLGU (e.g. PENRO initiative to support local level watershed planning and expand pilots on Payment for Environment Services; and PAO program for upland agriculture.

d) **Role of the private sector in the ILMF.** As additional part of the ILMF, consider the formulation of recommendations to factor the role of agro-industrial plantations. The recommendations may include the identification of decision frameworks that can be used so that plantation operations are biodiversity and soil conservation friendly among others. Such decision frameworks may cite the need to for collaborative work between the DA regional offices (e.g. GAP certification) and DENR and EMB regional offices (conduct of IEE and EIA processes and preparation of Environmental Management Plans).[21]

e) **Identify/launch the interim extension approach**. Identify and agree on an interim extension design that will help the LGU MAO disseminate the results of the demonstration trials among farmers pending the development of the formal FFS module by ATI (not expected until 2022). This may involve the use of other modalities other than FFS (e.g. farmer to farmer, learning site, etc.). Identify LGU, RFO, regional ATI resources and State University and College for Agriculture (SUC) for farmers training and extension that can

[21]This action may build on the current initiative of the DENR EMB Regional Office in Region 10 which has advocated for the application of sound agri land use practice by plantations.

be mobilized for this purpose. Learn from the experience of ATs and cooperators who were involved in the earlier demonstrations with the help of the SLM expert. Develop IEC materials (posters, etc.) to help in the diffusion process.

f) **Documentation of key local governance process flow incorporating SLM.** On the 2nd year, the BSWM, DA SPCMAD, HLURB and the DILG to collaborate to document the experience of Malaybalay and Abuyog about the decision making, planning and action stage of the LGU in partnership with line agencies and the actual early outcome and lessons learned. This can be used by both the HLURB and the DILG(including its Local Government Academy) in their training programs for LGUs. The experience can also help inform specific existing or potential policy instruments (e.g. guidelines for ILMF and CLUP preparation; Guidelines for Biodiversity friendly agriculture; or inclusion of SLM as part of the criteria for the recognition systems for good governance).

2. Maximize Project Learnings to Strengthen BSWM's Capacity to Support Outscaling and Upscaling. Facilitate internal discussions within and among key BSWM program offices/divisions to systematically incorporate innovative analytical and planning tools that have been piloted under the SLM project into the Bureau's operating procedures for its regular services covering land degradation assessment, agricultural land use planning/zoning and extension and research on soil conservation measures. This is to ensure improved capacity to meet expected increase in demand for replication of SLM experience in other LGUs i.e. conduct of land degradation assessment using CLDI, preparation of ILMF, and promoting best practice to mitigate the degradation. With the systems in place, the previously trained BSWM staff can then apply their learnings (trainings and hands-on experience) from the SLM project to run the operating systems and deliver services to a greater number of LGUs. Specified actions may include:

a) **Land degradation assessment and monitoring and the role of CLDI**. Certain residual methodological issues need to be resolved before its practice will be reflected as a future organic service of BSWM.
   - As focal point for UNCCD, the BSWM needs to make a determination on how CLDI would fit into the overall scheme of LD LDN program to which the Philippines has already committed to implement. Under LDN, the monitoring parameters are different(LC, NPP and SOC). Since UNCCD has not adopted the CLDI, the other consideration is the absence of a global scientific platform that would support future trouble shooting needs or further development of CLDI.
   - If the two indicator systems can be reconciled, will there be sufficient benefit to justify allocation of resources to unify the two systems? If the unified schema is developed, how will tasks be allocated among the different offices of BSWM as well as the DA regional offices?

b) **The role of ILMF in NPAS and SAFDZ**. The piloting work for ILMF in the two LGUs was a comprehensive process that covered part of the information needed for the conduct of NPAAD and SAFDZ processes. The ILMF represents the backbone of the forthcoming supplemental guidelines for mainstreaming SLM in CLUP. Key questions for consideration are:
   - How will the current related services of the BSWM be configured to provide the technical support to LGUs who will want to undertake ILMF process?

- As the ILMF has built analysis that is analogous to that of the NPAAD and SAFZ, can it replace the regular NPAAD and SAFDZ services as currently practiced at least in areas where ILMF will be conducted?
- Can the recently launched updating program for NPAAD and SAFDZ incorporate some features of the ILMF so that other LGUs who cannot do an ILMF can benefit from some form of improved analysis under the ILMF?
- How will the BSWM and HLURB work together to provide unified technical support to the ILMF process as LGUs apply these in their CLUP?

c) **Policy brief on the nature of LD in the humid tropics and adaptation strategies.** The Project established new premises for adopting the definition of LD in the humid tropics and provided evidence to support such. It also includes a participatory methodology to determine the CLDI. The BSWM may wish to confirm the application domain of the new premises as well as address opportunities that arose from the implementation. This should then be the basis for formulating a Policy Brief to communicate policy recommendations to the DA to support the new Secretary's policy initiative entitled "New Thinking in Agriculture".

3. Assemble and Utilize Curated Knowledge Products for the Information Needs for Upscaling and Outscaling. Using available project resources, conduct an IEC workshop(s) or bilateral workshops among the key planners and IEC specialists from targeted program of agencies to identify, prioritize and describe the list of SLM knowledge products that would be needed to support the integration of SLM concept and learnings into the targeted agency programs(through their organic training programs). These targeted programs and activities would include the following:

- DA- SLM integration points for overall AFMP preparation and climate change adaptation programs.
- BSWM (integrating CLDI and other innovations into land degradation assessment, agri land use planning and soil conservation extension).
- FMB (integrating SLM in FLUP and CBFM).
- DAR (support services for ARBs).
- HLURB (integrating SLM in training module for land use planning protocol).

Based on above list, identify what available knowledge products can already be used (with some annotations) and others that still need to be either improved or developed. This will include the story line that BSWM prepared for Abuyog and Malaybalay.

Using organic funds of respective agencies, facilitate the development of prioritized IEC materials (one folio for each agency) to support downstream information campaigns that the agencies will be conducting. These IEC products would be derived from the technical literature materials developed by the Project.

If resources allow, engage the services of a development communication professional or utilize the senior IEC expert at the umbrella department office who will work with SLM Project experts (pro bono) and respective planning officers to help identify and extract the effective development messages of SLM (with minimal soil science jargon). These messages (laymanized for non-soils experts) should resonate with the mandates and felt needs of the target agency program and its stakeholders. IEC specialists who can translate the above into actual packages /collaterals will

also be engaged. The outcome of such products developed above will be used by the different agencies in their training programs for SLM.

4. Accelerate the Preparation of SLM in FLUP and Initiate the same for the CBFM Program. To take advantage of the momentum started at FMB, the BSWM and FMB will collaborate to conduct an orientation program for the DENR personnel responsible for promoting the FLUP and CBFM processes. These would include FMB-based personnel and FLUP personnel in DENR regional offices where the pilot LGUs are located (regions 8 and 10). Entry points for the mainstreaming would be identified by FMB. The BSWM would share the cumulative information and lessons learned from both previous and current projects (SLM, SCoPSA). It would engage other bureaus of DA to provide a more holistic support to the FLUP and CBFM process. Examples of other DA offices would be the BPI and FIDA which have the expertise for horticultural practices needed to maintain agriculture tree crops in agroforestry systems that are promoted. On the part of the DENR, explore how the ERDB can be involved in the dialogue so that it can incorporate key topics in its R&D agenda. Should the opportunity be available, the FMB to give priority for incorporating SLM in FLUP and CBFM in the pilot LGUs.

At the LGU level, discuss ways to provide interphase between the ILMF and FLUP particularly in agriculture landscapes located in forest land. It is also recommended that the project use the FLUP process as mechanism to help stakeholders understand the cross sectoral interaction across the watershed and between forests, agriculture, urban areas and water bodies, in this connection the contributions of the Biodiversity Management Bureau (BMB) and the River Basin Control Office may be tapped.

5. Further suggestions to ensure cross sectoral orientation of next generation SLM projects in production landscapes

One of the key findings of this evaluation was the lack of guidance on how cross sectoral perspective can guide SLM interventions, particularly in production landscapes. This need to be addressed in the next generation SLM projects. The following are some suggestions that can be applied in agricultural landscapes located under different legal regimes: private agricultural lands; ancestral domains or production forest lands (particularly in CBFM areas). This can build on project lessons not only of the SLM project but also of other relevant GEF assisted initiatives. These include for instance the SLM component of the *GEF UNDP Biodiversity Corridor Project (has large SLM earmarks) and GEF Small Grants Program.*

DA and DENR interphase as backbone for cross sectoral convergence. The convergence of policy-based actions by the both the DA, and DENR (working with the LGU) is crucial because they set the key land use technical standards and they have resources to influence stakeholder actions. The interaction with other sectors (particularly NCIP, DAR, DILG etc.) is equally critical. But the effective collaboration between DA and DENR (together with the LGU) is the backbone of interagency cross sectoral convergence.

Primacy of the watershed framework (four current tracks). To promote actual cross sectoral orientation, the watershed or the lower scale micro watershed may be strongly considered as the common planning unit. This is the biophysical framework upon which the forestry – agriculture systems interaction happens in a major way. This is also the key mechanism advocated by the Philippine NAPDLDD (NAP to combat Desertification, Land Degradation and Drought) as commitment to the UNCCD and the Paris Agreement.

There are other equally valuable categories of ecosystems that can be used as the planning frameworks such as Key Biodiversity Areas (KBAs) and biodiversity corridors. But the watershed framework is the one that LGUs and other stakeholders can more immediately relate to because it is associated with a crucial need for water supply and management (a central climate change related issue).

This approach is already being started in the Philippines though at least 4 track. *The first track is the National Convergence Initiative or NCI* which enables the DA DENR, DAR and DILG to coordinate actions in some 145 sites associated with watersheds. *The second track would be efforts in 18 flagship river basins, initiated by River Basin councils*.

The third track would be other initiatives usually led by LGUs, to protect local watersheds. Every 2 -3 years, many of the LGUs under the 3rd track meet to share experience and agree on policy advocacies[22]. The 4th track would be civil society initiatives supported by small grant facilities. These community efforts often target community watersheds associated with biodiversity where IKSP by IP communities play a role.[23]

Cross sectoral perspective in problem diagnosis. Whether implemented in nationally designated major watersheds or river basins or in LGU designated priority watersheds (i.e. the 3 tracks), the basic planning unit can start at the microwatershed level, where immediately doable actions (by LGUs and national agencies), using local resources, can be initiated. Planning in the microwatershed should ideally start with a participatory rapid appraisal using cross sectoral perspective. *This would be engendered by awareness of ongoing livelihood systems as perceived by stakeholders (disaggregated by gender) as well as IKSP/local knowledge systems.*

Incentive systems. Part of the appraisal may include understanding the current system of incentives and disincentives managed by various sectoral agencies/programs that influence the practice (or no practice) of SLM both by small farmers and big plantations. The results of the dialogue can be potentially used to support the formulation of CDP and LGU extension programs.

Adapting national programs to location specific cross sectoral needs. Both the DA and DENR have flagship programs that need to be increasingly adapted to location specific situations as represented in each watershed. This will involve a participatory negotiation process that can be facilitated by the LGU (particularly PLGU), the academe, and civil society partners. Within the watershed construct, relevant agency programs may be adapted and customized where possible. To support core integrated functions such as:

- Watershed management
- Biodiversity (within forests, farmlands and water bodies)
- DRR and CCA
- Community food systems, livelihoods, social protection and tenure to enhance a stewardship culture

Leveling up to the bigger watershed and broader constituencies. Work at the microwatershed level should eventually be upscaled to the bigger watershed and river basin initiative where it belongs to take advantage of a broader constituency for its efforts. For instance

[22] The Philippine Watershed Coalition (PWMC) sponsors national sharing conferences every 2 years on local watershed management experience. LGUs usually comprise between 6o to 70% of its participants

[23] Four key Small Grants Facilities that can be a good source of learnings are : Foundation for Philippine environment (FPE), Forest Foundation of the Philippines (FFP) and GEF Small Grants Program (GEF SGP) and The Foundation for Sustainable Initiatives (FSSI)

the SLM actions in Malaybalay may be linked to the bigger work of the Cagayan De Oro River Basin

Immediately doable steps. In the context of the above scenario, some practical doable actions may be considered by the DA and the DENR, collectively and individually, to help guide the development of the next generation SLM projects.

- **Identify relevant recurrent learnings from the 4-watershed convergence "tracks"** above (i.e. NCI, River basins, LGU and civil society initiatives). The study of the 4th track (civil society) may be done collaboratively with Small Grants Facilities.
- **Learn how social capital can be effectively developed** to draw optimum stakeholder support from Ridge to reef". Pinpoint what governance approaches are doable.
- **Fine tune GEF initiated planning tools**. Provide opportunities for fine tuning and where possible integration of various cross sectoral oriented planning tools that have been developed for ecologically sensitive areas (some through GEF assisted projects).
- **Accelerate setting of standards**, plan, promote and monitor support programs that apply BD friendly and watershed friendly agriculture[24].
- **The convergence technology for DA and DENR is agroforestry** which happens to be among the most effective CCA mechanism. Agroforestry competencies need to be developed within each agency.

BSWM and FMB as initial catalysts with GEF CSO network. The above DA and DENR dialogue can be initiated by the BSWM (referred sometimes as the environmental arm of DENR) and FMB. It would also be ideal if the respective Foreign Assisted Projects Offices and research and extension arms are involved (FASPO, SPCMAD, BAR, ATI and ERDB) are involved as reference, to ensure a flow of evidence-based information. It is also suggested that the technical inputs of the GEF CSO network be also tapped because of the rich lessons and best practices, emanating from community solutions coming from GEF Small Grants programs.

4.3.Lessons learned

The lessons learned cited below consist of recurrent suggestions of project partners at national and local levels as well as suggestions from the Terminal Evaluation Reviewer. It also draws on lessons from past initiatives that seem to be confirmed by the SLM project experience.

Project design and management for a short duration SLM-oriented project:

- Consider that in many LGUs, the lack of interest in agriculture maybe an even more primordial issue than SLM. Thus, the first campaign message could be more about agriculture than about SLM. Tools like the ARA (Agri Resource Assessment) are vital to stimulate the interest in agriculture and subsequently on SLM.
- There is much to learn about local governance systems--Its many opportunities, weaknesses and nuances need to be understood by a Project Management based in Manila, to order to enhance chances for success that depends on LGU decision making.
- For upland agriculture-oriented programs, consider that most projects on soil conservation were not sustained because the indirect drivers of degradation were often taken for granted.
- A good PRA that is oriented to agroecosystems analysis (not just commodity analysis) would help ensure the design of effective interventions.

[24] In the case of BD friendly agriculture, there is a also a concurrent need for the DA and DENR to accelerate the finalization of the joint Circular for this purpose

- Enforcement of SLM should not just be limited to small farmers; they should be implemented in large plantations as well. This may be a composite function of the DA and DENR using a combination of instruments such as certification systems for Good Agricultural Practice (GAP) and the strict application of EIA processes.
- The role of the DA (and DENR) regional office is indispensable for a Bureau-led project as the bureau has limitations in local presence.
- In the Philippine context, the role of MOAs to clarity of roles of partners at the start can be overemphasized. A communication strategy should also guide the flow of information to different actors particularly LGUs based on their needs and aspirations to avoid costly and time-consuming misunderstandings.
- Plans should consider that one loses the first year for admin related work and issues. What is left (e.g. 2 years of 3) is the real project period for doing things on the ground.
- A three-year project time frame requires application of management strategies on multiple tasking in order to enhance the chances of attaining multiple targets over a short time frame.

LGU Competency building for SLM

- Competency building programs help LGUs and communities manage cross sectoral interactions to respond to ecosystem threats in a more sustainable manner. Planning interventions for farms need to be complemented by interventions on forests that support these farms.
- To be more sustainable, capacity building interventions to capacitate farmer groups needed parallel reinforcing interventions at the village level.
- An LGU specific, engagement and capacity building strategy to guide the different project components/activities in the LGU leads to better synergy with LGUs own initiatives and in the process enhance ownership.
- Supporting maximum horizontal communication flow at the LGU level i.e. LTWG (in addition to vertical flow with national offices) is a good investment. It broadens the constituency for innovations and leverage resources.
- The PLGU and locally based State Universities and College are very good stating points for projects that depend on Local governance processes.
- For better sustainability, tap existing multi sectoral groups (e.g. ENR subcommittee of the local development council, MAFC) to serve as the de facto LTWG. They will not focus on project needs alone but the on the sector as a whole. The upside is it is better for sustainability.
- Even if the MLGU is the focus of a Project the PLGU would always be indispensable target support institution because of their ability to share technical and financial resources and help LGUs work in the context of landscape. The PLGU, with the support of State Universities and College(SUC) is also the most immediately goable mechanism to help in the replication process.
- Investing in knowledge management will help maximize the impact of training programs because in between trainings, it makes sure that knowledge is in the hands of the right stakeholders at the right time. With this in mind, effective KM should start at day 1 of the project. IEC can be a crucial part of KM, but it cannot act as substitute for KM.

Policy development for SLM

- This is like planting rice- a lot of patience, vigilance and building champions. With some exceptions, policy development will usually require a string of short projects before a policy dialogue bears fruit (a policy).

- Documented evidence from pilot sites will help build the arguments for policy.Good KM should guide the documentation process. It is a crucial investment to help the project inform local and national policy processes.

ANNEX 1: TERMS OF REFERENCE: INTERNATIONAL TERMINAL EVALUATOR

INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the *Implementation of Sustainable Land Management (SLM) Practices to Address Land Degradation and Mitigate Effects of Drought* (otherwise known as the SLM Project) (PIMS #5365).

The essentials of the project to be evaluated are as follows:

PROJECT SUMMARY TABLE

Table 1. Project Summary Table				
Project Title: Implementation of Sustainable Land Management (SLM) Practices to Address Land Degradation and Mitigate Effects of Drought (otherwise known as the SLM Project) (PIMS #5365)				
GEF Project ID (PIMS #)	5365		**At Endorsement (US $ M)**	**By end June 2019 (US $ M)**
UNDP Project ID:	00095966	**GEF Financing:**	870,900.00	
Country:	Philippines	**UNDP**	500,000.00	
Region:	Asia	**Government:**	3,733,815.00	
Focal Area:	Sustainable Land Management	**Other (NGOs, LGUs, communities)**	1,569,337.00	
Operational Program:	GEF-5 Strategic Program	**Total Co-financing:**	5,803,152.00	
Executing Agency:	DA-BSWM	**Total Project Cost:**	6,674,052.00	
Other Partners Involved:	DENR, DAR, DILG, HLURB, LGUs of the Provinces of Bukidnon and Leyte through their Provincial Agriculture Offices	**ProDoc Signature:** July 2015 **Date Project began:** July 2015		
		(Operational) Closing Date: June 30, 2019		**Proposed (Approved):**

	and City of Malaybalay, Bukidnon and Municipality of Abuyog, Leyte, through the City and Municipal Agriculture Offices, and respective Farmers' Associations in Malaybalay, and Abuyog			

OBJECTIVE AND SCOPE

The project was designed to strengthen the SLM frameworks to address land degradation process and mitigate the effects of drought in the Philippines through the following outcomes: Outcome 1: effective national enabling environment to promote integrated landscape management; and Outcome 2: long-term capacities and incentives in place for local communities and LGUs to uptake of SLM practices in two targeted municipality in the Philippines.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

EVALUATION APPROACH AND METHOD

An overall approach and method[1] for conducting project terminal evaluations of UNDP supported GEF financed projects have developed over time. The evaluation should include a mixed methodology of document review, interviews, and observations from project site visits, at minimum, and the evaluators should make an effort to triangulate information. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact,** as defined and

1 For additional information on methods, see the UNDP Evaluation Guidelines, Section 4, Annex 2, pg. 45

explained in UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR (Annex C). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, DA Bureau of Soils and Water Management Office, SLM Project Team, UNDP GEF Technical Adviser and key stakeholders.

The evaluator is expected to conduct a field mission to select project sites in the aforementioned two priority sites of the Programme. The complete list of these projects, their corresponding project sites, grantees and their contact details is included in Annex B. Interviews will be held with the following organizations and individuals at a minimum:

- Members of the Project Board
- Officials of the DENR Foreign-Assisted and Special Projects Service (DENR-FASPS)
- Officials of the Department of Agriculture Bureau of Soils and Water Management (BSWM)
- GEF Operational Focal Point
- Staff/Consultants of SLM Project
- Officials and Staff of the Local Responsible Partners
- Officials and Staff of the UNDP Country Office
- Officers and Staff of Local Government Units
- Members of the Inter-Agency Technical Committee (IATC)
- Members of the Local Technical Working Group (LTWG)

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in Annex B of this Terms of Reference.

EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see Annex A), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact.** Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in Annex D .

Evaluation Ratings	
1. Monitoring and Evaluation:	**Rating**

M&E design at entry	
M&E Plan implementation	
Overall quality of M&E	
2. IA& EA Execution:	
Implementing Agency execution (UNDP)	
Executing Agency execution (DENR-BMB)	
Overall quality of project implementation / execution	
3. Assessment of Outcomes:	
Relevance	
Effectiveness	
Efficiency	
Overall quality of project outcomes	
4. Sustainability:	
Financial resources	
Socio-economic	
Institutional framework and governance	
Environmental	
Overall likelihood of risks to Sustainability	
5. Impact:	
Environmental status improvement	
Environmental stress reduction	
Progress towards stress/status change	
OVERALL PROJECT RESULTS	

PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (Type/Source)	UNDP Own Financing (mill. US$)		Government (mill. US$)		Partner Agency (mill. US$)		Total (mill. US$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/								

Concessions								
▪ In-kind support								
▪ Other								
Totals								

MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.[2]

CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions**, **recommendations** and **lessons**. Conclusions should build on findings and be based in evidence. Recommendations should be prioritized, specific, relevant, and targeted, with suggested implementers of the recommendations. Lessons should have wider applicability to other initiatives across the region, the area of intervention, and for the future.

IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in the Philippines. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

2 A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: ROTI Handbook 2009

EVALUATION TIMEFRAME

The total duration of the evaluation will be 37 days spread over 3 months according to the following plan:

Activity	Timing	Completion Date
Preparation of Inception Report to include accomplished Annex C and E	2 days	26 April 2019
Evaluation Mission	20 Days - 10 days review of reports and documents - 10 days field visit in the Philippines including the presentation of key initial findings to UNDP and IP	31 May 2019
Draft Evaluation Report	10 days	19 June 2019
Final Report including the audit trail of comments	5 days	10 July 2019

EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
Inception Report*	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission	Evaluator submits to UNDP CO
Presentation	Initial Findings	End of evaluation mission	To project management, UNDP CO
Draft Final Report	Full report, (per annexed template) with annexes	Within **3** weeks of the evaluation mission	Sent to CO, reviewed by RTA, Project Manager, GEF OFPs

Deliverable	Content	Timing	Responsibilities
Final Report**	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

* An evaluation matrix will also be submitted as an annex to the Inception Report (Annex C). The matrix will outline the data sources and data collection tools and methods required to answer each evaluation question. The Inception Report should also include submission of accomplished Annex E.

**When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

EVALUATOR

There will be an international consultant who will conduct the terminal evaluation. The consultant shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluator selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The **International Evaluator** must present the following qualifications:

- Master's Degree on agriculture, development studies/ management, environmental science, environment & natural resources management, or any related course (20%)
- Minimum ten (10) years of relevant professional experience especially on results-based monitoring and evaluation methodologies (20%)
- Knowledge of UNDP and GEF, and experience of working on GEF evaluations (20%)
- Technical knowledge in the targeted focal area and familiarity with land degradation issues globally, and if possible, in the Philippines or in Southeast Asian countries (20%)
- Knowledge of sustainable land management approaches and practices in production landscapes (20%)
- Fluency in the English language and excellent oral and written communication skills both required for consultant

CRITERIA FOR THE SELECTION PROCESS

A combined scoring method will be used in selecting the qualified candidate.

- Qualifications - 50%
- Methodology - 20%
- Financial Proposal - 30%;

SCOPE OF FINANCIAL PROPOSAL

The financial proposals from possible candidates should be expressed in lump sum amount inclusive of all financial costs related to this engagement (i.e. professional fees, transportation/travel to and from country of origin if residing outside the Philippines, subsistence allowance during the entire stay in Manila not exceeding the UN prescribed DSA daily rate, reproduction, communications including internet).

Domestic airfare, food and accommodation of the team outside Manila will be shouldered by UNDP separately and only 20% of the DSA following the NIM rates will be provided.

ADDITIONAL REQUIREMENTS FOR THE RECOMMENDED CONTRACTOR

Statement of Medical Fitness for Work

Individual Consultants/Contractors whose assignments require travel and who are over 65 years of age are required to submit a Medical Clearance.

SECURITY CLEARANCE

The Consultant will be requested to undertake the BSAFE online mandatory course. These requirements apply for all Consultants, attracted individually or through the Employer.

EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluations'

PAYMENT MODALITIES AND SPECIFICATIONS

Milestone	Due dates
10% Upon submission and acceptance of the Inception Report	26 April 2019
40% Upon submission and acceptance of the draft Terminal Evaluation Report	19 June 2019
50% Upon submission and acceptance of the (UNDP-CO and UNDP RTA) of the final Terminal Evaluation Report	10 July 2019

ANNEX 1.A: PROJECT LOGICAL FRAMEWORK
PIMS 5365: Implementation of Sustainable Land Management (SLM) Practices to Address Land Degradation and Mitigate Effects of Drought

	INDICATOR	BASELINE	END OF PROJECT TARGETS	SOURCE OF INFORMATION	RISKS AND ASSUMPTIONS
Project Objective [1] Strengthening SLM frameworks to address land degradation processes and mitigate the effects of drought in the Philippines	Area of LD-intense municipalities where the causes of land degradation are addressed through the implementation of land use plans	0 ha	177,083 hectares	Approved Comprehensive Land Use Plans for City of Malaybalay and Abuyog municipalities	**Risk:** Assuming that the CLUP with provisions on SLM is in place, changes in political landscape may lead to changes in leadership who may not prioritize the implementation of CLUP with provisions on SLM mainstreaming. **Assumption:** Changes in political leadership will not have an effect on the implementation of the revised and approved CLUPs with provisions on SLM.
	Enhanced cross-sector enabling environment for integrated landscape management as per PMAT score: (i) Framework strengthening INRM (ii) Capacity strengthening to enhance cross-sector enabling environment	(i) Score 1 – No INRM framework in place (ii) Score 2 – Initial awareness raised (e.g. workshops, seminars)	(i) Score 4 – INRM framework has been formally adopted by stakeholders but weak (ii) Score 4 – Knowledge effectively transferred (e.g. working groups tackle cross-sectoral issues)	Completion of PMAT at mid-term and terminal phase	**Risk:** Within the 3-year project duration, INRM at the techno demo sites might have been done, however, due to changes in political landscape, the INRM applied at the demo sites might not be replicated to nearby barangays. The implementation/replication of INRM at the demo sites to expansion areas might not be a priority of the new leaders. **Assumption:** Changes in political leadership will not have

					an effect on the replication of the INRM at the demo sites to the expansion areas.
Outcome 1 Effective cross-sectoral enabling environment at the national and local level in place to promote integrated landscape management	**Outputs:** 1.1 Approved guidelines on SLM mainstreaming into national and local land use plans and investment programs (to be field tested under Outcome 2; 1.2 Multi-sectoral stakeholder committee established at national level to oversee and give technical advice on the integration of SLM into LGU's development; 1.3 Information management system to support SLM integration into LGUs development plans and improving informed land use allocation decisions (set up as a national system but only populated with the targeted municipality data to be selected under Outcome 2; 1.4 Training-of-trainers from BSWM, DA Regional Offices, DENR, DAR and the PAOs and MAOs/CAOs capacitated in training extension officers from the LGUs in promotion of SLM practices;				
	An integrated land management framework incorporating SLM practices and technologies	Presence of guidelines in mainstreaming CCA-DRR and biodiversity conservation in CLUP	A national integrated land management framework mainstreaming SLM practices and technologies developed and adopted by HLURB	Crop yield during harvest season Terminal project report	**Risk:** Projected crop yield might not be realized due to uncontrolled pest infestation and occurrence of strong typhoons. **Assumption:** There will be no pest infestation and drastic climate variability within the three (3) years of project implementation.
	Enhanced CLUP guidelines to mainstream SLM	No existing procedural guidelines on mainstreaming SLM in land use, agricultural and forestry development plans	Guidelines on mainstreaming have been applied in to pilot municipalities and further enhanced based on experience and findings of the testing exercise.	Report on guidelines for the mainstreaming process	**Risk:** Some LGUs may not be able to operationalize the guidelines due to lack of data or poor data base. **Assumption:** The guidelines are simplified and designed as user-friendly for the adoption of less trained planners of LGUs

	Relevant policy issuance for the mainstreaming of SLM in local land-use including forest land-use and development planning processes	Pledge of commitment signed by DA, DAR and DENR in support to the implementation of the National Action Plan to Combat Desertification, Land Degradation and Drought (NAP-DLDD 2010-2020)	Issuance of Joint Memorandum Circular or special order on SLM mainstreaming by DA, DENR and DAR. Issuance of memorandum order or administrative order on SLM mainstreaming by DILG to priority LGUs	Signed MO or SO on SLM Mainstreaming Signed DILG MO or AO	**Risk:** Delayed issuance due to poor coordination among NGAs **Assumptions:** Key NGAs are supportive of the mainstreaming policy; they are properly briefed on the objectives and essential contents of the policy order
	Data base and decision support information system operational and accessible to LGUs	Existing LADA web portal with maps at national and regional scales	Developed a GIS-based LADA maps incorporating SLM practices and technologies with information/maps accessible and relevant to CLUP preparation of LGUs	Project monitoring and inspection report on BSWM data base upgrading	**Risk:** Major equipment upgrading will be needed and will entail expense to BSWM. **Assumption:** Partner institutions such as DENR and DAR have the facility to link with the system; BSWM has the funds to maintain the information system.
	Competency development programme for LGUs on SLM technology application and mainstreaming developed and implemented	New and young scientists from BSWM, DA Regional Offices, DENR and DAR lacked hands-on training on SLM.	List of training modules on SLM technology application and mainstreaming for LGUs developed Potential trainors from DA-BSWM, DENR and HLURB are identified and trained on various SLM management and physical technologies on SLM.	Project Reports List of attendance and copy of certificates of training awarded.	**Risk:** Concerned NGAs may send trainees who are not qualified for the technical training. No allocated budget for the implementation of the competency programme for LGUs **Assumption:** Identified trainees from DA-BSWM, DENR and DAR are assigned and performing function on SLM and their heads of offices are making them

					available for the entire duration of the training.
	Increased scores of the indicators of the following capacity results in the Capacity Development Monitoring Scorecards of DA-BSWM, DENR-FMB and HLURB from the start-up of Project up to end of Project: a. Capacity for engagement (CR1); b. Capacity to generate access, and use information and knowledge (CR2); c. Capacity for strategy, policy, and legislation development (CR3); d. Capacity for management and implementation (CR4); and	Average capacity scores for (See Annex F for the Capacity Development Monitoring Scorecard) <u>DA-BSWM</u> CR1 – 2 (Inds. 1-3) CR2 – 2 (Inds. 4-8) CR3 – 2 (Inds. 9-11) CR4 – 2 (Inds. 12-13) CR5 – 2 (Inds. 14-15) <u>DENR-FMB</u> CR1 – 1.67 (Inds. 1-3) CR2 – 2 (Inds. 4-8) CR3 – 2 (Inds. 9-11) CR4 – 2.5 (Inds. 12-13) CR5 – 1 (Inds. 14-15) <u>HLURB</u> CR1 – 1 (Inds. 1-3) CR2 – 2 (Inds. 4-8) CR3 – 2 (Inds. 9-11)	At least an average increase in 5 capacity results (CR1 to CR5) by 0.33 to 1 for BSWM with a high score of 3 in the following indicators: Indicator 3, 4, 5, 7 and 13 (see Annex F for the Capacity Development Monitoring Scorecard) At least an average increase in 5 capacity results by 0.5 to 0.8 for DENR-FMB with a high score of 2 to 3 in the following indicators: Indicator 3,4,5,8,10,and 12 (see Annex F for the Capacity Development Monitoring Scorecard) At least an average increase in 5 capacity results by 0.2 to 1.33 for HLURB with a high score	Capacity Development Monitoring Scorecard	**Risk:** Changes in political landscape that may lead to changes in personnel assignment At national level, the qualification of the participants who will be sent for training might not have the appropriate educational background. The trained personnel might be assigned later to other tasks. **Assumption:** Changes in political leadership will not affect personnel assignment.

	e. Capacity to monitor and evaluate (CR5)	CR4 – 2.5 (Inds. 12-13) CR5 – 1 (Inds. 14-15)	of 2 to 3 in the following indicators: Indicator 1, 10, 11, 12 and 14 (see Annex F for the Capacity Development Monitoring Scorecard)		
Outcome 2 Long term capacities and incentives in place for local communities and LGUs to uptake SLM practices in two (2) targeted municipalities in the Philippines	Outputs 2.1 Comprehensive Land Use Plans (CLUPs) updated/revised for targeted City and Municipality with serious LD issues; 2.2 SLM best practices implemented in targeted City and Municipality; 2.3 National and LGU extension services capacitated to incorporate SLM to LD and drought risk areas and deliver targeted support to targeted City and Municipality and farmers with similar agricultural threats; 2.4.Secure additional finances for SLM investments and align existing financial contributions in the forestry and agricultural sectors to support SLM practices in at least two selected municipalities				
	Plant/soil cover in the agricultural land area covering 2,887 ha and forest cover in Barangay Silae	Plant/soil cover to be established during project implementation in the first year 721.65 ha of forest land area	Increase in plant/soil cover ratio No net loss of forest cover in Barangay Silae	Year 1 and end of project vegetative cover estimates for Barangay Silae Terminal project report	**Risk:** Projected vegetative cover might not be realized due to natural occurrences like typhoons and forest fires, etc. and other activities like slash and burn and land use conversions. **Assumption:** There will be no drastic climate change variability and no forest fires. Occurrences of slash and burn activities are being monitored and executers being apprehended by the concerned government agencies.
	Dry Matter (DM) and Organic Matter (OM) Content from 5 sample sites randomly selected from the agricultural land area (151 ha) and forest land area of Barangay Tadoc	Sample sites and baseline Dry Matter and Organic Matter to be determined during Year 1 of implementation 12.61 ha of forest land area	Average increase in DM and OM Content of Soils in 5 sample sites representing the soil fertility of the 151 agricultural land area No net loss of forest cover in the Barangay Tadoc	OM content analysis in year 1 and end of project Periodic geo-tagging of the sites	

	Composite Land Degradation Index (LDI)[1] monitoring system for monitoring LD is developed and in place for City of Malaybalay and Abuyog Municipality	No LDI monitoring system in use	Stable or improved composite LDI monitoring system across 20,000 ha[3] in two municipalities Agriculture: 3,038 ha Forestry: 734.26 ha Mixed System – 16,227.74 ha	Completion of composite LDI monitoring system at project inception, mid-term and terminal periods	**Risk:** Changes in the soil erosion rate might not be realized due to natural occurrences like typhoons and forest fires, etc. and other activities like slash and burn and land use conversions. **Assumption:** There will be no drastic climate change variability and no forest fires. Occurrences of slash and burn activities are being monitored and executers being apprehended by the concerned government agencies.
	Increased in % of SLM guidance delivered by extension services	Lack of SLM modules on the existing Farmers Field School (FFS)	100% SLM guidance delivered by extension services through integration of complete SLM modules in the season-long FFS	List of modules of FFS Document on two SLM project sites	**Risk:** LGU heads of offices may send unqualified staff for the SLM training. **Assumption:** The project has a clear set of criteria and qualification requirements for the trainees from LGUs.
	Farming households adopt sustainable agricultural practices and integrated SFM/SLM practices.	There are total 2,924 farming households in the 2 target sites (3 Brgys. out of 46 Brgys. in Malaybalay City and 13 Brgys. out of 63 Brgys. in Abuyog)	At least 585 of the farming households in 2 targeted municipalities (3 Brgys. out of 46 Brgys. in Malaybalay City and 13 Brgys. out of 63 Brgys. in Abuyog) adopt sustainable agriculture	Project evaluation report	**Risk:** Difficulty in influencing the farmers in nearby farms to adopt the SLM technology showcased at the two (2) demonstration sites; this may result to possibility of not attaining the project objectives

[3] 8,100 ha Agricultural land and 11,900 forestry lands covering Barangays Silae, Mapulo and Can-ayan in Malaybalay City and Barangays Tiadoc, Tinalian, Burubud-an, Lawaan, Libertad, New Taligue, Old Taligue, San Rogue, Kikilo, Bahau, Tib-o, Buaya, and Anbongan.

			practices and integrated SFM/SLM practices		**Assumption:** BSWM and LGU have successfully showcased the SLM technology package and enhanced extension services have been carried out.

ANNEX 2: ITINERARY

Date	Activity
May 1	Review of Literature
May 2	Inception Meeting with UNDP and BSWM
REVIEW OF LITERATIVE/BEGIN MANILA BASED INTERVIEW(May 2-19)	
May 8	BSWM/PMO, SLM consultant and Land Use Planning Consultant
May 9	DAR, HLURB
May 10	DA/ATI
May 15	BSWM/GSITD
PROJECT SITE VISIT: Leyte /Abuyog (May 20 – 25)	
May 21	Site Manager, DA RFO8, SLM Consultant
May 22	DA/ATI; PAO
May 23	Site visits: Barangay Tadoc; Bgy. Camamating
May 24	PAO, MPDC
PROJECT SITE VISIT: BUKIDNON (May 27 – 31)	
May 27	Site Manager, PLGU PAO, PPDC, DENR/PENRO
May 28	LGU/CAO, Field site visit: Bgy.Silae; PLGU/BENRO
May 29	LGU/CPDC; LGU/ENRO
May 30	NCIP; Northern Mindanao Research Center
May 31	DA/RF10; DA/ATI
CONTINUE MANILA BASED INTERVIEW (June 1 – July 4)	
July 3	Malaybalay CPDC; DA/A CPC; DILG/BLGD
July 4	Follow up w/ DA RFD/10 SCOPSA; IEC Specialist
PRESENTATION OF KEY FINDINGS	
July 5	Presentation of Key findings
July 5	Capacity Building Consultant
FOLLOW UP INTERVIEW AND FURTHER LITERATURE REVIEW(new documents) (July 6-12)	
July 6	Continue Literature Review
July 9	Malaybalay CPDC
July 10	DILG/ BLGD
July 11	DENR/FMB GEF Focal Point Office, BSWM/GSTID
July 12	Former Project Manager Bukidnon PLGU/PAO BSWM Asst Director Project Focal Point
PREPARATION OF FIRST DRAFT AND SUBMISSIOM (July 15-22)	
July 18	Bukidnon Site Cooperator (follow up)

See list of respondents per agency in the next table

ANNEX 3: PERSONS INTERVIEWED

Agency	Name and Position
National Agencies	
Bureau of Soils and Water Management (BSWM) Manila	Asst. Dir. Edna Samar Dr. Gina P. Nilo Eng. Samuel Contreras, Chief Mr. Bernardo Pascua, GSITD Mr. Irvin Samalca, GSITD Ms. Kathlyn de Leon, Planning Office Mr. Bayani Barcenas, Former Project Manager
BSWM Northern Mindanao Research Center	Mr. Henry Apolinares, Head Mr. Florentino Agustin
Department of Agriculture/ Agricultural Credit and Policy Council (DA/ACPC)	Ms. Joan Vargas, Project Officer*
Department of Agriculture (DA)/ Special Projects Coordination and Management Assistance Division (SPCMAD)	Ms. Adamar Estrada, Head
Department of Environment and Natural Resources/Forest Management Bureau (DENR/FMB)	Mr Bert Lansigan Ms. Isabelita Austria, CBFM Head
Department of Interior and Local Government (DILG)/ Bureau of Local Government Development (BLGD)	Dir. Anna Lisa Bonagna Ms. Jenifer G. Galorport Ms. Evelyn A. Castro Ms. Kristine Carmen Diones Ms. Angela B. Manique
Housing and Land Use Regulatory Board (HLURB)	Dir. Nora L.Diaz, Director Ms Evelyn D. Gatchalian
Project Management Office (PMO)	Ms. Mariell Evasco, Project Manager Ms. Jastine Joy Simone, Project Asstant Ms. Marietta Oamil, Admin & Finance Ms. Dulce Tweetie Jan Jorda, Site Coordinator Mr. Vincent Ching, Site Coordinator Dr. Rogelio Concepcion, SLM consultant Dr. Candido Cabrido, Land Use consultant Dr. Alexander Flor, Capacity Building consultant Ms. Juvy Esperanza, Communications Officer

Leyte/Abuyog

Agency	Names & Position
Department of Agriculture Reg. 8 Office (DA-RFO8)	Ms Thelma Rapis,
DA Agriculture Training Institute (ATI)	Ms Helen Seco (Main discussant) MsEmie Omile Ms Venus Taghoy Ms Gizell Nunez
Leyte Provincial Agri. Office	Ms. Nenita G. Sultan, Asst. PAO Ms. Dina G. Pitao, PAO Staff Ms. Evangeline Garing, PAO Staff
Municipal Environment and Natural Resources Officer (MENRO)	Mr. Romeo Encluna, MENRO
Municipal Local Government Unit (MLGU) Abuyog/ Municipal Agriculture Office/Officer(MAO)	Mr. Joel Ruales, Agri Technical Officer Ms. Antonieta Arandia, Agri Technician & Farmer Cooperator Mr. Gerardo Bauya, MAo
Planning and Development Office (PDO) Local Government Unit (LGU) Abuyog	Mr. Rodulfo Cabias, MPDC

Agency	Names & Position
Sta. Fe	Mr. Lorenzo Caca, Magsasaka Siyentista Mr. Melchor Quemado, Cooperator* Ms NIzandel Rupa
Bgy Tadoc	Mr. Antonio Valenzona

Bukidnon/Malaybalay

Agency	Names-Position
Housing and Land Use Regulatory Board (HLURB) Region 10 Office	Ms. Lawrence Empeynado
Agricultural Training Institute (ATI) Region 10	Mr. Willie Macalaban
Department of Agriculture Regional Field Offices (DA RFO) Region 10/ Sustainable Corn Production in Sloping Areas (SCOPSA)	Mr. Warlito Barcuma, Project Leader Ms. Gloria Betomo
Department of Environment and National Recourses (DENR) / Provincial Environment and Natural Resources Officer (PENRO) Malaybalay	Ms. Nadina S. Labuntog
Provincial Agriculture Offices (PAO) Bukidnon	Ms. Jacqueline A. Lagamon
Provincial Agriculture Offices (PAO)	Engr. Alson G. Quimba, PAO
Provincial Planning and Development Office (PPDO) Bukidnon	Mr. Norberto T. Baltazar, Jr, Proj. EvaluatorOfficer IV
National Commission on Indigenous Peoples (NCIP) Bukidnon	Ms. Mila Torrefranca, Asst. Provincial Director
City Agriculture Office (CAO)	Ms. Remedios Sarzuelo, City Agriculturist Mr. Richard Leono, Senior Focal Point Ms. Margie Bulwag Ms. Lucell Carpentero, Agri Technician Eng Lilianne Obre
Community Environment and Natural Resources Office (CENRO) Malaybalay	Ms. Maria Anita Fernandez, City ENRO Ms. Roxane Gamo
Central Mindanao University (CMU)	Dr. Raule Rebuna, Faculty, Soil Science Department
City Planning Development Office (CPDO) Malaybalay	Ms. Maria Rosario G. Saldua (Ms.Sayong) Mr. Adrian R. Gamboa, CPDC Mr. Ginno Florencio C. Balba
Barangay Silae	Ms. Rosita Adalim, Farmer Cooperator Technology Demonstration Farm Mr. Danie Maque Ms. Rosita Aladalin Mr. Bievendo Tigbarsao Mr. Ramon Padroemer Mr. Marlon Gucnabo Mr. Marc Linupan Ms. Elisea Maque Worner

ANNEX 4: SUMMARY OF SITE VISITS

ABUYOG, LEYTE (May 20-25, 2019)

The site visits involved interactions with the Municipality of Abuyog (MLGU Abuyog), the Provincial Agriculture Office (PAO) of the Provincial Government (PLGU) of Leyte, farmer cooperators as well as support agencies such as the DA Regional Office (DA RFO8), and ATI.

Within the Municipality of Abuyog the key persons involved the Municipal Planning and Development Office (MPDO), the Municipal Agriculture Office (MAO) and Municipal Environment and Natural Resources Office (ENRO). The SLM Project Site Coordinator provided an orientation of Project history and activities and facilitated an itinerary to respond to the dynamic schedules of key officials. The planning officer of DA-RFO8 also shared her insights by email while the VSU representative to the local technical working group requested to be excused to share his views due to h very limited contact with the project.

MPDC. The MPDC Officer provided an overview of the municipality's profile, aspirations and issues in the agriculture and ENR sectors, factoring in climate change. The town is aiming for cityhood and wants the CLUP to reflect the latest innovations in agri and ENR management. It has in fact been involved in the piloting of the Ridge to Reef approach to planning (GIS project and DRR and CCA in the CLUP (DFAT-UNDP project).

The positive contributions of the SLM project were highlighted particularly in the development of the ILMF which provides the SLM angle of the CLIP. Accordingly, it is a key foundation of climate change adaptation (CCA) in overall land management and will be a major part of the upcoming Local Climate Change Adaptation Plan (LCCAP). Technology innovations in Canmamating are considered very important, although concern was raised on the pace by which the MLGU was able to analyze and utilize the innovations to actually start improving the programs. The ILMF is almost complete but some maps need to be availed of from the BSWM, preferably in the form of shape files. A request was also made to help update the NPAAD and SAFDZ. The MPDC cited its initiative to include SLM concerns in the updating of the Comprehensive Development Plan (CDP) and estimated approximately a Php 3 million annual allocation. The CDP text includes entries (brief narratives) to promote SLM in pilot barangays that can benefit from further fleshing out.

MAO. The Abuyog MAO officer and staff shared insights on current reality in the agriculture sector- e.g. remaining high tenancy, high vulnerability to climate change; moving towards mechanization, and declining interest among the youth. The NPAAD and SAFDZ are both very old (30 years old). They would have wanted the project to help deal with upland agriculture needs but realized that the project design wasn't meant for it. They expressed confusion with the feed backing process associated with the process of work planning and the changing of sites. There is appreciation on the participatory process of LD characterization but ambivalence on the proposed technical solutions involving eventually a reduction in fertilizer usage.

One of the ATs was a project cooperator herself. She cited that the technology involved better targeting of fertilization measures and the recommendation to use single element fertilizer (00 60). She tried to disseminate her experience with other farmers. The MAO made recommendations on further technical guidance needed including innovations in dealing with zinc deficiency and rice stubble management. The MENRO also shared his observations on the initial confusion at start up and expressed support for more work on upland agriculture needs. It appears that a more thorough discussion of rationale, process and assumptions regarding the technical innovations was needed between the project and the LGU; between the MPDC and the MAO; and within the MAO itself would be helpful.

Satellite site (and farmer co-operators). In Sta Fe (a satellite site), the project intervention was limited only toon-farm demonstrations (no ILMF). There were three active co-operators, a *Magsasaka Siyentista* (MS), a former mayor now fulltime farmer, and a young female AT. All three were certain of the effectiveness of the solutions proposed. Cooperator 1 noted that while balanced fertilization was promoted before the project innovation being proposed (adoptive balanced fertilization), is for the "new normal" situation (i.e. effect of climate change). Cooperator 3 was very much inspired by the logic of the technical solutions and expressed desire to excel on this in order to be more effective and earn big income from farming.

PAO. The PAO team cited the major soil fertility needs of the province and emerging health problems. The province has a fairly large staff. It has two staff members focusing on soil management related issues. They recalled the earlier difficulties at start up due to unclear local institutional arrangements and the weak presence of DA RFO in the picture. There was also earlier confusion about the Project's work planning and budgeting process and the declining interest of the LGU at one point. They helped address the issue by facilitating the signing of a multi partite MOA. However, the LTW Group meetings were not sustained.

To help mitigate the effect of the transfer of sites to the new site, they used an existing PLG program to cover some of the livelihood related technical needs. There is recognition of the comments of the SLM specialist on the soil problems and what

can be done about it. They complied the various articles and workshop documents on SLM produced so far, as local future reference.

RFO 8. The DA RFO team represented by three staff members of the Regional Agriculture Team shared their experience as participants to a Training of Trainors on SLM. Their attendance was unplanned. They appreciated the discussions on adaptive balanced fertilization. But they were concerned that they may not be able to help disseminate this on this as their scopes of priorities at this time are on irrigation. The RFO does not have a focal person for the project.

Regional ATI. The ATI regional office shared its experience on developing a range of extension approaches (including FFS) for the various programs in the Eastern Visayas region. These also included modules for organic agriculture, sustainable agriculture, and for the SCoPSA. The current staff is unable to check commitments made by the previous ATI director with the BSWM, if any. They are not aware of project status but are open to find ways to develop the extension approaches even after the project work.

MALAYBALAY. BUKIDNON (MAY 27 – 31)

The site visits involved interactions with the City of Malaybalay(CLGU Malaybalay), the Provincial Agriculture Office (PAO) of the Provincial Government (PLGU) of Bukidnon, farmer cooperators as well as support agencies such as the DA Regional Office (DA-RFO10 represented by the SCoPSA team leader, and ATI. The key persons involved within the City are City Planning and Development Office (CPDO), the City Agriculture Office (CAO) and the City Environment and Natural Resources Office (C-ENRO). The SLM Project Site Coordinator provided an orientation of Project history and activities and facilitated a dynamic itinerary. Resource persons from the DENR PENRO, PPDO, Housing and Land Use Regulatory Board or HLURB, and the Central Mindanao University also shared their insights. Follow up calls with focal staff of the CPDO and CAO were also made.

CPDO and ENRO. The City Planning Office and C-ENRO (in a common interview session) shared the continuing high priority placed by the city on ENR as Malaybalay is part of Bukidnon which serves as a major watershed of Mindanao. Relevant concerns include the rapid conversion of small farm agriculture to agri plantations that also do not practice SLM. The NPAAD and SAFDZ are old and not able to provide sufficient guidance. The ILMF somewhat mitigates the situation a bit. The training on ILMF preparation process was well structured and there was good follow through. The ILMF is almost complete, with BSWM (Geomatics) support. There was high appreciation of the Agricultural Resources Assessment (ARA) planning tool that they learned because it helped illustrate the importance of protecting agricultural assets. Both the CPDO and the MPDO worked together to generate the various information needed for the ILMF (met at least 4 times).

CAO. The CAO team shared serious concerns on high soil erosion going on. They shared their view about the initial confusion on the nature of the demonstration, they thought there was too much time and cost needed to put it up (this was also a shared perspective of the ENRO, CPDO, the PAO and PPDO). The pace of centralized procurement of seedlings affected the efficiency of operations. Local partners helped mitigate the situation by supplying some of the seedlings themselves. There is better appreciation of the role of the demonstration farm at this time. The photo visual presentation in understanding the seasonal trends in LD as well as the use of bio indicators was appreciated. However, there is concern on the slow pick up by farmers beyond the original cooperators. The city appreciated the project co-sponsoring a major workshop among barangays to prepare the local Agriculture Fisheries Modernization Plan (AFMP). Barangays are now in the process of preparing their Barangay AFMP with SLM concerns embedded on it.

Both the ENRO and the CAO were able to obtain funding from the Local Disaster Risk Reduction Management Fund (LDRRMF) by illustrating to the City Council the contribution of SLM to the minimization of landslides. The funding will allow the city to cover 45 demonstration farms in seven barangays, providing for partial support in terms of labor for land preparation and planting materials. The CAO also maintains a soil fertility laboratory. In a related development, the City Council is also now deliberating on a proposed ordinance to enforce stricter measures against unsustainable agricultural land use particularly above 12 % slope. This has been influenced by the collaboration between the city and the CMU who did a study about the soil erosion trends. Attendance to the SLM training provided further insights that accordingly contributed to the discussions.

Both the CENRO and CAO expressed earlier confusion about the decision making and feed backing processes on project directions. The Local TWG had a good start but it dissipated after two meetings. This gave the impression that of relative spontaneity of activities. There was low feedback on what was happening particularly on the demonstration activities, which was aggravated by the turnover of site managers. They believed the procurement processes would have been improved had the funds been downloaded to the LGU.

Pilot Barangay (Silae)

Farmer leaders, mostly belonging to the Silae Agrarian Reform Community Cooperative (SUARC) shared their views on the current reality in their village and insights on learnings from the SLM project. They are predominantly of the Higaoonon IP

ethic group. In terms of agriculture they have largely embraced the corn production practices from the lowlands which is herbicide intensive. The poorer segments of the community who cannot afford the seasonal purchase of the seeds, plant these again for several times until the yield declines. The site has had experience with soil conservation promotion in the past but was not sustained. There is still some IKSP being safeguarded but this is increasingly being eroded due to lifestyle change. Majority of the formal barangay leaders are Higaoonon.

They are interested with the technology developed (modified Muyong agroforestry system) involving the controlled burning of cogon on trash line /contour line and agroforestry introduction. Some have adopted elements of it (especially the burning aspects). The major impediment to adoption of the tree component is the cost of labor for establishment and care. There is also lack of extension support (from the regular extension system) on how to take care of trees especially when attacked by pest and diseases. While a few farmers have planted many fruit trees in their farms (even before the project), most farmers seem to be interested more in maintaining smaller numbers of trees at a time including in their home lots. There is a seedling vendor on a multicab that regularly visits the site and sells seedlings. Forest trees are nice but difficult to obtain tree harvesting permits. Credit schemes from government require a lot of papers. Leaders half-jokingly blame the presence of the 4Ps (conditional cash transfer) to have partly abated some form of laziness.

PAO and PPDO. The PAO shared concerns about the widespread application of herbicides (glyphosate) by farmers to grow GMO corn called Round UP Ready Corn. While this has increased corn productivity and reduced labor costs, it encouraged corn growing up to steepest slopes which cause severe soil erosion. The PLGU program uses roundup ready corn production systems as an important component of its disaster recovery plans. Massive conversion to agribusiness plantation also exposes soil to high soil erosion rates. Both the PAO and PPDO noted the prospects of improving corn yields through the technology tried out in the demo farm, although they are concerned about the promotion of trash line burning (controlled burning of cogon along the contour lines). There is a felt need to try out new options as the success rate of previous efforts using conventional methods has been low. The PAO and PPDO representatives also shared the concerns on project management approaches at the pilot site level raised by their city counterparts.

PLGU ENRO, DENR PENRO and NCIP (separate sessions). The DENR PENRO (in the same meeting as the PAO and PPDO) noted that the SLM approach in the pilot barangay was more “family approach” oriented than “community based”. It noted the possible implications on spread of adoption. CBFM good practices that can contribute to SLM were cited. The PLGU BENRO (separate bilateral session) shared the PLGUs efforts to encourage municipalities to establish their local watershed programs and the initial pilots of payment for environmental services (PES) system. They also want to study further the case of massive application of herbicides in line with corn production programs. The NCIP is concerned about farmers renting their land to plantations or massive adoption of RR corn production systems. Appreciates the project interventions to help them go back gradually to natural farming especially through agroforestry. The NCIP representative is a former DA staff and appreciates the challenges in extension work.

DA RFO 10 and Regional ATI (separate sessions). The RFO 10 representative (also representing the SCoPSA project) noted the interesting innovations in the demonstration farm and will add it to their menu of options to farmers, with some modifications on the application of the controlled cogon burning. The regional ATI on the other hand shared their progress in promoting a ladderized approach to farmer-based extension systems; one of them was actually based in Malaybalay. It is also involved in the process of developing an FFS oriented modules for the SCoPSA project. The SLM project needs will not be entirely new for them. The ATI representative who was interviewed took up soil management as his major in his undergraduate course.

ANNEX 5: LIST OF DOCUMENTS REVIEWED

Indicators	Documents reviewed
Outcome 1 Enabling frameworks	
ILMF framework for SLM	ILMF framework for SLM
Enhanced CLUP guide for SLM	1. ILMF framework for LGU 2. Report on Piloting of ILMG in two LGUs 3. Draft Supplementary Guidelines for mainstreaming SLM into CLUP
Relevant sectoral policy measures	1. LDN Program and Targets 2. BSWM Road map for MTDP (2017-2022) 3. BSWM R D& E agenda (2017-2022) 4. DENR – MP CRFD 5. Cumulative review of CBFM 6.
Data base and information support for LGUs	1. Sample Map products 2. CLDI maps in progress and related information 3. Phil CAT 4. Thematic Maps produced so far for the pilot LGUs
Competency Development programs	1. Detailed Training modules based on the Competency Guides and accompanying PowerPoint slides used 2. Training reports including post training assessments of ILMF
Sectoral Scores	Score sheet forms of BSWM, FMB, and HLURB relevant to end of project targets
Outcome 2 Long Term local capacities	
Overall	1. MOA between the Project and LGUs 2. Mts of meeting of local Technical Working Group 3. Available, socio economic profile from ALMED 4. Current CLUP, CDP, of the LGU 5. Annual reports of regional offices of DENR, DA (online) 6. PRA for Bgy. Silae, Malaybalay
Plant /Soil cover	Available spatial and tabular information showing baseline and increments
DM and OM	Available spatial and tabular information showing baseline and increments
CLDI monitoring system	1. Highlights of training and interaction sessions and BTORs 2. CLDI maps in progress and related information
% increase in SLM guidance delivered	1. IEC plan 2. IEC materials and copies of the materials developed particularly the story lines 3. Malaybalay Project for SLM upscaling
Best practices & Adoption by Farm HH	1. Information on profile of HH adaptors incremental adoption
Recent relevant LGU programs/projects	1. Abuyog- sections of proposed updating of CDP 2. Malaybalay Local AFMP (3 sample barangays) 3. Malaybalay SLM Upscaling project – Project Description 4. Malaybaly – draft Barangay AFMA (3 samples)

Indicators	Documents reviewed
Project Management	Inception Report 1. 3 year and annual work plans9 AWP, Quarterly reports, Annual Project Reports (APR) reports and PIRs ** 2. Mts of Project Board Meetings (4) 3. Mts of IATC meetings (3) 4. TORs of staff 5. TORS of consultants 6. Consultant Reports 7. BTORs of PMO, UNDP and consultants 8. Procurement agenda and financial reports and financial audits 9. Financial Reports 10. Co-financing table 11. Sustainability plan of agency partners

ANNEX 6: EVALUATION QUESTIONS MATRIX
(EVALUATIVE CRITERIA QUESTIONS, INDICATORS, SOURCES AND METHODOLOGY)

EVALUATION CRITERIA AND QUESTIONS	INDICATORS	DATA SOURCES	METHODOLOGY
RELEVANCE			
How does the project support the objectives of UNCCD, associated relevant multilateral agreements and SDG in general?	• UNCCD and priorities and areas of work incorporated in project design • Level of implementation of UNCCD (NAP DLDD and LDN) in the Philippines and contribution of the project • Priorities and areas of work of other multilateral conventions incorporated in project design	• Project documents • National policies and strategies to implement the UNCCD other international conventions, or related to environment more generally • UNCCD and other international convention websites	• Documents analysis • Interviews with project team, UNDP and other partners
How does the project support the GEF SLM focal area and strategic priorities of SLM?	• Existence of clear relationship between the project objectives and GEF biodiversity focal area	• Project documents • GEF focal areas strategies and documents	• Documents analyses • GEF website
How does the project support the sustainable development objectives of the Philippines particularly in the Agriculture and ENR sectors? • Is the project country-driven? • What was the level of stakeholder participation in project design and ownership in implementation?	• Degree to which the project supports relevant Agriculture and ENR objectives • Degree of coherence between the project and national and local priorities, policies and strategies • Appreciation from national and local stakeholders with respect to adequacy of project design and implementation to national and local realities and existing capacities.	PDP	
To what extent does the project contribute to the fulfillment of the objectives of UNDAF and the CPD?	• Degree to which the project supports the objectives and targets of UNDAF and the CPD •	• Project document • UNDAF and CPD • UNDP CO	• Documents analyses • Interviews with UNDP

EVALUATION CRITERIA AND QUESTIONS	INDICATORS	DATA SOURCES	METHODOLOGY
How does the project support the needs of relevant stakeholders notwithstanding policy and institutional limitations at national and local levels?	• Degree of involvement and inclusiveness of stakeholders in project design and implementation • Strength of the link between expected results from the project and the needs of relevant stakeholders • Extent to which project contributed to efforts to address drivers of LD that are not in its control (e.g., markets etc.)	• Needs assessment studies • Project documents •	• Document analysis • Interviews with relevant stakeholders
How does the project support the needs of relevant stakeholders notwithstanding policy and institutional limitations at national and local levels?	• Degree of involvement and inclusiveness of stakeholders in project design and implementation • Strength of the link between expected results from the project and the needs of relevant stakeholders • Extent to which project contributed to efforts to address drivers of LD that are not in its control (e.g., markets etc.)	• Needs assessment studies • Project documents •	• Document analysis • Interviews with relevant stakeholders •
Is the project internally coherent in its design? Are there logical linkages between expected results of the project (log frame) and the project design (in terms of strategy, project components, structure, phasing, choice of sites and partners, delivery mechanism, scope, work plan financial plans, TORs etc.)?	• Level of coherence between project expected results and project design internal logic • Level of coherence between project deign and project implementation approach • Extent of adjustments made on appropriate project design features to adjust to implementation issues and opportunities	• Program and project documents • Key project stakeholders •	• Document analysis • Interviews with relevant stakeholders

EVALUATION CRITERIA AND QUESTIONS	INDICATORS	DATA SOURCES	METHODOLOGY
Has the project optimally built on the gains and learning's of previous efforts and is there coordination and complementarily between donors/other partners?	• Degree to which project leveraged on the gains and lessons from previous efforts • Degree to which program was coherent and complementary to their donor programming nationally and regionally • Other donor representatives	• Documents from other donor supported activities •	• Document analysis • Stakeholder interviews
Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?	• Degree to which project - inspired practices and lessons are incorporated in policy and program level dialogue	• Program documents of partner institutions	• Document analysis • Interviews with relevant stakeholders
EFFECTIVENESS			
Has the project been effective in achieving its expected outcome and targets for establishing the enabling cross sectoral policy program and competency building frameworks for ILM? To what extent has it contributed new knowledge to science?	• See indicators in project document results framework and log frame • Extent of gap analysis of existing policy and program frameworks • Adoption of project inspired principles, strategies and good practices in relevant information systems as well as policy and regulatory frameworks at national and local levels	• Cross sectoral and sectoral level policies issued and policy dialogue highlights • Decision support systems established • Competency program documents including /training assessments *R& D plans • Agency capacity building, training targets • Relevant project documents	• Documents analysis • Interviews with project team •
Has the project been effective in achieving its expected outcome and targets for establishing long term capacities and incentives for targeted local communities and LGUs to uptake SLM?	• See indicators in project document results framework and log frame • Extent of appreciation of local LD drivers, issues and opportunities • Extent of gap analysis of existing local biophysical, socioeconomic, and institutional frameworks as basis for local support interventions	• LGU planning documents • Project documents	• Document analysis • Interviews with relevant stakeholders •

EVALUATION CRITERIA AND QUESTIONS	INDICATORS	DATA SOURCES	METHODOLOGY
	• Adoption of project inspired principles strategies and good practices in relevant local policies and programs and financial plans		
To what factors can be attributed the achievement and/or non-achievement of the targets How valid is the Project Theory of Change	• Demonstrated correlation between sets of intervention (or absence thereof) and results, where appropriate • Identification by relevant stakeholders of key factors	• Data reported in project annual and quarterly reports	• Document analysis • Interviews with relevant stakeholders •
How is risk and risk mitigation being managed? • What was the quality of risk mitigation strategies developed? Were these sufficient? To what extent has the risks under the SESP materialized and how effective is the risk identification system?	• Completeness of risk identification and assumptions during project planning and design • Quality of existing information systems in place to identify emerging risks and other issues • Quality of risk mitigations strategies developed and followed	• Project documents • UNDP, project team, and relevant stakeholders •	• Document analysis • Interviews with relevant stakeholders •
EFFICIENCY: Was the project implemented efficiency, in-line with international and national norms and standards?			
Was adaptive management used or needed to ensure efficient resource use? Did the leveraging of funds (co- financing) happen as planned	• Availability and quality of financial and progress reports • Timeliness and adequacy of reporting provided • Level of discrepancy between planned and utilized financial expenditures • Planned vs. actual funds leveraged	• Project documents and evaluations, e.g., MTR, audit reports, spot check reports • UNDP Project team	• Document analysis • Key interview

EVALUATION CRITERIA AND QUESTIONS	INDICATORS	DATA SOURCES	METHODOLOGY
	• Cost in view of results achieved compared to costs of similar projects from other organizations • Adequacy of project choices in view of existing context, infrastructure and cost • Quality of results-based management reporting (progress reporting, monitoring and evaluation) • Occurrence of change in project design/ implementation approach (i.e. restructuring) when needed to improve project efficiency		
How was results-based management used during project implementation	• Cost associated with delivery mechanism and management structure compare to alternatives	•	•
Which partnerships /linkages were facilitated? Which ones can be considered sustainable? Which methods were successful or not and why?	• Specific activities conducted to support the development of cooperative arrangements between partners • Examples of supported partnerships • Evidence that particular partnerships/linkages will be sustained • Types/quality of partnership cooperation methods utilized	• Project documents and evaluations • Project partners and relevant stakeholders	• Document analysis • Interview

EVALUATION CRITERIA AND QUESTIONS	INDICATORS	DATA SOURCES	METHODOLOGY
Did the project efficiently utilize local capacity in implementation? Was there an effective collaboration between institutions responsible for implementing the project?'	• Proportion of expertise utilized from international experts compared to national experts • Number/quality of analyses done to assess local capacity potential and absorptive capacity	• Project documents and evaluations • UNDP • Beneficiaries	• Document analysis • Interview
How could the project have more efficiently carried out implementation (in terms of management structures and procedures, partnership arrangements etc.)?	• Lessons on efficiency drawn from the project	• Data collected throughout evaluation	• Document analysis •
SUSTAINABLITY			
Do project achievements show potential for inclusiveness, sustainability, replication, scaling up?	• Indictors of Potential for sustainability of project results	• Project documents and reports	•
Do the financial, institutional, policy; social, economic, cultural and environmental conditions pose risk/s to the sustainability of project results?	• Manageability of risks • Availability of opportunities • Potential of opportunities to boost sustainability of project results •	• Project documents • Data collected throughout evaluation • Sustainability plans	• Document analysis • Interviews with relevant stakeholders
Are the risks manageable? Does the sustainability plan address the risks? What opportunities are available that can help sustainability of project gains and how can these be tapped?	• Experience on the same risks in other projects • The extent of planning, programming and budgeting for specific measures proposed by key stakeholders	• Project documents • Data collected throughout evaluation • Sustainability plans	• Document analysis • Interviews with relevant stakeholders •

EVALUATION CRITERIA AND QUESTIONS	INDICATORS	DATA SOURCES	METHODOLOGY
Are there mechanisms to ensure continuing monitoring and analysis of results, and sustainability planning by key institutional stakeholder?	• Extent to which project results and lessons are monitored and discussed in institutional M&E / information systems (to support sustainability planning)	• Project documents • Data collected throughout evaluation • Sustainability plans	• Document analysis • Interviews with relevant stakeholders •
• What lessons can guide the design of the next phase (if any) of SLM interventions	• Enumeration of lessons	•	• Document analysis • Interviews with relevant stakeholders
IMPACT			
Has the project effected significant improvement in the governance of key degraded agricultural landscapes. Has the project affected national and local policies and practices with regard to SLM? What significant contributions have the project made to the science of SLM	• Degree in which participatory governance has been affected and effected by the project	• Data collected throughout evaluation	• Documents analyses • Interviews
Has the project provided incremental benefits to the natural, social, human and financial capital in affected communities?	• Impacts of the project in affected communities	• Data collected throughout evaluation	• Document analysis • Interviews with relevant stakeholders
Has the project significantly affected women, indigenous peoples and other vulnerable groups socially, politically, economically and culturally?	• Positive and negative Impacts of the project on affected women, indigenous peoples and other vulnerable groups	• Data collected throughout evaluation	• Document analysis • Interviews with relevant stakeholders

ANNEX 7: QUESTIONAIRE AND SUMMARY OF RESULTS

A questionnaire was shared to different respondents (particularly those who form of the implementing partner/agency) as recourse to difficulty of setting appointments. There were common questions and few questions added to certain audiences. A number of those whom questions were sent eventually made they available. So only four (R1, R2, R3 and R4) responded in written form. R2 and R3 responded jointly. In addition, one respondent provided verbal and written comments. Three were not able to respond.

What do you think is the actual "value addition" of the project, when compared to your previous or on-going projects?

R1 -The photo-visual assessment of LD can be conducted using personal cell phone and is farmer friendly. Comparison between areas suffering from LD and those stable areas can be easily seen and understood at the farm level. The use of bio-indicators provides better understanding on the effects of specific form of land degradation. In the project, "muyong" is being introduced as component of Agro-forestry Ridge Stabilization System that also includes Soil Carbon Trashline Technology being practiced by the farmers themselves.

ILMF and Supplemental Guidelines on Mainstreaming SLM in CLUP of LGUs are important tools that will facilitate the broader adoption of SLM at the local level by ensuring that SLM will become part of the regular programs of the LGU. On other hand, ILMF will provide the means and the menu to implement SLM.

R4 The unique contribution of project to our program in terms of new knowledge is on the Adaptive balance fertilization thru pictures. It could be an extension approach to explain science by pictures'/c can be understood and remembered by farmers

Based on your experience working with the project, what do you think were its major design and implementation challenges?

R2 &R3 in terms of design, the project has a good organizational structure. The creation of the Inter-Agency Technical Committee. The creation of the techno demo. The Project also has the Project Management Office O closely works with the BSWM National Focal Person. In terms of technical innovations these included: Photo-visual mapping and assessment of Land Degradation which could be done on-farm. Bio-indicators "Muyong" as an approach in agro-forestry development. Introduction of Integrated Land Management Framework (ILMF) and the development of Supplemental Guidelines on Mainstreaming SLM on the CLUP of LGUs.

Key Challenge include High turnover of the Project Management Office Staff, Short timeframe to achieve the targets. Some of the targets like a policy issuance would outlive the project; Measuring the adoption of the beneficiaries (over a 3-year period only)

How would you redesign the project or revise its implementation strategy, if given the chance to do it again?

R2&3 hiring of the PMO and consultants at an earlier phase. Longer timeframe to validate/monitor sustainability. Increase in budget for monitoring. Employ a multi-disciplinary site team measuring the %SLM guidance delivered by extension services and adoption of farming households upon implementation of FFS. (3 years insufficient). FFS is dependent on the tools such as training manuals etc. developed from the project which are available towards the end of the project.
R4 Referring to the participatory LD monitoring tool – In the case of Farmers' Field School learning field, where more farmers are involved to observe in learning field. In ordinary FFS farmer will draw and write their observations in the field. In this tool, farmer will just see and analyzed the picture. Farmer to farmer has adaptation effect, hence could be scaled up.

In what aspects do you think the project was most efficient (value for money). (In what aspects). Was inefficient?

R2&3 Establishment of the Inter-Agency Technical Committee; Establishment of the Local Technical Working Group; A National Integrated Land Management Framework Planning Tool for mainstreaming SLM in development and land use plans. Other items cited in the latest APR /PIR are cited here. Others highlighted include Municipal planners and LGU representatives are responsive and attended s special training on Agriculture and Environment and Natural Resource accounting, Cost Benefit Analysis, and Preparation of the ILMF Plan and Guidelines on Mainstreaming SLM were conducted to capacitate LGU planning, MAO and MENRO in the updating of CLUP. Sustainability plans of FMB, Leyte Province, HLURB, ATI, and BSWM in place. Inefficiency was experienced in terms of the delivery of planting materials at the onset of the project due to procurement process at the Bureau.

What measures for transparency did you put in place? What were your indicators that they were effective?

R2 &3 Submission of required regular (technical and financial). Reports Conduct of inception and peer review meetings. Routing of the deliverables of the consultants to the members of the IATC. Conduct of consultation meetings with heads of divisions of BSWM. Conduct of Mid-Year and Year End Assessment and Planning Workshop. Regular conduct of Project Board meetings to seek approval from the Board for modifications

What were the major contributions of the following players and where were the gaps in contribution and why?

BSWM.GSITD – Who took over the role in achieving the target for Database and decision support information system operational and accessible to LGUs. SCMD – Development of the TDF (topographic survey and mapping, field layout, staking, establishment of contour lines, farm development plan and planting). LSD – Soil Analysis/ Training on Soil and Nutrient Management. ALMED – base lining information, socio-economic characterization for the pilot sites. SSD – soil characterization of sites, soil testing, soil profile description of project sites, maps of soil properties

UNDP -facilitating the development, review and submission of projects for GEF financing; management and delivery of program outcomes and monitoring of project implementation and performance; approve any deviation from the project implementation plan

Board-provided the policies and directions in the implementation of the project. **IATC-**ensured the technical aptness of the outputs of the project

In what ways did partner LGUS facilitate attainment of outcomes?
R2&3 support to all project activities. Actively disseminating information on SLM to other farmers and decision makers

In what ways did partner LGUS constrain attainment of outcomes?

R2&3 Non-participation of one MAO, Relationship between LGU offices

What kind of capacity of subject matter specialists on land/soils management at the national and regional level need to be strengthened? What aspects were strongly addressed under the project? What was not?

R1There are not much effort on soil conservation and management except the on-going initiatives on Sustainable Corn Production in Sloping Areas (SCOPSA). Soil and water conservation are supposed to be within the functions of the Regional Agricultural Engineering Division (RAED) of the DA-RFOs. However, most RAEDs are working more on water conservation through the implementation of small-scale irrigation projects (SSIP). Suggestions are made to integrate soil conservation-related activities/projects in the annual work plan of DA-RFOs, then undertaking capacity building on soil conservation and management. Enable LGUs to have equivalent subject matter specialists and provide additional monthly honoraria and incentives.

Apart from lack of resources (manpower and budget) what do you think might pose as socioeconomic and institutional risk to the sustainability of innovative practices introduced? How do you think can these be addressed in the next 3 years?

R2&3 these include efforts such as commitment from the responsible agency and agency focal. Also Integrate/ mainstream tools and technologies developed for the project – BSWM activity. Conduct of validation research to enhance technologies

What do you think are the key institutional learnings from project implementation?
R2&3There is a need for consistent attendance of key personnel both from BSWM and key partner agencies with the end in mind who can translate and relate the findings of the project to the agencies' thrusts. Management appreciation and agency commitment are key factors to integrate tools developed by the project in its regular activities: e.g. SCMD. Other very innovative ideas derived from the project learnings were cited

Do you see your office playing a major role in fine tuning and upscaling the innovations started in two sites?

R1 We will play a major role to fine tuning and upscaling the innovations started by the project (participatory LD monitoring. The possible entry point is the National Soil Conservation Roadmap currently being developed by SCMD by taking project outputs as inputs to the roadmap. CLDI process can be utilized at the farm level LD assessment and may provide verification of outputs using the guidelines provided by the UNCCD. Two technologies to be tested (Muyong AF and ABF) – adaptation in other places in terms of their suitability in different areas. Promoting best practices (including enriching the current Phil CAT portfolio)

What SLM oriented policies do you think should be prioritized, as a result of learnings from the SLM project?

R1 To ensure the broader adoption of SLM at the local level, the finalization, approval, and implementation of the "Supplemental Guidelines on Mainstreaming SLM in the CLUP of LGUs" should be prioritized.

ANNEX 8: MATRIX FOR ASSESSING PROGRESS TOWARDS OBJECTIVE and EXPECTED OUTCOMES

Matrix for Assessing Progress Towards Objective and Expected Outcomes

Indicator Assessment Key

Green = Achieved	Yellow = Partially Achieved	Red = Not Achieved

Objective/Outcome + Description	Indicator	Baseline level	End-of-project Target	Level at TE *(insert date)*	Achievement Rating	Justification for Rating
Objective: Strengthening SLM framework to address land degradation processes and mitigate the effects of drought in the Philippines.						
Outcome 1 Effective cross-sectoral national and local enabling environment to promote integrated landscape management (ILM).	**Indicator 1.1** An integrated land management framework incorporating SLM practices and technologies.	Presence in the guidelines in Mainstreaming CCA-DRR and biodiversity conservation in CLUP.	A national integrated land management framework mainstreaming SLM practices and technologies developed and adopted by HLURB.	A policy statement by the Sec of Agriculture and budgetary instruction to expand investments in support services for SLM particularly on improving soil health. (Based partly on project recommendations on the actual nature of land degradation in humid tropics under CC). Policy promulgated by the Housing and Land Use regulatory board adopting the Integrated Land Management Framework as guide for LGU in preparing their Comprehensive Land Use Plans (CLUP). Draft Joint Memo (DA and NEDA and DILG) for mainstreaming SLM in the preparation of Provincial Development Plan and Comprehensive Development Plan is under initial interagency review.		The articulation of the true nature of LD in the humid tropics as affected by climate change will go a long way to strengthen the scientific basis for SLM planning in the tropics. This has also led to a recent series of senior level discussion on the topic under the new DA leadership. The new HLURB guidelines will guide 1500 plus municipalities in the CLUP planning and at the same time bring agricultural land use planning in the forefront of local level decision making.
	Indicator 1.2 Enhanced CLUP guidelines to mainstream SLM Relevant policy issuance for the mainstreaming of SLM in local land-use including	No existing procedural guidelines on mainstreaming SLM in land use, agricultural and forestry	Guidelines on mainstreaming have been applied in to pilot municipalities and further enhanced based on experience and	ILMF guidelines adopted by HLURB for CLUP preparation and actually applied in 2 pilot municipalities as key guidance for LGUS in their agri sector land use planning.		The 2 pilot models will help market the concept to MLGUs.

	forest land use and development planning processes.	development plans. Pledge of commitment signed by DA, DAR and DENR in support to the implementation of the National Action Plan to Combat Desertification, Land Degradation and Drought (NAP-DLDD 2010-2020)	findings of the testing exercise.			
	Indicator 1.3 Data base and decision support information system operational and accessible to LGUs.	Existing LADA web portal with maps at national and regional scales.	Issuance of Joint Memorandum Circular or special order on SLM mainstreaming by DA, DENR and DAR. Issuance of memorandum order or administrative order on SLM mainstreaming by DILG to priority LGUs.	Draft joint memorandum between the DA Bureau of Soils and water Management and the DENR Forest Management Bureau cleared by legal offices for executive review. The memo aims guide collaboration in information management, planning and technical assistance provision for SLM to upland farmers in both forest lands (CBFM program) and private lands. Ongoing incorporation of SLM in the forest land use planning (FLUP) process for LGUs, based on consensus between BSWM and FMB.		The foundational collaboration climate for joint policy preparation work has been established and is part of the sustainability planning of DA BSWM and DENR – FMB.
	Indicator 1.4 Competency development programme for LGUs on SLM technology application and mainstreaming developed and implemented. Increased scores of the indicators	New and young scientists from BSWM, DA Regional Offices, DENR and DAR lacked hands-on training on SLM. Average capacity scores for (See Annex F for the Capacity Development	Developed a GIS-based LADA maps incorporating SLM practices and technologies with information/maps accessible and relevant to CLUP preparation of LGUs List of training modules on SLM technology	GIS based system for incorporating SLM practices and technologies in LADA maps are still work in progress and is part of sustainability plans of the DA BSWM after the project. The concept of CLDI (as applied in the context of humid tropics as affected by climate change) , was tested and adapted to Philippine conditions to participatory, climate adaptive measuring method for land degradation This will		Foundational work has been done here.

	of the following capacity results.	Monitoring Scorecard)	application and mainstreaming for LGUs developed Potential trainors from DA-BSWM, DENR and HLURB are identified and trained on various SLM management and physical technologies on SLM. At least an average increase in 5 capacity results by (see Annex F for the Capacity Development Monitoring Scorecard)	subsequently guide the preparation of LD trends data bases. The Project provided technical assistance service for the 2 pilot LGUs in accessing and assembling geographic information for the preparation of ILMFs Training modules developed and piloted but not yet revised, based on learnings from pilots. Potential trainers from DA-BSWM, DENR and HLURB and LGUs were identified and trained on LD assessments and SLM management strategies. However follow up mentoring strategy has yet to be formulated. Increase in scores for DENR, DA and HLURB for 5 capacity results by (see Annex F for the Capacity Development Monitoring Scorecard). See Table 2 of TE		
Outcome 2 Long-term capacities and incentives in place for local communities and LGUs to uptake SLM practices in two (2) targeted municipalities in the Philippines.	**Indicator 2.1** Plant/soil cover in the agricultural land area covering 2,887 ha and forest cover in Barangay Silae	Plant/soil cover to be established during project implementation in the first year 721.65 ha of forest land area	Increase in plant/soil cover ratio No net loss of forest cover in Barangay Silae	From the Agri mapping data of Malaybalay LGU, there was a reported increase in forest cover between the years of 2017 to 2019 by approximately 30%. Accordingly, this can be partly attributed to tree planting activities that formed part of the City's own program. It is not necessarily directly related to the core activities of the project in the pilot barangay. There is no similar data on forest cover available from the Leyte site. Overall, Plant – Soil Cover data cannot be correlated with project interventions which focused strongly on farm level interventions. Also, extension activities have not achieved yet a certain threshold of adoption that would involve large land areas. Catch up extension activities by		The follow on LGU program can provide the conditions to make this happen

			LGUs will contribute to this on the long term.		
Indicator 2.2 Dry Matter (DM) and Organic Matter (OM) Content from 5 sample sites randomly selected from the agricultural land area (151 ha) and forest land area of Barangay Tadoc	Sample sites and baseline Dry Matter and Organic Matter to be determined during Year 1 of implementation 12.61 ha of forest land area	Average increase in DM and OM Content of Soils in 5 sample sites representing the soil fertility of the 151 agricultural land area No net loss of forest cover in the Barangay Tadoc	Data from Abuyog and Sta. Fe pilot sites in Leyte (a total of 3 sample sites) provide insights on the positive effect of interventions on organic matter (from below 1.8 to above 1.8%). Data for Dry Matter content in Leyte was substituted with yield data. Yields increments from 3 sample farms (range of 47-57 % increase		The follow on LGU program can provide the conditions to make this happen
Indicator 2.3 Composite Land Degradation Index (LDI)1 monitoring system for monitoring LD is developed and in place for City of Malaybalay and Abuyog Municipality	No LDI monitoring system in use	Stable or improved composite LDI monitoring system across 20,000 ha3 in two municipalities Agriculture: 3,038 ha Forestry: 734.26 ha Mixed System – 16,227.74 ha	(note – the indicator was one of the problematic indicators identified under this TE) A sustainable LGU monitoring system for LD trends using the CLDI is only partially completed. Farmer-based monitoring of LD demonstrated in selected farms in pilot barangays. This serves as backbone for an LGU-wide, CLDI-assisted monitoring system. This is also complemented by the initial development of a farmer to farmer-based extension approach.		The articulation of the true nature of LD in the humid tropics as affected by climate change will go a long way to strengthen the scientific basis for LD assessment at the LGU level; This will be particularly useful method for LGUS belonging to the 18 flagship river basin program of the country.
Indicator 2.4 Increased in % of SLM guidance delivered by extension services	Lack of SLM modules on the existing Farmers Field School (FFS)	100% SLM guidance delivered by extension services through integration of complete SLM modules in the season-long FFS	An FFS-assisted SLM extension system in the pilot LGUs for Project-assisted technology improvements is not yet in place. The DA Agricultural Training Institute (ATI) and the BSWM are currently discussing the content of the FFS and plans and budgets have been prepared for complete preparation by 2021 as part of sustainability plans. Alternative extension approaches were piloted (two phases – participatory on farm LD assessment and key farmer demonstration and farmer to		Ongoing follow on discussion between the BSWM and ATI to achieve targets for FFS formulation

				farmer dissemination), This had not yet been subjected for analysis between BSWM and FMB.		
	Indicator 2.5 Farming households adopt sustainable agricultural practices and integrated SFM/SLM practices	There are total 2,924 farming households in the 2 target sites 3 Brgys. out of 46 Brgys. in Malaybalay City and 13 Brgys. out of 63 Brgys. in Abuyog	At least 585 of the farming households in 2 targeted municipalities (3 Brgys. out of 46 Brgys. in Malaybalay City and 13 Brgys. out of 63 Brgys. in Abuyog) adopt sustainable agriculture practices and integrated SFM/SLM practices	HH level adoption is less than 5 % of targets partly due to delayed availability of extension systems and limited success in facilitating appropriate policy-based incentive systems, However the present crop of adaptors are actually successful on farm demonstration farmers and will be tapped under the newly launched LGU SLM program (see below). The City of Malaybalay has launched its own SLM program that seeks to expand the earlier work.		The follow on LGU program for expanding SLM work can provide the conditions to make this happen over a more realistic time frame

ANNEX 9: CONDUCT OF AGREEMENT

EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7 Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form[5]

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Eduardo E Quebiatan

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at *place* on *date*

Signature: _____ May 2, 2019 Manila

[5]www.unevaluation.org/unegcodeofconduct

ANNEX10: UNEG FORM

EVALUATION REPORT CLEARANCE FORM

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by
UNDP Country Office
Name: _____
Signature: _____ Date: _____

UNDP GEF RTA
Name: _____
Signature: _____ Date: _____

NNEX11: EVALUATION CLEARANCE FORM

(Each UNEG member to create its own forms for signature)

United Nations Evaluation Group Code of Conduct for Evaluation in the UN System

Evaluation Consultants Agreement Form

To be signed by all consultants as individuals (not by or on behalf of a consultancy company) before a contract can be issued.

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Eduardo E. Quebiatan

Name of Consultancy Organisation (where relevant)**:** _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at (place) on (date)

Signature: May 2, 2019 Manila