

2008 OUTCOME EVALUATION REPORT

ON THE UNDP ENVIRONMENT AND ENERGY FOR

SUSTAINABLE DEVELOPMENT

ACRONYMS

ADB	Asian Development Bank
BOI	Board of Investments
CBRED	Community based Renewable Energy Development
COE	Committee on Ecology, House of Representatives
COP	Conference of Parties
CPAP	Country Program Action Plan
DA	Department of Agriculture
DENR	Department of Environment and Natural Resources
DND	Department of National Defense
DOE	Department of Energy
DRM	Disaster Risk Management
DTI	Department of Trade & Industry
FASPO-DENR	Foreign Assisted and Special Projects Office Planning and Policy Office
EC	European Commission
EESD	Environment and Energy for Sustainable Development
EMB	Environmental Management Bureau Forest Management Bureau- DENR
EMB-DOE	Energy Management Bureau
ENR	Energy and Natural Resources
ETUSB-DOE	Energy Testing and Utilization Services Bureau
FASPO	Foreign Assistance and Special Projects Office
GEF	Global Environment Facility
GOP	Government of the Philippines
MGB	Mines and Geosciences Bureau
MMDA	Metro Manila Development Authority
MSME	Micro, Small and Medium Enterprises
MTPDP	Medium Term Philippine Development Plan
NCTS	National Center for Transport Studies
NAMRIA	National Mapping and Resource Information Authority
NDCC	National Disaster Coordinating Council
NEDA	National Economic and Development Authority
NWB	National Water Resources Board
OCD-DND	Office of Civil Defense under the Department of National Defense
PAGASA	Philippine Atmospheric, Geophysical & Astronomical Services Administration
PAWB	Protected Areas and Wildlife Bureau
PATLEPAM	Philippine Association of Tertiary Level Institutions on Environmental Planning & Management
PEMSEA	Partnerships in Environment Management for the Seas of East Asia
PhiVolcS	Philippine Institute of Volcanology & Seismology
PSDN	Philippine Sustainable Development Network
SNAP	Strategic National Action Plan

UNDAF
UNDP

UN Development Assistance Framework
United Nations Development Program

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EXECUTIVE SUMMARY

An **outcome evaluation** of the program on *Managing Energy and Environment for Sustainable Development* (EESD) was undertaken in August to September 2008, 15 months prior to its completion. It is one of four programs in the Philippines that is guided by the UN Development Assistance Framework. It seeks to **strengthen the capacity of key stakeholders to implement the Energy and Natural Resources Framework** roadmap for the next 10 years and other framework plans, such as the RE Policy Framework and the PA 21 and the Medium Term Philippine Development Plan (MTPDP).

The environment problem in the Philippines is huge and has enormously grown for the last 40 years and ENR agencies and institutions are unable to cope. UNDP has provided technical and financial support to policy, program and capacity development in three sectors, namely **environment, energy and disaster management**. The evaluation involved a desk review of documents, field visits and interviews of key informants in selected project sites. The practical concern of the EESD portfolio is to a) evolve **frameworks and strategies** for sustainable development; b) effective **water** governance; c) access to sustainable **energy** resources; d) conservation and sustainable use of **biodiversity**.

UNDP core (TRAC) resources have been instrumental in building institutional capacity in terms of:

- a) Developing *human capability* and augmenting, though temporary, the number of staff dedicated to specific projects on ENR;
- b) enhancing *organizational mechanisms* by enabling or facilitating coordination; creating the policy and legislative platforms and developing concrete programs to translate policy into action as well as in
- c) *increasing public support* through raising awareness and appreciation to some degree of some key players, though there is great scope for expansion of development efforts in this regard, and most specially in
- d) augmenting national *financial resources* for ENR management.

Key Findings

The greatest threats to predictable and effective ENR management is **climate change and poverty**. The unbridled growth of the Filipino population poses a great threat to the use of natural resources and degradation of the environment, especially, if the stakeholders remain ignorant and oblivious of their obligations and responsibilities in protecting and managing the environment and natural resources.

Considering the enormity of the environmental challenge, there is a long way to go to fully attain the desired outcome. Further, the targets for capacity building is likely to be a “moving target” because the environment changes over time and the numerous uncertainties in the environment and natural situation.

In analyzing the extent of outcome attainment, two perspectives were considered: a) who were the stakeholders to be strengthened (e.g. duty bearers versus claim holders; government, NGOs, private sector; national versus local governments) and b) **what capacities** were actually built or enhanced.

In general, there are good evidences showing substantial progress in outcome attainment. However, financial and human capacity building have not progressed as fast as the organizational capacity building and public support. Evidences show that increased stakeholder capacity has transpired to some degree but it is difficult to quantify the extent of the changes. Quantifying the extent of outcome attainment is rather difficult for a number of reasons:

- clear-cut and precise outcome indicators have not been established for each of the ENR subsectors, i.e. solid waste & water; renewable energy; disaster management, etc. and baselines in the requisite capabilities were not established at the beginning of the project(s) making it difficult to ascertain the extent of change

- a monitoring and evaluation system for each of these subsectors and an system for integrating the results of parallel efforts have not been set up yet although project specific monitoring were set up with UNDP support
- measurements, information and data in support of precise assessments are not readily available.

It was noted that there has been a qualitative change in perspectives by a limited number of people. The critical mass of experts needed in the energy sector needs to be determined. There are existing experts but they are believed to be insufficient in number due to underutilization i.e. (mismatch of their expertise with their actual work assignments and the lack of incentives and reward systems.)

The very existence of the ENR Framework Plan is evidence of an improvement in national capacity to address environmental concerns and must be appreciated as a significant milestone in progressing toward the outcome, especially coming from a zero base (i.e. absence of an integrated framework) during the last ten years. In this regard, UNDP support could well be regarded as **catalytic** in enhancing stakeholder awareness and duty bearers' intelligence in environmental management. The UNDP EESD program focused on programs, budget and institutional mechanisms, that is strengthening organizational mechanisms to enable practical implementation of policies and multilateral environment agreements as shown in figure 1 (as shown on page 22).

Strengthening of **financial capacities** has moved in small steps in the context of the EESD project. It has shown that revenue generation in the context of environment protection and conservation projects could be effectively done as in the case of the community based solid waste management project. The need is to bring such a successful pilot to a critical scale so that a larger impact could be felt in the sector. Financing capacity (that is leading to self-sufficiency) has ways to go before it can be fully realized. Within each sub-sector, schemes will have to be created and tried to check how these will play out in practice. Financing schemes for renewable energy development have to be designed. Initial talks with banks have been held but the CBRED project, having stopped for some time, is as yet in the process of getting its act together. Financial capacities of the national agencies and the local governments are both major areas of work. In this regard, for example, UNDP could support advocacy to enhance the bank capacity to design and formulate financing schemes for environment programs and projects.

Capacity building in terms of **organizational mechanisms** has substantially progressed considering the nil baseline from which they started. The NCSA assessment of gaps pertain to *lack of coordination, weak policy support, unstable programs and policy environment and coordinating mechanisms*. By design, the UNDP EESD activities drove and channeled their support toward strengthening organizational structures and mechanisms. In the process, it yielded a number of tools and community-based models for ENR & disaster management.

Public support was generated within each sub-sector relative to the key messages that they propagated. Embedded in the projects are concrete advocacies which when successful could lead to behavior changes vital to environmental governance and sustainable development and would give the public support essential to ENR management reforms in the country. Significant progress was made in terms of generating support for the Environment Code and the Renewable Energy Bill; adoption of solid waste management practices; adoption of energy efficient lighting and environmentally sustainable transport., awareness on need to shift from disaster management to disaster **risk** management, among others.

The delivery of outputs has not been fully completed though activities are on stream and proceeding in the right direction despite some hiccups since early 2007. The immediate challenge is to speed up implementation to keep up with the time lines. By sub-sector, most activities and outputs are now on stream and they have 15 more months to fully deliver the outputs:

In accordance with the EESD program design, significant contributions to the attainment of the outcome have been made in terms of: a) creating an enabling environment for sustainable development; and b) developing

frameworks, strategies and tools c) making available vital information essential to strategic planning and programming and facilitating enabling activities to move forward the implementation of multilateral environmental agreements. Project outputs either laid the basis for future action or directly equipped duty bearers to design action plans and implement them.

The EESD projects aimed at capacity development have varying degrees of complexity, different interventions & inputs and varying degrees of sustainability potential.

UNDP is a ‘small fist trying to make a big punch.’ It has scored some successes in creating the knowhow for ENR management through support to demonstration and pilot projects. Thus, it has broken ground in specific areas such as solid waste management and biodiversity conservation and has yielded models that merit scaling up and institutionalization on a wider scale. UNDP soft assistance (not funded by loan program)¹ extended technical and financial assistance to its implementing agencies, usually the key duty bearers in ENR management. The varied roles of UNDP came into play in the EESD portfolio and had varying importance depending on the specific nature of the project.

UNDP was able to effectively though indirectly, exercise its **convening power** and organize policy dialogues among stakeholders within the projects it supported. One of its visible feat under the EESD program is the creation of a culture of collaboration among the disaster management agencies. Through the READY project, members of the National Disaster Coordinating Council (NDCC), are now talking to each other. By their own admission, prior to the READY project, they had worked in “silos” and they had difficulties extracting information from some agencies. Inter-agency collaboration and peer interaction has now become the norm.

Key lessons learned

Multi-sector stakeholder participation but the mobilization of non-government and the private sector could be scaled up. But private sector engagement is easier said than done. Their responsiveness will vary with the nature of the engagement required of them. Environment protection and resource conservation are shared responsibilities of the duty bearers and claim holders. ENR reforms and capacity building should address both duty bearers and claim holders.

The academe is an underutilized asset in capacity building for effective ENR management. They were effectively harnessed in developing and promoting environmentally sustainable technologies. The academe should be able to assist the LGUs in tackling local issues. Support for promoting academe (at national and local levels) and the LGU officials could be promoted and the potential of the academe optimized in capacity development for local governance, environment protection and resource conservation.

Finding a workable financing scheme is the continuing challenge. For example, illegal logging is stumbling block in forest conservation. Private interests, sometimes involving patronage politics, pose major blocks to forest conservation.

Community acceptance of the link between environment protection and sustainable development is needed in making ENR development actions work and in facilitating long-term sustainability of innovations and development actions. Community based approaches are feasible and a promising way of promoting effective ENR management as was shown in the biodiversity conservation, ecological solid waste management, energy conservation and possibly, renewable energy development. But community based schemes for environment management should

¹ Support for policy studies, policy review & development, capacity building, design of innovative financing schemes.

take into account commercial viability and financial sustainability with service delivery. Consumer behavior must be reckoned with in ventures to use alternative and renewable.

Partnerships with LGUs is a key strategy toward ENR management because they have the mandate for ENR management and the obligation to provide a clean and green environment to their constituents. With their internal revenue allocations, they also have some degree of financial capacity to invest on capacity development for ENR management. Most of the time, they lack the technology and knowhow. EESD should support programs that would bring the technology and the knowhow to their doorsteps.

Capacity development should be a planned, continuing and iterative process; it cannot be a single shot. ENR capacity building is about mind shift and modifying behavior on a “grand scale.” It means behavior changes at multiple layers: individual, communities, organizations, institutional at national and local levels. It involves the re-engineering of people’s orientations and inculcating respect for the environment and natural resources. ENR management requires changes in behavior at individual, community and societal levels and should inculcate **citizens’ obligation** to protect and conserve it and not to merely leave it to the government to perform the task.

Public support for ENR management is important for policy reform, resource allocation and implementation of programs. A purposive effort to crystallize and consolidate public support can be achieved by methodically building broad based constituencies. Sustained IEC and social marketing should be harnessed to bring all stakeholders in the Clean and Green movement. It should be part of the national strategy for institutional capacity building and warrant dedicated efforts and investments and must be done methodically. There is great scope for sustained information campaigns especially in the light of numerous disasters affecting the Philippines. Also, adaptive management should be rigorous and fully documented.

The regular consultations and meetings and the installation and designation of an organic Project Coordinating Team within the implementing partner facilitated the coordination and fulfillment of the achievement of outputs and outcome.

Financial resource limitations had adverse impacts in strengthening institutional capacities. Human capacity requires more attention and it has different aspects to it. One aspect has to do with the chronic shortages of human resources in the government due to rapid staff turn-over and inability to have more experts & technical staff is a recurring phenomenon. Organizational reforms are vital to ENR management and capacity development. DENR is the agency vital to ENR management in the Philippines and significant steps are needed to inject direction and dynamism in the organization.

In building national capacity for ENR management, the roles of the Department of Agriculture and Department of Transportation and Community in ENR management must be further explored and strengthened. Capacity development is about strengthening good governance for ENR management. To begin with, it requires institutional leadership and vision. Optimum functioning of DENR, DOE and related agencies, must enable the Philippines to get its act together in tackling environmental challenges and ensure that development does not put the environment in jeopardy.

There are practical challenges in project implementation: different institutional cultures of national government agencies; project designs can be overtaken by events; indiscretions in the use of project resources could happen. Time lags in project delivery is a function of many tiny things, largely operational bottlenecks.

There is no mechanism for integration. Work planning should factor in this element. DENR is not aware of programs with other implementing partners supported by UNDP and the latter is perceived to be in “too many small things” in many different areas.

The EESD portfolio yielded a fair harvest of good practices. One of the very successful experiments of the UNDP-EESD programs is the Community based Ecological Solid Waste Management (CBESWM) which can now be replicated in other communities. It holds promise for solving the huge solid waste problem of Metro Manila if it can be scaled up and engage a critical mass of the communities to practice CBESWM.

The school & educational systems is an efficacious way of institutionalizing project gains, creating the critical mass and modifying behavior. Mobilizing the youth to make them environmental champions has inter-generational impact and could lead to lasting behavior modifications. Mainstreaming sustainable development perspectives and disaster risk management in the LGU planning system has great potential in influencing the community residents and the ordinary citizens who are likely to be adversely affected by environmental degradation. But this process needs to be guided and watched. Broad based multi-sectoral social marketing for energy efficient lighting. PELMATP social marketing efforts were internationally recognized, particularly its tagline: *Palit Ilaw, Tipid na, Ligtas Pa*. Follow through and revisiting some project provinces to check on the situation and condition of project gains on the ground, i.e. Surigao del Norte. The READY the team revisited the place to check the status of the equipment such as rain gauges that were installed under the project.

Conclusions and Recommendations

Capacity development is at the core of the development challenge in the environmental sector. Significant milestones are the ENR framework plan and the NCSA assessment. Their use should be optimized and should drive the determination of projects to be supported and rationalize resource mobilization and utilization of official development aid. Capacity development is far from having been fully attained especially when compared to the numerous capacity gaps identified under the 2006 NCSA.

The UNDP-EESD program has rightfully focused on strengthening organizational mechanisms which is expected to build national capacity to implement and enforce environment laws. The thrust of capacity development should be to build and strengthen institutional capacity to design, implement, monitor and evaluate programs that would facilitate fulfillment of ENR national objectives & thrusts as well as comply with the MEA. Many tools have been developed and this should facilitate actions among duty bearers. But more work is needed for the ultimate passage of legislations and designing and implementing financing mechanisms until they reach maturity for widespread application. Capacity development is never done and the challenges are manifold and diverse, internal and external. As long as these twin problems of poverty and population growth continue to worsen, environmental problems are not far behind. Climate change is bringing a dimension of urgency to ENR management.

Capacity development in the Philippines should be expanded and intensified given enormous, diverse and overwhelming environment challenges; the plethora of international agreements on environment, domestic legislations, policies and guidelines and expansion of DENR's mandate due to recent laws such as the Ecological Solid Waste Management Act, Clean Water Act, adoption of the Integrated Coastal Management (ICM) as a national strategy as per Executive Order 533.

More time and resources are needed for the EESD initiatives to reach full maturity and practical application. The EESD program has generated a significant store of experiences and lessons from the field, particularly in relation to capacity development. Commendably, there are case documentations of the experiences in ENR management capacity development such as the community based solid waste management and the EST advocacy. However, the case write up and analysis should be guided by a common framework to make the comparative analysis and drawing of lessons easier.

The field of ENR management involves numerous stakeholders addressing a diversity of multifaceted, inter-related and complex issues spread in a vast geographic territory, including land, air and water. ENR concerns are found at different levels: national and local, and they are closely linked and changes iterate. LGUS are expected to formulate ENR programs. In fact, one of the parameters for measuring the performance of local chief executives is their ENR

program. Substantial capacity and capability gaps in ENR management are found at national and local levels but most especially the latter. More efforts should be directed to LGU capacity building in ENR management.

Cross cutting issues like gender is very sparsely tackled in the projects. Reference to gender issues was encountered in the Ibaday, Palawan solar energy project. This seems to be the exception than the rule. Programs have remained gender neutral and may well speak of the lack of gender responsiveness as well as the lack of gender mainstreaming capacities among the environment experts. In 2006, there was mention of a DENR assessment of Gender and Development Mainstreaming Policies. At the time, the study was supposed to be in the process of data coding. The report on the said study has not been seen by the Evaluator.

Observance of partnership and participation has been markedly consistent and purposive. These have yielded positive results; the UNDP must sustain this practice.

RECOMMENDATIONS

On programming. Maximize the use of the 2006 NCSA and the 2006 ENR Framework Plan as guides to the determination of the thrusts of the next generation of UNDP-EESD capacity development program. The previous programming cycle did not have the benefit of such a roadmap but the next program cycle, 2011-2014, should optimize the presence of such an assessment for planning and programming. This should bring in the necessary coherence to the capacity development program for ENR management.

Harmonize and spell out points of convergence and synergies among the various international energy agreements, the related domestic laws and policies, including the proposed legislations now on file with Congress. The policy environment must be internally consistent and should not counter each other.

On public support. Increase public support for ENR management all over the country. This means intensifying social marketing, IEC and advocacy efforts among duty bearers. ENR should be a concern of every Filipino citizen now and in the future. The inter-generational impacts of caring for the environment is certainly enormous and every effort should be taken to bring the general public into a “national movement” for a clean, green and sustainable environment.

Social marketing, information, education and communication campaigns must be scaled up and sustained to generate a critical mass of people who would shift their behaviors toward greater environmental care and protection. These actions would generate the required public support to enforce environmental laws or to pass new laws and policies to reduce risks of disaster and adapt to adverse results of ENR degradation.

Relative to the Stockholm Convention, there is a need to popularize information on the Convention as well as the persistent organic pollutants. It is hard to demonstrate impacts immediately because impacts accumulate over time. In this regard, DENR could explore linkages with the DOLE for the possibility of joint inspections to enforce use of such pollutants in private firms. UNDP could help broker this linkage.

There is great scope for strengthening public support for ENR. This implies expanding social marketing and IEC campaign to change public attitudes and behaviors in support of environmental protection and resource conservation and to generate stronger public support for ENR management policies and programs.

The mindsets of the duty bearers and the public relative to environment need to be changed or redirected. For example, transport has been trained to view it as job generation though the sector is poorly maintained and unsustainable. Thus, jeepneys and tricycles have geometrically multiplied and polluted the air with their gas emissions. The Filipino citizens must now begin to see this from the standpoint of the environment.

On scaling up. Scale up efforts to strengthen LGU capacity for ENR management. Initial work on the production of the SD handbooks is commendable but efforts must be taken to aid the LGUs in disseminating this further. Rightfully, the UNDP noted that there is a need for pilot cases and success stories for showcasing to other LGUS

and to link up with LGU leagues for wider dissemination and use of the handbook. (SPR, 2007) These could be used in institutional courses and programs on local governance such as those of the National Center for Public Administration & Governance; the Ateneo School of Governance, the Local Government Academy and the like.

Existing related development initiatives should be mapped and the READY team could establish linkages for exchange of information and possible collaboration. READY could build on such initiatives on the ground to enhance the capacity of LGUs in disaster preparedness and to develop an approach to create a critical mass of capacitated stakeholders, including duty bearers and claim holders and a community of practitioners. This could comprise the exit phase of the READY project and ensure long-term sustainability.

The adoption of environmentally sound technologies requires claim holder and duty bearer participation is a case in point. Toward this end, the EESD program sought to build the capacities of communities for environmentally sustainable globalization (CAP 2015) by developing and distributing training modules to 6 selected sites; formulating business plans for 5 sites; compiling best practices and list of buyers with specifications.

Systematic work to strengthen LGU capacity to respond to disasters is evident in the non-TRAC funded programs implemented by the Office of Civil Defense. The PEMSEA also directly worked with the LGUs in its effort to promote ICM.

In relation to this, there should be efforts to push for a comprehensive land use policy (CLUP) that incorporate sustainable development perspectives and integrate & mainstream environmentally sustainable transport; and link with natural resource use policies.

On DOTC. More collaboration with the DOTC could be encouraged and the UNDP-NCTS project could be a gateway to this. DOTC has a vital role in keeping the environment clean, particularly lessening the emission of air pollutants and this could be done by providing technical assistance to enable them to enforce and implement the newly formulated Integrated National Transport Management System and ensure that it is environmentally sustainable. This implies the need to consolidate the constituency for “green governance,” among both duty bearers and claim holders alike. And the DOTC face the challenge of meaningfully harnessing and mobilizing the enormous amount of vehicle taxes.

On project design and monitoring. Develop outcome indicators and baseline measures in order to facilitate assessment of outcome attainment. ENR is a very broad area and consists of sub-sectors that have intertwining objectives and impacts. For more effective programming, there should be indicators to enable monitoring to proceed. Related to this is the need to produce reliable data and information base.

Monitor and determine whether or not sustainable development perspectives are being delivered to the communities. Revisit the process. Is it possible to apply a levy on the polluters?

On knowledge management. Considering that UNDP is breaking many grounds in the environment and renewable energy field, inter-project exchanges could aid in bringing to fore the linkages between environment protection, energy conservation & development and disaster risk management.

UNDP could convene a project leaders’ conference (EESD Project Summit) to review project approaches, strategies, outcomes and distill lessons learned. Linkages and convergence among the EESD sub-sectors could bring about greater coherence in the EESD portfolio. This may be the answer to the observation that UNDP is in “too many small things.” In addition, cross cutting issues like gender could be paid due attention. Thus far, gender has been in the margins of the environment arena.

Areas for further development work

- The EESD portfolio was designed to be demand driven; consequently, it has tended to be project-based rather than programmatic. There is no indication that the NCSA guided the proposal approval. Using the NCSA and the ENR framework plan, capacity development can now be driven more methodically.
- Dedicated support to NGOS was not seen in the EESD program in 2008. An environment watch group could be a mechanism for ensuring the practice of good governance in ENR management.
- ENR program impacts are generally limited because by design, the UNDP projects were intended to be demonstration, modeling and pilot cases to catalyze change processes. Institutionalization and scaling up of project gains require dedicated efforts. Lack of comprehensive long-term legislation and enabling policies are likewise needed. This aspect merits further aid investment.
- Cross cutting themes like gender should be more purposively incorporated in project designs. UNDP could provide the practical guidelines for doing it. Gender could be incorporated in climate change adaptation and disaster management.
- Conflict resolution mechanisms and adjudicatory processes has to be given a boost because environment-based conflicts is an emerging concern. Such tensions are at the heart of many social injustices in the country.
- Climate change was part of the EESD program but was not given so much support because it had a funding of its own. Currently, a program on climate change is now being launched with the support of the Spanish government. Complementation with this project could be considered.

Chapter 1

BACKGROUND AND CONTEXT

Managing Energy and Environment for Sustainable Development, henceforth referred to as the EESD program, is one of four UNDP programs in the Philippines. It is part of the Country Program that was formulated in collaboration with the Government of the Philippines (GOP), referred to as the Country Program Action Plan (CPAP). The CPAP states the main objectives, outcomes expected, outputs and results to be delivered by the UNDP aid program. It is guided by the UN Development Assistance Framework (UNDAF) and is implemented through Annual Work Plans (AWPs).

The EESD program seeks to “promote the goal on energy and environment for sustainable development and endeavors to *strengthen the capacity of key stakeholders to implement the ENR framework roadmap for the next 10 years, as well as other framework plans like the RE Policy Framework, the PA 21, and the Medium Term Philippine Development Plan (MTPDP). It also facilitates the strengthening of the compliance framework of enabling laws on ENR management, Interventions for capacity building take into consideration the enhancement of the roles of key stakeholders (government, civil society, academe, private sector) including micro and small and medium enterprises (MSMEs) in ENR management.*” (2007 UNDP Standard Progress Report)

1.1. Development Context

The analysis of the environmental situation in the Philippines revealed the urgency and need for prompt actions on environmental issues. This is well-documented in the 2006 Framework Plan for Environment & Natural Resources Management (ENR Framework) which resulted from multi-stakeholder consultations. The Plan and the situational analysis were produced with UNDP support under the EESD portfolio.

Rising concentration of pollutants, depletion of resource stocks, destruction of ecosystems and habitats that lead to dwindling natural capital, worsening poverty and deteriorating social well-being are continuing challenges to the country. The situation has gone from bad to worse and their resolution require institutional and policy reforms.

Environmental degradation has increased the country’s vulnerability to disasters. “The Philippines ranks third globally in terms of number of people exposed to earthquakes and tropical cyclones annually and highest in terms of tropical cyclone occurrence and reported deaths.” (refer to EC grant agreement: 10)

“Statistics show that the situation is generally not getting any better despite the collective efforts of the government, civil society, and the private sector to resolve and manage environmental problems and issues. (2006 ENR Framework, 94-96) ” The Philippines has lost about 32 percent of its forests cover, some 3.4 million hectares between 1990 and 2005.

Protected areas cover 7.8 percent of total land area, which is below the Asian average of 8.3 percent and the world target of 10 percent. ...Further, "CO2 emissions will increase almost six time over from 1990 levels to 2020..."(GEF Country Portfolio Evaluation: The Philippines (1992-2007, March 2008)

The environmental pressure brought about by poverty (underdevelopment), industrialization, urbanization and other factors are too much for the government to handle given its resource limitation, policy weakness and ineffective governance." (2006 ENR Framework Plan). Thus, the thrust of UNDP-EESD to strengthen stakeholder capacity is very appropriate.

ENR management and capacity building

ENR management covers natural resources such as forest, water, minerals, land, biodiversity and coastal and marine resources and generally, the environmental media - land, air and water. These resources provide the base of production and consumption needs of society and render services to sustain life on earth, particularly, ecosystem services such as waste assimilation, nutrient recycling, water cycling, oxygen generation, carbon sequestration, climate balance and control, wildlife habitat and others. These services are vital in supporting life and in renewing the productive and regenerative capacity of natural resources. ENR management embraces all these aspects and ensure that they are sustained and protected.

ENR management refers to the conservation and protection of environmental resources and covers: resource use access, planning and allocation; regulatory measures; economic measures; good and shared governance; IEC/information system development; rehabilitation measures; research and development; poverty reduction programs and technical advisory services.¹

Thus, there is a broad swath of environment concerns and capacity issues in environment and natural resource management as identified and described in the ENR Framework Plan of 2006. Capacity concerns top the list of priority ENR management problems and issues²: lack of institutional capacity and inadequate resources to remedy existing problems.

The extent and magnitude of the problems have enormously grown for the last 40 years and ENR agencies and institutions are unable to cope. There are just not enough resources to significantly reduce the growing environmental problems within the next 10 or 20 years. *...the institutional capacity of DENR to effectively utilize resources for solving existing problems remains weak.* Low effective utilization of funds is further compounded by bureaucratic protocols and donor impositions.

Added to these are lack of political will and systematic graft and corruption cripple the implementation of several measures to effectively manage ENR; policy conflicts among existing laws and regulation delay judicious allocation, disposition and management actions towards critical issues.

¹ In ENR Management Framework Plan, 2006, p.111.

² 2006 ENR Framework Plan, pp. 94-96. (Source: UNDP)

Across sub-sectors, policy and capacity related concerns were identified: 1) issues in capacity building - inadequate data base for policy and planning; need to strengthen DENR research capability; weakness in institutional implementation mechanisms, including: disparate planning efforts on land and coastal water uses and zonation; lack of institutional coordination and support in ENR management; delineation of roles and responsibilities among government agencies with overlapping functions; and institutional overlaps in water resources management; and policy related concerns - absence of a national land use policy; exemption of CBFMA from EIA requirements; responsibility for validating and reconciling inconsistent data on land classification and land use survey.

In disaster risk management, UNDP identified critical gaps: updated overarching policy defining a comprehensive approach to disaster risk management; hazard and risk information as basis for disaster resilient planning and early warning systems, enhanced capacity for risk reduction and mitigation at the local levels, a strong and effective coordinating mechanism and strong operational networks among disaster experts, managers and planners. (EC Single Form Grant Agreement, ECHO/DIP/DUB 2006/01021; p.10)

ENR Management Strategies

The 2006 ENR Management Framework (pp. 113-115) defined 7 strategies and corresponding priority action thrusts. As well, it defined a legislative agenda and the mainstreaming of women in development as cross cutting concerns. It also underscores that “managing the behavior of resource users will solve many of the ENR problems and attendant issues. The behavior and attitude of resource users are strongly influenced by their value systems, i.e. fight for survival or greed for profit. For example, no amount of protection will successfully stop profit-oriented industries from committing over-extraction and pollution.

The 7 strategies include: good and shared governance; better enforcement of command and control instruments, i.e. land use planning & resource allocation, improving enforcement and setting appropriate standards or thresholds; adoption and implementation of incentives and disincentives; improved information, education and advocacy campaigns; adoption and implementation of property rights reform or assets reform; resettlement and employment in manufacturing and service industries of families occupying critical environments; public and private investment in poverty alleviation and alternative livelihood and/or enterprise development and environmental management.

Within the next ten years, (2007-2017), the ENR sector review identified environmental management issues that need to be prioritized:

POLICY RELATED CONCERNS

- Intensifying resource use conflict – protection versus production (biodiversity vs. mining, tourism vs. industry, forest protection vs. agriculture, agriculture vs. urban, energy and infrastructure development vs. habitat preservation)

- Unresolved policy conflicts (inconsistent and conflicting laws) that deter efficient and effective governance
- Outdated ENR laws (Forestry Code, Public Lands Act and Water Code)
- Uncontrolled agriculture and settlements expansion in the uplands
- Undervaluation of resource rents (pasture lands, timber, minerals, foreshore lands, water resources) that promotes rapid and widespread exploitation of natural resources

CAPACITY RELATED CONCERNS

- Slow implementation of policies and programs because of lack of financial resources, institutional capacity and technical capability of implementing agencies and outdated information/data base (cadastral surveys, forest line, municipal coastal boundaries, land records, etc.)
- Poor and inadequate monitoring systems and weak enforcement of laws
- Institutional overlaps (coastal zone management: DA and DENR; land use: LGU and DENR) that weaken and dissipate shared governance over ENR
- Graft and corruption in DENR and other implementing agencies
- Lack of political will and reported conflict of interest by some politicians, bureaucrats and government executives (business interest in mining, real estate, forestry and fisheries)

It must be noted that development actions on ENR management have been ongoing in the Philippines with substantial support from the UNDP's Global Environment Facility (GEF) from 1992 to the present. An evaluation of the GEF has been completed for projects from 1992-2007.

1.2. The Program Under Review

1.2.1 The Desired Development Outcome(s). The UNDAF is underpinned by the Philippine Medium Term Development Plan, the Millennium Development Goals, and the Philippine Agenda 21 with the common goal of promoting the conservation of energy and protecting the environment and natural resources for sustainable development. Thus, in focus in this outcome evaluation is **UNDAF outcome #3**: *"By 2009, increased capacity of stakeholders to protect/enhance the quality of the environment and sustainably manage natural resources."*

This CPAP outcome statement combines two outcomes in the 2005-2006 program cycle and has been recast so that it is consistent with the UNDAF outcome statements. Also, various activities under the EESD program were scaled down to two (2) from the original six (6) that was identified i.e., (i) frameworks and strategies for sustainable development and (ii) access to sustainable energy services. Under the original CPAP2005-2009, two major components define the scope of interventions that are supported under the EESD program:

(1) Policy and Program Development for ENR Management and Sustainable Energy Development.

Outcome 1: Sustainable environment and energy policies especially with regard to agriculture and industrial development are in place and phases of implementation specified.

This outcome seeks to *strengthen the compliance framework of enabling laws on ENR management* through the formulation of overarching legislations that will define the rules and principles governing environment and natural resources and the advocacy for the passage of renewable energy law for sustainable energy development and utilization. Policy development and planning processes were to be strengthened with the end view of institutionalizing protocols and guidelines and the standardization of science-based, gender balanced and inclusive policy making processes. Sub-sector investment planning, particularly for priority areas such as forestry and water sectors, were to be given support. In the same manner, advocacy and an inclusive approach for CSO participation was to be promoted in the course of developing the legislative agenda, policy formulation and implementation of the sector plans and programs.

(2) Capacity Development for Effective Environment and Energy Management

Outcome 2: Key stakeholders are better able to manage environment and natural resources, develop and use sustainable energy resources, cope with impacts of environmental emergencies and maintain sustainable development

The program seeks to strengthen the capacities of key stakeholders to better manage the environment and natural resources: promote, develop and utilize energy in sustainable manner; and prepare for and respond appropriately to environmental emergencies in critical ecosystems in localities vulnerable to natural hazards. A multi-sector partnership strategy will be pursued aimed at ensuring the Energy and ENR sectors optimum functioning. Capacity development of the key stakeholders will be pursued simultaneously that would enable them to contribute equally to the achievements of the sector's goals and objectives. Capacity building for this program will be specific to partners' being able to participate, jointly plan and eventually recognize ownership in the course of implementing the ENR management interventions.

The program seeks to strengthen the capacity of key stakeholders to implement the Environment and Natural Resources (ENR) framework road map for the next 10 years, to harness the Philippines' natural capital to meet its people's needs and aspirations across generations and to enhance the environment's carrying capacity to support the country's sustained economic growth and alleviating poverty.

Program interventions were organized around three main areas: **environment; energy and disaster reduction.**³ The outputs were re-defined based on the meeting of the Executive Committee and Portfolio stakeholders in March 2007. Thus, outcomes and outputs were refocused to hew them more closely to poverty alleviation efforts and vulnerability reduction and were chosen for their strategic/catalytic value in leveraging resources and convergence with the outputs of other two UNDP programs such as peace and development and democratic governance.

³ Conversation with Amelia Supetran, UNDP-EESD Program Manager, 10-12 a.m. 2 August 2008, Quezon City.

Under the Multi-year Funding Framework (MYFF)⁴, the program component focused on six key service lines: (i) frameworks and strategies for sustainable development; (ii) effective water governance; (iii) access to sustainable energy services; (iv) sustainable land management to combat desertification and land degradation; (v) conservation and sustainable use of biodiversity; and (vi) national/sector policy and planning to control emissions of ozone-depleting substances and persistent organic pollutants. These service lines were initially selected to reflect areas where the UNDP country office has substantive on-going interventions. Initiatives undertaken under this component have strong linkage with poverty reduction, governance and crises prevention and strategically support key stakeholders in harnessing natural resources optimally, primarily through sustainable agriculture and industrial development.

Development investments in 2007 are shown in the table below:

Sub-sector	Core UNDP Funds (TRAC)	Non-TRAC Funds ⁵
Environment	471,244 <ul style="list-style-type: none"> • ENR-CORE 2008 budget: 385,000 USD • Samar Island Biodiversity Conservation Project Phase I: 5.758 million US for 2000-07 	\$ 7,232,000.00 <ul style="list-style-type: none"> • 2nd National Communication on Climate Change: 405,000 USD (GEF, 2006-09) • Samar Island Biodiversity Conservation Project Phase II: 2008-2011 (GEF) • PPPUE • PEMSEA
Energy		Capacity building for the Removal of Barriers to Renewable Energy Development (CBRED) : US\$ 6.142 million GEF, 2004-2008 Philippine Efficient Lighting Market Transformation Project (PELMAT) US\$3.21 million GEF, 2004-2009
Disaster Management		Hazards Mapping and Assessment for Effective Community Based DRM (READY II): US\$ 1.96 million, 2007-2010, Aus Aid funding Strategic National Action Plan (SNAP), US\$ 136,612, 2007-2008,DIPECHO-EU National Framework on State of DRM in the Philippines, US\$ 270,000, 2007-2008, ADB

1.2.2. *Key Stakeholders and Beneficiaries.* Two sets of stakeholders, namely the duty bearers and claim holders, can be identified. The UNDP partnered with the main duty bearers relative to environment, energy and disaster reduction.

⁴ This was the operative planning framework of the UNDP in earlier programming cycles.

⁵ TRAC funds come from UNDP internal budget while non-TRAC funds come from external donors that channel funds through the UNDP.

A. Duty Bearers, also the Program Partners

Key players were the *Department of Environment and Natural Resources and its Responsible Parties, the Department of Energy and the Office of Civil Defense - National Disaster Coordinating Council and Responsible Parties.*

ENVIRONMENT SECTOR

1. Department of Environment and Natural Resources (DENR) & Responsible Parties
 - a. Foreign Assisted and Special Projects Office (FASPO-DENR)
 - b. Planning and Policy Office (PPO) – DENR
 - c. Environmental Management Bureau (EMB) – DENR
 - d. Forest Management Bureau (FMB) – DENR
 - e. Mines and Geosciences Bureau (MGB) – DENR
 - f. Protected Areas and Wildlife Bureau (PAWB) – DENR
 - g. National Mapping and Resource Information Authority (NAMRIA) – DENR
 - h. Committee on Ecology, House of Representatives
 - i. Philippine Association of Tertiary Level Institutions on Environmental Planning & Management (PATLEPAM)
 - j. Board of Investments, Department of Trade & Industry (BOI-DTI)
 - k. National Water Resources Board

ENERGY

2. Department of Energy (DOE)
 - a. Energy Management Bureau
 - b. Energy Testing and Utilization Services Bureau

DISASTER RISK MANAGEMENT

1. Office of Civil Defense under the Department of National Defense (OCD-DND)
2. Philippine Institute of Volcanology & Seismology (PhiVolcS)
3. Philippine Atmospheric, Geophysical & Astronomical Services Administration (PAGASA)
4. Mines & Geo-Sciences Bureau, DENR (MGB-DENR)
5. National Mapping & Resources Information Authority, DENR (NAMRIA-DENR)
6. National Economic and Development Authority (NEDA)

- B. Claim Holders** were represented by non-government organizations who were deputized to implement specific activities: Foundation for the Philippine Environment (FPE), CARE Philippines and Streams of Knowledge. In 2007, key implementing agencies consisted of:
- Government: Department of Environment and Natural Resources (DENR), the Department of Energy and the Office of Civil Defense
 - NGO: STREAMS
 - Academe: UP National Center for Transport Studies & the Philippine Association of Tertiary Level Institutions for Environmental Planning & Management (PATLEPAM)

Chapter 2

EVALUATION METHODOLOGY

2.1. Introduction

The ESSD Program has been reviewed twice: in 2006 and in 2007. First, there was the program review completed from 5 October to 8 November 2006, within the context of the CPAP annual strategic planning exercise. Documents reviewed were provided by UNDP which included: the Second UNDP Multi-Year Funding Framework (MYFF) 2004-2007; the United Nations Development Assistance Framework in the Philippines; the Country Programme Action Plan between the Government of the Philippines and UNDP; the Annual Work Plans and progress reports of the projects. To validate the reports, interviews with the Implementing Partners and the Responsible Partners were made between the period 9 October to 31 October 2006 (see Annexes 3 & 4 for list of agencies and officials interviewed). The draft of the review report was discussed and presented to the Chair of the Program Evaluation Group (PEG) on 3 November 2006.

The Annual CPAP review process, revolves around the principle of ensuring that the programme and its corresponding activities continue to provide the stakeholders the desired quality, quantity and timeliness of progress toward delivering the results. The review is designed to feed into the UNDAF Annual Review process. In essence the review is a mechanism which helps ensure that the goals, outcomes and outputs reflected in the CPAP are produced and the associated benefits are realized in the most effective manner.

More specifically, the output of the review was expected to provide agencies and implementing partners with conclusions for next year's preparation of annual work plans (AWP) with respect to:

- a. changes in planning assumption (s) , risks and emerging opportunities;
- b. continued relevance of the country program outputs and lower level results to national priorities and broader country context;
- c. corresponding adjustments to expected results; and
- d. revisions to strategies, planned activities partnerships and resource allocations.¹

The second program assessment was undertaken by another independent consultant which provided a detailed evaluation of the performance of the ENR-CORE component taking off from the recommendations of the EESD component independent review and the new policy directions of the GOP-UNDP Executive Committee. The main purpose of the study is to address the *issues and gaps in the implementation of the ENR-CORE projects and activities in meeting target outcomes* so that the work plan for 2007-2009 will be more strategic and enhanced." (Cabrido Report, p. 10) Subsequently, adjustments were made in terms of rationalizing and

¹ 2006 Final CPAP Review of the Energy and Environment for Sustainable Development Component of the UNDP Program. E-mail from UNDP, 25 July 2008.

consolidating interventions and responding to emerging issues like ENR conflict management, especially mining versus biodiversity conservation, etc.²

The first independent review was unable to: determine the funding status of the ENR-CORE program in terms of allocation per project and was not clear as to whether or not the 2006 output targets were fully, partly or partially accomplished based on targets; uncertain as to percentage of completion in 2005-06; unable to discern the gaps in meeting certain outcome expectations. Also, the review observed that there was little effort in Capacity Development, especially in seeking south-south solutions for service line on frameworks and strategies for sustainable energy development; and promoting gender equality for service line on access to sustainable energy services; little effort in reduction of POPs, particularly in enhancing national ownership, seeking south-south solutions and promoting gender equality) and that the link between environmental sustainability and poverty reduction is a missing piece. (Cabrido Report, p. 10)

2.2. Purpose and Objectives of the Outcome Evaluation

This outcome evaluation was undertaken from 1 August to 30 September 2008. The current evaluation was done one year (to be exact 15 months) before the final year of the program cycle, 2009. It was undertaken as an annual exercise and the results will be fed into the 2010 – 2014 program cycle. The third in the series of program evaluations, it focused on outcome attainment.

The outcome evaluation built on the findings of the two previous reviews of the same program and sought to assess the following:

- (i) *outcome analysis* - what and how much progress has been made towards the achievement of the outcome (including contributing factors and constraints),
- (ii) *output analysis* - the relevance of and progress made in terms of the UNDP outputs (including an analysis of both project activities and soft-assistance activities), and
- (iii) *output-outcome link* - what contribution UNDP has made/is making to the progress towards the achievement of the outcome (including an analysis of the partnership strategy).

The main focus was to ascertain how near or far was the EESD program in attaining the desired outcomes. Its value added is the sharper attention to the achievement of the program targets and end results while the previous reviews were aimed at the progress of implementation.

“The results of the outcome evaluation will be used for re-focusing the interventions during the remaining period of the current CPAP (as necessary) and would serve to guide future programming of a similar nature. (refer to annex 1 for the TOR Outcome Evaluation)

² Amelia Supetran, ENR Portfolio Manager, UNDP, 22 September 2008.

2.3. Evaluation Methodology

An outcome evaluation assesses **how and why an outcome** is or is not being achieved in a given country context, and the role that UNDP has played. Outcome evaluations also help to clarify underlying factors affecting the situation, highlight unintended consequences (positive and negative), recommend actions to improve performance in future programming, and generate lessons learned.³

2.3.1 Framework for Analysis

The evaluation looked into the 1) extent to which outcomes have been reached; 2) the link between outputs and outcomes; 3) the processes and dynamics entailed in attaining the outcomes, including the setting of targets. Relative to the latter, the evaluation sought to determine if there is ownership and clarity of program targets among the concerned stakeholder. In addition, the evaluation endeavored to ascertain the roles of duty bearers and claim holders in achieving outcomes. Outcome indicators as stipulated in the project documents were used in assessing outcome attainment.

What capacities must be strengthened? These capacities were spelt out through a project implemented by the Department of Environment and Natural Resources (DENR) in collaboration with the Department of Agriculture. The said project was funded by a GEF grant executed by the UNDP and the results are contained in the publication "*National Capacity Needs Self Assessment for Global Environmental Management (NCSA)*."

An abridged report entitled Capacity Enhancement for the Global Environment was published and released in November 2006 although the project was completed in July 2005 (it was started on 15 May 2004) The Philippines has been the first to complete the NCSA in Asia, along with Bhutan and Cambodia.

Capacity assessment involved consultations with stakeholders and was meant to determine national capacity to comply with international agreements related to ENR to which the Philippines is a signatory: UN Framework for Climate Change; UN Convention on Biological Diversity and the UN Convention to Combat Desertification.

In the context of the Philippine NCSA, capacity is defined as *capability plus commitment*.

Capability is having the human and technical know-how and financial resources to do the tasks to fulfill an obligation. Commitment is having the a) institutional resolve to do the tasks (which means having the organizations that have mandates and leaderships to do them), and b) public support for doing the tasks.

As a result of the NCSA, gaps in existing capacities have been identified and elaborated. These include:

³ UNDP Outcome Evaluation Guidelines. Email, UNDP Manila Office, 25 July 2008.

- *Human capability refers to having a sufficient corps of human technical talents who know how to achieve a task; gap: underutilized personnel; lack of incentive and reward systems*
- *Financial capability – having sufficient final resources to do the task; gap: insufficient budgetary support*
- *Organizational structures and support mechanism refers to having the organizations and leadership as well as mandate to do the task; gap: lack of coordination; weak policy support; unstable programs and policy environment*
- *Public support – having a constituency (a public) that gives legitimacy to do the task; gap: lack of understanding and appreciation; lack of coordinating mechanism.*

Essentially, the findings point to short, medium and long term capacity needs of the Philippines relative to ENR:

- 1) *Short term (1-3 years): need for in-house continuing education and training programs in Focal Point Agencies; need to sustain institutional commitment to thematic and synergistic concerns; the need to develop a national information network on thematic concerns and the need to increase stakeholders' participation in decision making and FPA activities including preparation of reports to convention.*
- 2) *Medium term (4- 6 years) needs are focused on policy change: the need for institutional reforms to harmonize FPA mandates and programs and the need to strengthen environmental laws. Duplications and overlaps of mandates have been noted. Enforcement of environmental laws is a critical need and includes the need to improve enforcement of regulations relevant to climate change; to improve border controls against alien species and the need to provide incentives to different sectors at all levels of organization to better enforce and implement the National Action Plan (NAP)*
- 3) *Long-term (7 years and beyond): Good governance involves instituting systems for transparency, accountability, predictability and public participation.*

These capacity needs are echoed in the 2006 ENR framework and top the list of priority ENR management problems and issues as stated therein.⁴

A wide range of institutional capacity issues were in fact identified in the 2006 ENR Framework Plan, such as: lack of institutional capacity and inadequate resources to remedy existing problems; weak absorptive capacity of DENR to effectively use development aid for programming development actions addressing environmental issues, compounded by bureaucratic protocols and donor impositions; lack of political will and systematic graft and corruption; unresolved policy conflicts among existing laws and regulation; slow implementation of policies and programs; poor and inadequate monitoring systems and weak enforcement of laws; institutional overlaps. (2006 Framework Plan: 94-96)

⁴ 2006 ENR Framework, pp. 94-96 (Source: UNDP Manila).

In addition, a needs assessment systematically identified gaps in disaster risk management: need for detailed guidelines on DRM and need for detailed DRM components in regional plans; low capacity for DRM and need for coordination among duty bearing agencies. (EC Grant Agreement: 11-12)

Furthermore, there is a strong case for increasing the capacity of stakeholders in managing the environment and natural resources, especially because the impacts of global warming is now upon the people. The relevance and urgency of ENR management in the Philippines is becoming more stark, especially because of contemporary developments such as frequent flash floods in various parts of the country, sinking of passenger ships (MV Princess in July 2008) in the Visayas, that have polluted the waters and adversely affected the livelihood of fisher folks.

Capacity building in this review follows the NCSA framework and it is interpreted to mean actions that build, strengthen or enhance: a) policy and legislative frameworks; b) competencies of people, in particular the duty bearers and claim holders; c) programs and allocation of resources to translate policies and legislation into action and d) institutional mechanisms for implementation and enforcement, including monitoring and evaluation systems. It is aligned with the NCSA framework of human, financial, organizational capability building and public support.

Whose capacity is being built or enhanced? To assess the status of the outcome or progress toward it, there has to be some clarity on who are the stakeholders being addressed by the development actions and what capacities are being built.

Stakeholders could include those institutions, organizations and individuals mandated to take actions to protect the environment and manage natural resources, referred to as the **duty bearers** and those who have the right to the benefits of sustainable development that could accrue from actions that effectively protect the environment and manage natural resources, referred to as the **claim holders**. The outcome statement is interpreted to include both types of stakeholders.

The UNDP supported projects did not make this distinction (duty bearer versus claim holder) in their program design. It was noted that the main target of the projects have been the duty bearing agencies, especially the so-called Multilateral Environment Agreement (MEA) focal agencies and included those at the national and local levels. The Philippines signed a number of (MEAs) multilateral environmental agreements and three of these are: United Nations Convention on Biological Diversity (UNCBD); UN Framework Convention on Climate Change (UNFCCC) and the UN Convention to Combat Desertification.

2.3.2 *Questions to be addressed*⁵

This outcome evaluation will be looking at the relevance and contributions of UNDP project activities and soft-assistance efforts during the 2005-2009 CPAP with regard to the outcomes

⁵ UNDP Terms of Reference for the Outcome Evaluation.

indicated above. Program interventions have been clustered into three key thematic concerns, namely: **a) environment; b) energy; c) disaster reduction**. Interviews of key informants in each of these three key themes will be conducted.

Specifically, the outcome evaluation is expected to address the following issues:

1. Outcome analysis
 - What are the current situation and possible trend(s) in the near future with regard to the outcome(s)?
 - Has sufficient progress been achieved vis-à-vis the outcome as measured by the outcome indicator?
 - What are the main factors (positive and negative) that affect the achievement of the outcome?
2. Output analysis
 - Are the UNDP outputs still relevant to the outcome?
 - Has sufficient progress been made in relation to the UNDP outputs?
 - What are the factors (positive and negative) that affect the accomplishment of the outputs?
 - Assessment of whether and how the environment-poverty nexus has been addressed and promoted in UNDP's activities; i.e. whether environmental protection activities address livelihood issues and whether poverty alleviation interventions address environmental concerns;
 - UNDP's ability to advocate best practices and desired goals; UNDP's participation in national debate and ability to influence national policies on sustainable development.
3. Output-outcome link
 - Whether UNDP's outputs or other interventions can be credibly linked to the achievement of the outcome (including the key outputs, projects and assistance soft and hard that contributed to the outcome);
 - What are the key contributions that UNDP has made/is making to the outcome (e.g. in promoting environmental governance and sustainable energy development in the Philippines)?
 - What has been the role of UNDP soft-assistance activities in helping achieve the outcome? For UNDP, soft assistance activities include advocacy, policy advice/dialogue, and facilitation/brokerage of information and partnerships.
 - With the current planned interventions in partnership with other actors and stakeholders, will UNDP be able to achieve the outcome within the set timeframe and inputs – or whether additional resources are required and new or changed interventions are needed?
 - Whether UNDP's partnership strategy has been appropriate and effective; UNDP's capacity with regard to management of partnerships; UNDP's ability to bring together various partners across sector lines to address environmental concerns in a holistic manner?

- UNDP's ability to develop national capacity in a sustainable manner (through exposure to best practices in other countries, south-south cooperation, holistic and participatory approach); UNDP's ability to respond to changing circumstances and requirements in capacity development;
- 1) What is the prospect of the sustainability of UNDP interventions related to the outcome (what would be a good exit strategy for UNDP)?

2.3.3. *Expected Outputs*

The practical concern of the EESD portfolio was to a) evolve **frameworks and strategies** for sustainable development; b) effective **water** governance; c) access to sustainable **energy** resources; d) conservation and sustainable use of **biodiversity**. (Cabrido, ENR-CORE Program Assessment Report, p. 8)

Key outputs of the program were: enabling policies to support environment and natural resource management and stakeholder capacities to protect the environment and manage natural resources.

The program's 10 specific outputs were as follows:

- | | |
|------------------|---|
| <u>Output 1</u> | Institutionalized <i>legal framework</i> for stronger national response to environment natural resources and sustainable energy issues |
| <u>Output 2</u> | Updated <i>data and information</i> on ENR, including renewable energy as basis for policy making and planning. |
| <u>Output 3</u> | Philippine <i>compliance with multilateral environmental agreements</i> |
| <u>Output 4</u> | ENR <i>Investments Planning</i> supported |
| <u>Output 5</u> | Innovative <i>financial mechanism</i> to support environmental protection/conservation efforts. |
| <u>Output 6</u> | Environmentally sound technologies and other management mechanisms adopted by selected communities. |
| <u>Output 7</u> | Enhanced capacities of a broad constituency of government, civil society, the private sectors (SMEs, including micro-enterprises), academic institutions and other key stakeholders for advocacy and implementation of ENR and sustainable energy management. |
| <u>Output 8</u> | Sustainable Development mainstreaming tools for planning, implementation and monitoring. |
| <u>Output 9</u> | Operational integrated ENR database and MIS. |
| <u>Output 10</u> | Operational Environmental Disaster Management Framework. |

2.4 *Data Sources*

Data to answer the above questions were gathered through a variety of means, namely:

- 1) **desk review of relevant documents**. Among the key documents reviewed are:
 - a. Country Programme Action Plan for 2005-2006
 - b. Outcome Evaluation Guidelines
 - c. MYFF
 - d. Progress Reports of Implementing Partners

e. Other documents to be provided by the UNDP Program

The list of documents is in the annexes.

2) **interviews of key informants**, including senior management and programme staff of UNDP Manila; partners and stakeholders. Interviews with key policy makers and implementers and other key partners were conducted. UNDP has been cooperating with numerous partners in achieving development results the two areas mentioned above, policy i.e. formulation and capacity building. The informants were drawn from the list of implementing partners as shown below:

- a) Department of Environment and Natural Resources (DENR)
 - 1) Planning and Policy Office (PPO)
 - 2) Foreign Assisted and Special Projects Office (FASPO)
 - 3) Environmental Management Bureau (EMB)
 - 4) Forest Management Bureau (FMB)
 - 5) Mines and Geosciences Bureau (MGB)
 - 6) National Mapping and Resource Information Authority (NAMRIA)
 - 7) Protected Areas and Wildlife Bureau (PAWB)
- b) Department of Energy (DOE)
 - a. Energy Management Bureau
 - b. Energy Testing and Utilization Services
- c) Office of Civil Defense, Department of National Defense (DND) – NDCC Members
 - a. PAG-ASA
 - b. PHIVOLCS
 - c. NAMRIA
- d) National Economic and Development Authority
- e) Regional Program on PEMSEA
- f) Streams of Knowledge

Chapter 3

EVALUATION FINDINGS

3.1 Attainment of the outcome

The central question in this program evaluation is: Has the outcome been achieved? As stated in chapter 1, the outcome statement is: *By 2009, increased capacity of stakeholders to protect/enhance the quality of the environment and sustainably manage natural resources.*"

The following discussions are anchored on the attainment of this outcome.

Continuing relevance of the outcome

The relevance and importance of capacity development in ENR management was established by the World Bank in its 2004 evaluation of the environment sector. It specifically noted that "local-level DENR and local government units tend to be relatively weak and lack capacity and capabilities on many important aspects related to the implementation of sustainable natural resource management." (GEF Country Portfolio Evaluation: The Philippines (1992-2007): p.49) Desk reviews and interviews with key informants by this Evaluator confirm this observation.

Capacity development is necessary in almost all facets and sub-sectors of ENR management as was made apparent in the desk reviews, field visits and key informant interviews. Thus, UNDP's choice of capacity development for ENR management as a program result area is certainly appropriate and strategic. At the same time, it is overwhelmingly vast, diverse and urgent because capacity deficits can impact immediately on the lives of people here and now. But it also has inter-generational impacts. Further, capacity requirements grow; hence, there could be short-, medium-, and long-term capacity building actions.

Framework of capacity development in ENR Management

Framework and outcome indicators were products of the EESD program. At the outset, the UNDP EESD projects did not have a common capacity building framework until the CHANGE (Capacity Enhancement for the Global Environment) Report in November 2006, thus filling the gap.¹ This was accomplished with UNDP-GEF support, produced and published by DENR, in collaboration with DA.

Capacity development programs should be founded on capacity assessments. Such was provided by the CHANGE report through stakeholder consultations. Relative to this, it was noted that while the EESD projects were dedicated toward capacity development, their design was not consistently and clearly guided by systematic capacity assessments. There is no strong evidence of how the results of the NCSA was plowed back into the processed of project design and implementation.

¹ "The Capacity Development (CD) objective then was to introduce a standardized and science based approach to policy development; standardized use of tools & management mechanisms, etc..The CD strategy was not articulated, rather intuitive. It was perhaps more about discovering effective CB/CD schemes & approaches."- UNDP EESD Portfolio Manager.

The EESD program was designed prior to the NCSA which was conducted in 2004-2005. How were the NCSA results brought to bear in the specific capacity development projects? There was little reference to the NCSA in the project progress reports. Notably, outcome indicators and output targets, and baseline measurements relative to capacity development were not consistently established in the EESD projects. Because of this, judgments of progress could not be made with precision. Instead, evidences were gathered to crystallize an “impression” that could be made out of the evidences at hand. (see section 3.1.2)

The present review used the National Capacity Self-Assessment (NCSA) contained in the CHANGE² report as its framework for analysis.

What are the indicators for outcome attainment? The NCSA states the parameters for monitoring & evaluation of capacity development programs as follows:

WHAT CAPACITIES	PARAMETERS FOR MONITORING & EVALUATION
Human Capability	<ul style="list-style-type: none"> ✓ Quality of human resources (extent, breadth of technical competence) ✓ Quantity of human resources (Adequacy of human assets)
Financial Capability	<ul style="list-style-type: none"> ✓ Financial resources (revenue generation through improving convention means or establishing new creative instruments) ✓ Mobilization capacity ✓ Resource use efficiency ✓ Adequacy of ODA support ✓ Other financial aspects
Organizational Commitment	<ul style="list-style-type: none"> ✓ Mandates – policies and laws ✓ Leadership and personal commitments ✓ Facilities and equipment ✓ Operations ✓ Information and data base management systems ✓ Other institutional and organizational indications of commitments to address the thematic concerns and the Convention obligations
Public (and Political) Support	<ul style="list-style-type: none"> ✓ Program support by Congress ✓ Program support by LGUs ✓ Program support by other government agencies ✓ Program support by the private sector ✓ Other indicators of public support

Source: The CHANGE Report, November 2006, p. 31.

² Commitment, Harmony and Synergy, Action, Need to Sustain Global Environment (CHANGE)

Where data and information would allow, these parameters were taken into account in the assessment of outcome attainment. Limitations on pertinent information and data is a feature of capacity building programs as was noted in the GEF evaluation desk study found that project documentation was largely silent regarding projects' major capacity development aspects and impact. The absence of documentation on capacity development limits the possibilities for replication and highly increased the risk of inefficient use of GEF funds." (GEF Evaluation 1992-2007)

Thankfully, the EESD program's standard progress reports have helped in the assessment though the data could be significantly enriched. In this regard, program evaluation would be helped a lot if the EESD capacity building projects are framed from a capacity development perspective and the NCSA framework is a ready tool that could be used in practice. Progress reports could provide data using the NCSA parameters for monitoring and evaluation cited above. The UNDP project managers and leaders could be oriented and trained on the use of this tool and drive the progress reporting process in a 'capacity building-sensitive' way.

3.1.1 *What capacities were enhanced?*

Following the NCSA framework, a deconstruction of institutional capacities and capacities at individual level was charted as shown in Tables 1 and 2. *Table 1, Capacities Strengthened Among Key Duty Bearers in ENR Management*, identified the capacities that were strengthened in terms of a) human b) financial c) organization structures and mechanisms and d) public support as per the NCSA framework. Table 2, *Delivery of Outputs of EESD*, charted the expected outputs in the 2007 program and their status. The capacities corresponded to management knowledge and skills vital to ENR management, i.e. capacities to formulate policies, to plan, design, implement, monitor & evaluate policies and programs as well as capacities to negotiate, resolve conflicts related to ENR.

EESD projects were not framed according to the NCSA. The latter was not explicitly used in the design of the capacity building projects supported by the EESD portfolio. Hence, deconstruction of the results in terms of the NCSA framework was retrospectively done to facilitate the assessment of outcome attainment. As per the NCSA framework, the findings are as follows:

- 1) There is a wide array of **human capacities** enhanced as shown in **Table 3**. For example, the capacity of Philippine representatives/negotiators (30 have been trained) to negotiate during the Energy And (CoPs) has been enhanced through workshops that enable them to prepare compliance reports and to define the government positions on specific issues. Further, information inputs from the stakeholders were methodically collected and compiled from the results of multi-stakeholder consultations.

In each sub-sector training programs were mounted and the table below indicates sampling of human capacities that were built/developed/ enhanced under the EESD program.

Table 3. Human Capacities Developed by Sub-sector

Sub-sectors	Human capacities
Solid waste management	Local leaders and core group member trained on how to establish and manage the solid waste management system Encouraged and trained the communities in 10 barangays to employ best practices in ecological solid waste management (included the LGUS, barangays, the PMO, MMDA and DENR)
Energy conservation	1 Renewable Energy trainers' training course conducted with 31 participants
Disaster management	IEC workshops to train barangay & LGU officials on how to read and use the hazard maps in 8 provinces out of 27 project provinces as of September 2008; 530 barangays in Pampanga were covered;
Per output 9, broad based constituency..., targets were: 200 CSOs trained on SD tools & environmental law & enforcement 50 people trained on internet-based environmental communication 30 trained negotiators 100 stakeholders consulted/awareness raised on ESTs for the transport sector	36 members of Pos, LGUs, local fisher folks and operatives, 20 teachers, 19 students trained on marine conservation and environmental law enforcement Refresher training for CSD moderators on internet based communication 30 negotiators trained Consultation meetings to enhance awareness and knowledge of key stakeholders on EST and developed strategic partnerships conducted to promote awareness on EST

Perspectives pivotal to ENR management such as notions of sustainable development and disaster risk management have been adopted by national planners at NEDA and in turn, they have been engaged to mainstream these in the local planning and development processes. Same concepts were also taken up by the disaster risk management agencies under the NDCC.

Progress of outcome attainment: *Qualitative change in perspectives by a limited number of people. The critical mass of experts needed in the energy sector needs to be determined. There are existing experts but they are believed to be insufficient in number due to underutilization i.e. (mismatch of their expertise with their actual work assignments and the lack of incentives and reward systems.)*³

- ENR enhancement of perspectives and technical competence of stakeholders were done in small shots (as the projects were of “pilot” size) rather than in a big programmatic way. Whether the numbers are sufficient or not, cannot be ascertained as there is no benchmark to guide this. The capacity building made qualitative changes, not

³ CHANGE Report, November 2006, p.15.

- necessarily quantitative changes to generate the adequate number of human assets in the energy sector.
- Human capacity gaps in the Philippines lie in the slow build-up of expertise due to reasons mentioned above. DENR & DOE as well as other related institutions would have to assess the gaps in expertise in its technical bureaus and set capacity development targets. DENR-FASPO has realized that the lack of competent human resources limits its absorptive capacity in implementing technical cooperation projects. DOE-Energy Management Bureau, for its part, experienced some strain on its capacity when the technical staff of the CBRED project resigned. The director has had to make his own technical briefs for policy dialogues and deliberations on top of his administrative functions.⁴
 - Common capacity needs relative to compliance with the MEA conventions suggest a focus on *climate change adaptation*, mitigation, risk and vulnerability assessment, etc.; *biodiversity conservation*, management, etc. and *land care and management & water resource management*. This means that within the short-term, there should be continuing education & training programs in focal point agencies & key organizations. The EESD portfolio supported projects in biodiversity conservation (SINP) and water governance (PPP, in collaboration with STREAMS). Both of these programs are still ongoing. SINP is now into its second phase. In 2008, there is a big climate change project.

2) Strengthening of **financial capacities** has moved in small steps in the context of the EESD project. It has shown that revenue generation in the context of environment protection and conservation projects could be effectively done as in the case of the community based solid waste management project. The need is to bringing such a successful pilot to a critical scale so that a larger impact could be felt in the sector.

Also, the project has supported the search for financing schemes through the conduct of policy and valuation studies that could lay the ground for enhancing financial capacities to sustain biodiversity conservation and renewable energy development. Several funds such as the Operational Loan Guarantee Fund; the Project Preparation Fund and Micro-financing Fund have been conceived and are now operational. For example, the guarantee fund in the solar energy project in Palawan had been made operational in collaboration with the Cooperative Bank of Palawan. The experience has not been totally successful. Repayment rates for loans to purchase solar panels have only been in the magnitude of 60 per cent and particularly in south Palawan, there were difficulties in collection. Also, demand outstripped the supply of solar electricity making it expensive because of reliance on a generator in lieu of the solar panels.⁵

The guarantee fund was meant to entice private sector participation, in this case the Cooperative Bank of Palawan, especially to convince the banks to give lending to renewable

⁴ Interview with Director Marasigan, EUMB, DOE. August 2008.

⁵ Interview of Bank Manager, Cooperative Bank of Palawan, Puerto Princesa, 10 September 2008.

energy projects a go. In this context, the fund was able to achieve the intended objective, with the target number of solar home systems to be disposed of through lending achieved.

UNDP is one among many donors that provided external assistance to the Government of the Philippines in capacity development for ENR management. Also **all** the GEF-funded projects (some GEF funds are channeled through UNDP) in the Philippine portfolio have a capacity development component; some also involve technology transfer. ...”

In truth, UNDP is really a small player when reckoned in terms of the monies it brings into the government system. UNDP contributes only a portion of the 1 percent of the total grant assistance to DENR mainly attributed to the Global Environment Facility (GEF). Other agencies administering GEF include the World Bank, ADB (28 %); Multilateral Fund of the Montreal Protocol, administered by the World Bank (2 %).

External aid for ENR management was mostly channeled through the Department of Environment and Natural Resources (DENR) which is the line agency mandated to protect and conserve the environment and natural resources. In fact, DENR is one of the top three recipients of foreign grants among Philippine government agencies. (FASPO-DENR Annual Report, 2007: p. 2)

The UNDP EESD portfolio was one of the few programs dedicated to increase stakeholder capacity in protecting and conserving the environment and natural resources. Usually, capacity building is embedded in project activities but it is not necessarily the central goal.

“For the last seven years (2001-2007), the budget cover for foreign assisted projects (loans) comprised an average of 15 % of the total annual budget of the DENR, providing an average incremental budget of PHP 755 million annually. ...Considering that the regular budget consists mostly of personal services and maintenance and operations expenses, foreign financing filled in the gaps for the much needed capital outlay, equipment and technical experts for implementing development programs and projects.” (FASPO-DENR Annual Report, 2007: p. 2)

Progress of Outcome Attainment: Financing capacity (that is leading to self-sufficiency) has ways to go before it can be fully realized. Within each sub-sector, schemes will have to be created and tried to check how these will play out in practice. Financing schemes for renewable energy development have to be designed. Initial talks with banks have been held but the CBRED project, having stopped for some time, is as yet in the process of getting its act together. Financial capacities of the national agencies and the local governments are both major areas of work. In this regard, for example, UNDP could support advocacy to enhance the bank capacity to design and formulate financing schemes for environment programs and projects.

- Gaps in financial capacity stem from unfunded mandates. The government has committed to the MEAs by putting in place the necessary structures and issuing relevant administrative orders. But there is no available budget to sustain these initiatives. DENR for example, has an expanding mandate with the passage of environment laws DENR’s mandate has expanded due to recent laws such as the

Ecological Solid Waste Management Act, Clean Water Act, adoption of the Integrated Coastal Management (ICM) as a national strategy as per Executive Order 533. (DENR-FASPO Annual Report 2007, p. 2) For these to translate into concrete environmental benefits such as reduction of greenhouse emissions, massive efforts are needed to implement and enforce them effectively. Strengthening institutional capacities to implement them should then be intensified especially at the local level,”⁶ an observation that is shared by this review.

- “Severe funding limitations and politics connive to inhibit relevant agencies and organizations in the Philippines to commit to doing the tasks needed to meet the obligations under the UNFCCC.” (CHANGE Report, November 2006, p. 16)
- The value of ODA assistance has been stable but in real terms, this has declined. This trend must be appreciated against a backdrop of expanding mandates for the environment sector.
- With the EESD support there were initiatives at revenue generation such as user fees in the SINP, sales of recyclable materials in solid waste management and the consumer fees in the solar energy project are at a fledgling stage. These would have to be further developed; commercial viability would have to be reconciled with the technical feasibility of electricity through solar panels.
- More analysis needs to be done in terms of the government’s mobilization capacity and resource use efficiency, particularly, in the use of ODA for the energy sector. Relative to the latter, there are signs of indiscretions (or reports in whispers) in the use of resources.
- DENR has been able to mobilize significant resources through loans and grants. Note that the monies of the energy sector comes from its internal budget, grants and loans. “For the year 2007, DENR FAPS portfolio consisted of 33 development and technical assistance projects with an estimated total cost of US\$ 365 million or **roughly PHP 18 billion**. Of the total number of projects, seven are loan projects with a total cost of about US \$ 243 million or approximately PHP 12 billion pesos.
- The need for transparency mechanisms, including audits, cannot be understated. Elections are forthcoming in 2010 and hopefully, environment and energy funds are properly shielded from indiscretions and corruption.

3) Capacities in terms of **organizational structures and mechanisms** are particularly relevant in building and strengthening the implementation capacity of organizations. The NCSA assessment of gaps pertain to *lack of coordination, weak policy support, unstable programs and policy environment and coordinating mechanisms*.

Structures and mechanisms include having the necessary policy platforms, framework plans, analytical studies such as pricing and valuation studies, financing schemes, community based models, coordination mechanisms and the like.

⁶ GEF Evaluation, p. 49.

An important milestone in organizational strengthening include:

- the coordination mechanisms for MEA commitments were established and as early as 2006, there was a draft administrative order creating an Inter-agency Committee on MEAs and a draft AO to strengthen the International Affairs Desk.
- In 2005, DENR issued a memorandum directing all bureaus to use the General Program of Action as a guide and basis for budget preparation, planning and policy formulation and prioritization.
- A Master Plan for Forestry Development and a primer on the revised master plan with a CD was produced;
- Regional Master Plans for Regions 1,2, 3 and 4 for the Forestry Sector had been produced and a workshop on National Investment Planning had been conducted.
- A master plan for Pampanga and Tigum-Aganan River Basis had been prepared.

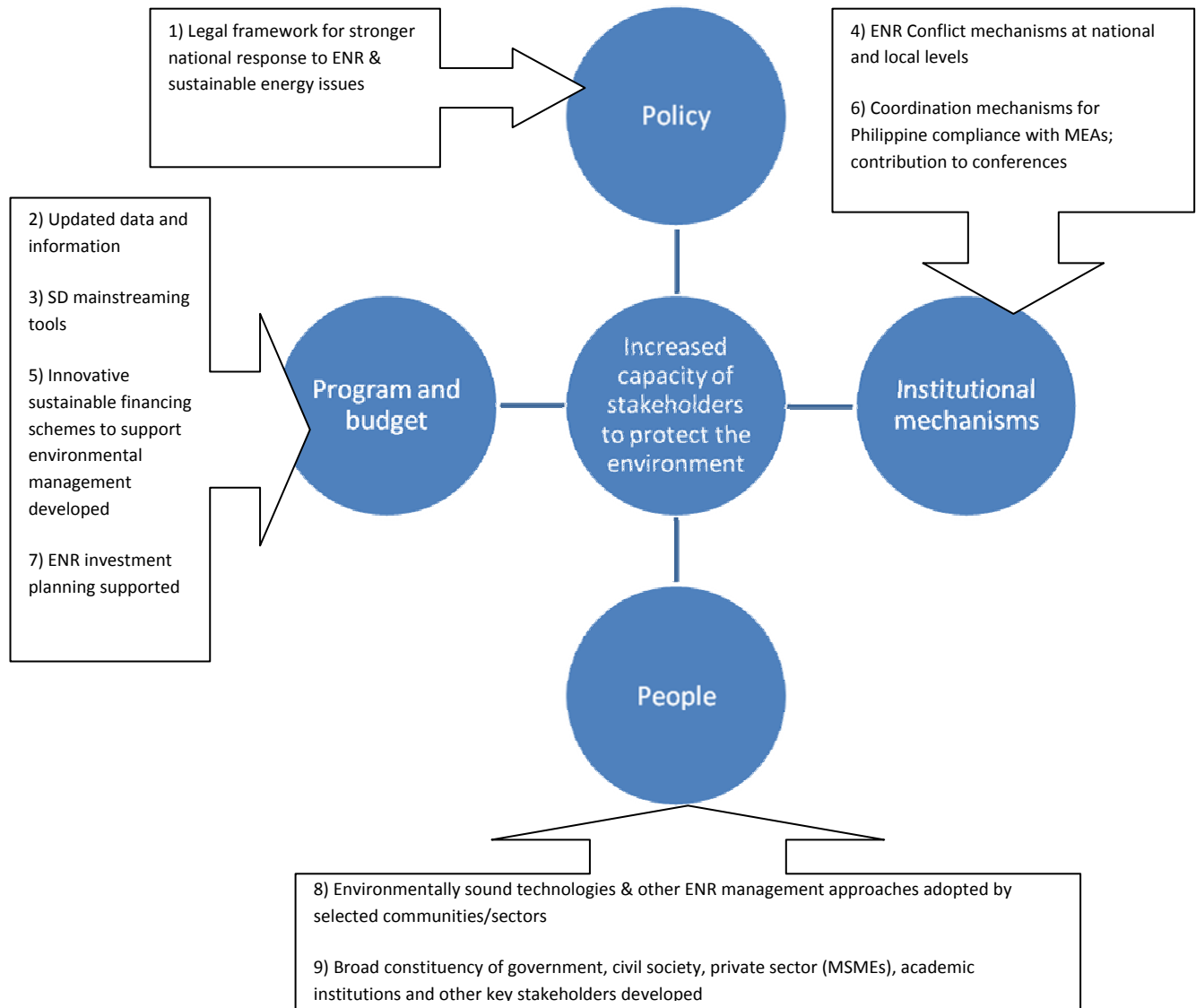
EESD projects have been particularly strong in developing **tools** such as the Sustainable Development Handbooks, the advocacy tools for energy efficient lighting, the manual for mainstreaming DRM in local planning and development processes, among others, in making spaces for effective participation of stakeholders in policy making processes, modeling community based approaches to environmental governance.

Numerous outputs can be cited relative to this aspect. Some project actions sought to create an enabling policy environment through advocacy for specific legislations and endeavored to establish a broad constituency for ENR management. This is depicted in Figure 1 below.

Progress of outcome attainment: Capacity building in terms of organizational mechanisms has substantially progressed considering the nil baseline from which they started. By design, the UNDP EESD activities drove and channeled their support toward strengthening organizational structures and mechanisms. In the process, it yielded a number of tools and community-based models for ENR & disaster management.

Figure 1

EESD Program Outputs Linked to Enhancing Institutional Capacities



Improvements in coordination among disaster management agencies are visible and highly appreciated by the member agencies themselves. There is sincere appreciation of the fact that the READY project had facilitated this culture of collaboration. In effect, the READY project helped the disaster agencies build their team and to synergize their work in a concretely productive way. This behavior change was observed in the IEC workshop which shared the results of hazard mapping in the province of Pampanga.⁷

A listing of some **outputs linked to the outcome** in three sub-sectors where UNDP support was extended is shown below:

ENABLING ENVIRONMENT

- New legislative bills have been proposed and put to Congress for consideration and are now at varying stages of being passed. The Renewable Energy Bill is believed to be likely to be approved, according to DOE informants. They are now poised to draft the implementing rules and regulations. The Environmental Policy Act has moved little in the legislative mill according to the DENR informant. More advocacy is needed to push the legislative processes forward.
- Redrafting of the bills on: National Land Use Act, Coastal and Marine Zone Management Act; Small Island Management Act
- Harmonized Implementing Rules and Regulations for the Clean Water Act and Laguna Lake Development Authority Charter
- Consensus building on amendments to the policy on the delineation of forestland boundaries
- **Frameworks and strategies** for sustainable development which include strategic frameworks and national action plans. Mainstreaming of sustainable development perspectives and disaster risk management in national development planning through capacity building of pertinent NEDA staff. A new way of looking at disaster is to consider it as a development issue rather than mere emergency management. However, these perspectives must be spread to other organic staff of NEDA.
- The **2006 ENRM Framework Plan** brings to light the key environmental issues and underscores the acuteness of the environmental challenges in the Philippines and serves as the roadmap for concerted national responses to environmental issues. The roadmap suggests that “(I)n particular, the Department of Environment and Natural Resources (DENR) must undertake two critical reforms, namely: *policy and institutional reforms* (good and strategic governance, devolution of environmental management functions, encouragement of private sector cooperation and investment, and *institutional capacity building*) and adoption of appropriate financing schemes for ENR management (utilizing various economic instruments)” (in ENR Framework Plan: 2006)
- An ENR framework and a framework for disaster management have been produced. These should now be used as guides to action.
- Integrated Investment Planning Framework for ENR has been formulated including recommendations for investments that would benefit the marginalized communities in upland areas

⁷ The Evaluator observed the workshop at San Fernando, Pampanga on 27-30 August 2008 held at the King’s Royal Hotel.

- Draft National Strategic Plan on Environmental Management for the Brown Sector has been formulated
- Standard Management Planning Procedures for the preparation of individual management plans for abandoned mining sites, as applied in the Cordilleras, was produced
- Printing of the IEC handbook: Select Multilateral Agreements on ENR

ENVIRONMENT PROTECTION AND ENERGY CONSERVATION

- Community based models for ecological solid waste management and biodiversity conservation have been tried out in the field and could now be replicated in other LGUs.
 - In solid waste management, a community based conservation framework (Community Outreach Program) was formulated and tested in 62 barangays, to be replicated in other barangays in the core zone areas
 - A community based model for biodiversity conservation as exemplified by the Samar Biodiversity project has been designed, initiated on the ground and now being tested for its viability
 - In addition, there is the Integrated Coastal Management model which was evolved under a regional program, PEMSEA, which is being funded by GEF. Other models now in the making or testing is the public-private partnership in water service delivery for unreached urban communities as well as the community based renewable energy development.
- National Implementation Plan for the Stockholm Convention on POPs, the preparation of which was accompanied by an initial inventory of POPs and capacity and needs assessment for implementation of the Plan as well as public awareness campaign for the convention on POPs

DISASTER MANAGEMENT

- Coordination among NDCC members has become a reality, a milestone considering the immediate past history of fragmentation and “silo-ism” that used to pervade the disaster management agencies has been replaced by a culture of collaboration that began to emerge in the READY Project. Necessary steps were the harmonization of procedures in the production of hazard maps. Prior to this, the agencies were islands of scientific expertise with little interaction. Currently, the READY project agencies have even instituted the practice of peer review to ensure the quality of hazard maps.
- Organizational mechanisms and tools for policy implementation have been enhanced, i.e. the Barangay Disaster Coordinating Council (BDCC) is being activated and revitalized; coordination mechanisms among disaster management agencies has emerged; networking and information sharing among disaster related agencies is now sustained. Tools such as the data bases and information; sustainable development handbooks and manuals; advocacy tools for solid waste management and biodiversity conservation; energy conservation and lamp waste disposal.
- Confidence of regional centers of OCD to undertake hazard mapping was built through the technical assistance of UNDP.

What remains missing is the setting up of environment conflict resolution mechanisms is yet to materialize. Though the assessment paper were reported to have been completed in 2007 the mechanism itself has yet to exist. This is particularly important due to the tensions induced by conflicts in small mining operations in various parts of the country. Also the potential and the workings of public-private partnership in water service delivery in an unreached urban community is yet to fully realized.

4) **Public support** was generated within each sub-sector relative to the key messages that they propagated. Embedded in the projects are concrete advocacies which when successful could lead to behavior changes vital to environmental governance and sustainable development and would give the public support essential to ENR management reforms in the country:

- Use of energy efficient light and having manufacturers abide by environment friendly standards
- Community involvement in forest management and biodiversity conservation
- Practice of Ecological solid waste management
- Designing community disaster preparedness programs using hazard maps
- Encouraging private sector investment in renewable energy
- In the case of biodiversity conservation, strengthened monitoring and coordination mechanisms among agencies within and outside DENR as well as in strengthened networking with civil society helped in establishing and proclaiming protected areas.

IEC campaigns were integral parts of the project design and yielded concrete results in community based solid waste management. These were measured in terms of environmental benefits like waste segregation and diversion. The dividend of the IEC campaign for energy efficient lighting was the emergence of champions and lobbyists for the Renewable Energy Bill and in the case of the advocacy for environmentally sustainable transport, some city governments have been persuaded to invest on EST projects.

Progress of outcome attainment. Significant progress was made in terms of generating support for the Environment Code and the Renewable Energy Bill; adoption of solid waste management practices; adoption of energy efficient lighting and environmentally sustainable transport., awareness on need to shift from disaster management to disaster **risk** management, among others.

- Multi-stakeholder consensus on the Environmental Code & ENR with the Civil Society & the Academe
- The National Solid Waste Management launched an intensive campaign for the practice of solid waste management and information on the solid waste management project has been uploaded to a website has been uploaded to the DENR-NSWMC domain;
- SM malls and mall operators became active partners in increasing public awareness of solid waste management
- LGU support for solid waste management, biodiversity conservation in Samar, solar energy project in Palawan (at Ibajay municipality) as well as in validation of hazard mapping results

- President Gloria Macapagal Arroyo announced financial support to the energy efficient lighting program
- City governments and donors have begun to consider investment of their local funds for EST
- Civil society support must shift to Disaster Risk Reduction

3.1.2. *What is the extent of change in capacity development?*

To quantify the change in capacities requires a baseline measure to serve as the reference point. However, most of the time the baseline was not established and as a result the extent of change cannot be measured in a precise way. DENR did not have baseline measurements to guide assessments of progress and change. A related and important step is to define the outcome indicators which appears to be missing in the project documents.

Where such baselines were found, an attempt is made to plot and determine the extent of change:

	BEFORE UNDP-funded PROJECTS	AFTER UNDP PROJECTS	EXTENT OF CHANGE
DISASTER RISK MANAGEMENT READY II PROJECT	<p>Most, if not all LGUs, do not have hazard maps. Multi-hazard maps with scientific and geological basis were not readily available prior to READY. LGUs could request national agencies to help them come up with hazard maps but this focus only on a specific hazard.</p> <p>Some LGUS may have been making maps on their own but this did</p> <p>National agencies had prepared maps but these were not updated. Base maps in fact require updating.</p>	<p>Under the READY project, 9 <u>multi-hazard maps out of the 27 selected provinces</u> (i.e. disaster prone provinces) have been prepared by members of the National Disaster Coordinating Council.</p> <p>READY maps are multi-hazard (as opposed to single hazard maps) that have been peer reviewed and validated at the LGU level.</p> <p>A core of Filipino experts harnessed in multi-stakeholder and multi-hazard mapping.</p>	<p>Partial change, 8 out of 27 provinces as of September 2008 have undergone IEC workshops to share the results of the mapping; 5 are being mapped and community based disaster preparedness activities are underway</p> <ul style="list-style-type: none"> • Coordination is now happening among the agencies – considered to be the “best thing that has happened” • Emerging culture of collaboration (end of fragmented efforts of NDCC agencies) • Some barangays are moving into making their disaster preparedness plans such as in Pampanga and plan to incorporate hazard and vulnerability

			information as contained in the hazard maps
SOLID WASTE MANAGEMENT	<p>No community based solid waste management in selected barangays</p> <p>No Materials Recovery Facility in project barangays</p> <p>Limited ecological solid waste management in schools</p>	<p>IEC campaign for ecological solid waste management among LGU barangay officials; students & teachers</p> <p>CBESW tested in five pilot barangays and proven to work; MRF established in most barangays, except for one or two</p>	<p>Significant change</p> <ul style="list-style-type: none"> • 10 % recycling rate at HH level by year 2002 as indicated in the Maser Plan prepared by JICA • 62 % overall percentage of waste segregation recorded by CBESWMP pilot areas exceeding 10 % target for Metro Manila by 2010 • 24,838 households covered by 10 CBESWM pilot areas • 19 eco-trikes given to pilot areas, including 10 ecotrikes for DENR-EMB MRF • 1 rotary mixer given to Barangay Sto. Nino, Paranaque City to support composting operations <p>Note: HH based segregation advocated by NSWMC departs from the MMDA approach which does not strictly enforce segregation.</p> <p>Need to monitor if CBESWM has been continued through time after the project</p>
ENERGY CONSERVATION	No guidelines on lamp waste disposal	<p>Guidelines on use of energy efficient lamps</p> <p>Guidelines on lamp waste disposal</p> <p>Consolidation of a multi-stakeholder constituency for energy conservation</p>	Partial change, CBRED project still to pursue its stalled activities, extended till end of 2009
ENVIRONMENTALLY	There is no integrated	Metropolitan Manila	Achieved. Adoption of EST

SUSTAINABLE TRANSPORT	<p>national framework in achieving environmentally sustainable transport.</p> <p>“Capacities of concerned agencies and stakeholders are hampered by the lack of information on the transport sector resulting to skewed perceptions and uninformed decisions.” (in Project Flyer, UP-NCTS)</p> <p>Few LGUs are practicing EST.</p>	<p>Declaration on Environmentally Sustainable Transport (EST) adopted on 16 Feb 2007 at Diliman, Quezon City.</p> <p>Case books on LGU practices in EST, national conference on EST held in Dec 2008 and has drafted toolkits, soon to be published.</p>	<p>by DOTC and some LGUs. Now to move into another phase.</p> <p>UP-NCTS advocacy for EST among DOTC and LGUs has been systematically pursued. The DOTC has now prepared the National Land Transport Policy Framework where it has incorporated EST perspectives. The policy framework was actually produced under the National Transportation Planning Project funded by AusAid.</p> <p>LGUs are now considering EST projects.</p>
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3.1.3. *Delivery of Outputs and the Link to the Outcomes*

The delivery of outputs has not been fully completed though activities are on stream and proceeding in the right direction despite some hiccups since early 2007. **Unfinished business in 2007** are listed below:

- 1) Link of the the ENR data base to the State of the Environment Report
- 2) Conflict resolution mechanism is yet to be established based on the assessment paper
- 3) Report on ENR incentive system for private sector investment
- 4) Entry points for mainstreaming ESWM in the formal school curricula
- 5) 3 additional ENR MSMEs supported in business planning and start up
- 6) Conduct of CBRED activities – now on stream in 2008
- 7) Completion of remaining PELMAT activities – now on stream in 2008
- 8) Piloted conservation compatible livelihood in Zambales.
- 9) Study on gender mainstreaming policies at DENR⁸
- 10) National list of economically important plant species
- 11) Training module on users’ fees and sustainable financing mechanism
- 12) Recycling and resource recovery promotion for Philippine industries
- 13) Jatropha provenance being supported
- 14) Capacity building for academe, MSME, community and the LGUC
- 15) Capacity building of SINP stakeholders
- 16) Technical assistance on community based tourism

In 2006, undelivered outputs and activities were noted:⁹

⁸ Items 10 -13 were culled form the Cabrido Evaluation report, Feb 2006, p. 29.

⁹ Candido Cabrido, Program Assessment Report, Final Report, March 5, 2007: 19.

CAPACITY BUILDING CONCERNS

- Inclusion of ENR data in the 2006 census
- Assessment of innovative financial mechanism for the management of natural resources and ecosystems – work in progress
- Capability building of SINP stakeholders
- Capacity development on WTO list for environmental goods and services
- Capability building: Environmental Education Updates for DENR Regions
- PCSD strengthening
- IDMS institutionalization

EDUCATION AND ADVOCACY

- Conduct of IEC activities for disaster risk mitigation – on stream in 2008.
- Promotion on the use of integrated participatory environmental management approaches for the private sector
- Promotion of sustainable urbanization

Delay has been particularly significant in the energy projects, especially the CBRED project which suffered a compound of bottlenecks: 1) The UNDP policy to abolish PMOs has stalled the implementation of the CBRED project for more than a year. PMO staff, due to non-renewal of their contracts by UNDP, have had to resign and move on to other jobs; and 2) Unclear management arrangements at the DOE have stalled the work on the advocacy for efficient energy (PELMAT) and the renewable energy development (CBRED) projects. Other projects were not as badly affected by the policy to abolish the PMOs because they were near to completion already or were transitioning to a new phase.

The immediate challenge is to speed up implementation to keep up with the time lines. By sub-sector, most activities and outputs are now on stream and they have 15 more months to fully deliver the outputs:

- 1) **Solid waste management.** The modeling is now fully completed and the final report has been submitted.
- 2) **Water governance.** STREAMS will shift project site and will test the public-private-partnership model to another site.
- 3) **Energy** - to be completed in the remaining 15 months till end of 2009; CBRED will be on the catch up mode while the PELMATP is confident that it will be able to complete all its activities and deliver all outputs by end of 2009.
- 4) **Biodiversity conservation** - the Samar Island Natural Park, the large terrestrial protected area in the country supporting some 38 species of mammals, 215 species of birds, 51 species of reptile and over 1000 species of plants was established
- 5) **Disaster Management.** Hazard mapping is on track and continuing until all of 27 project provinces shall have been covered. There is confidence that all provinces will be covered

by end of 2009. As of September, results have been presented in 8 provinces; 5 more provinces soon to follow within the next two months. That makes for 13 out of 27 provinces covered with hazard maps. In early 2008, a revisit has been done in Surigao del Norte to check on the condition of the donated equipment and how the hazard maps are being used .

Strengthening capacity for effective **water** governance and access to sustainable **energy** resources & renewable energy is at best work in progress. It remains to be seen how much progress it could chalk up by the end of the program cycle. Efforts have been initiated but these encountered some drawbacks. The energy-related projects were affected, in varying degrees, by the UNDP's policy to do away with project management offices(see below). In the case of the water governance project which sought to explore public-private partnership, the partner was not amenable to allowing the STREAM, an NGO, to engage in water service provision in the chosen site but was willing to collaborate in another project site.

Rethinking has been done and shifts are being made. The water PPP project is taking new paths and partners are working with them. The chosen mode can yet generate an innovative approach to forge partnership between small water service providers and the big concessionaires to fast-track delivery of water services to low income communities. The energy efficient light advocacy under the PELMATP has picked up and the campaign is going on. The project manager expressed confidence that all activities will be completed by the end of the program cycle.

However, the community based renewable energy development project (CBRED) will forego¹⁰ operationalizing the market center for renewable energy given the ten-month dormancy of the project as it was originally conceived and initiated. And the water governance project will exert best effort to make the PPP work in the new site. The results remain to be seen.

In the two subsectors of water governance and renewable energy development, substantial work needs to be done, in relation to evolving a model for public-private partnership in water service delivery to unreached urban poor communities and in renewable energy development.

As already pointed out earlier, setting up of conflict resolution mechanisms is an urgent task in the light of mining-related tensions. It is not clear how much more needs to be done to fast track delivery of this output. According to the UNDP EESD portfolio manager, the initial results are promising in terms of understanding the various forms of conflict, their causes and the possible solutions to addressing them.

Output-outcome Links. In accordance with the EESD program design, significant contributions to the attainment of the outcome have been made in terms of: a) creating an enabling environment for sustainable development; and b) developing frameworks, strategies and tools c) making available vital information essential to strategic planning and programming and facilitating enabling activities to move forward the implementation of multilateral environmental agreements.

¹⁰ Based on interview with EUMB Director Marasigan, September 2008.

Project outputs either laid the basis for future action or directly equipped duty bearers to design action plans and implement them. Examples are cited as follows:

Environment protection

- The DENR Environment Management Bureau has drawn up the list of persistent organic pollutants (POPS) which can now guide inspection of establishments and basis for future programmes on phase-out.
- A model for solid waste management at community level is ready for rolling out in a wider scale.
- The designation of an agency to follow progress in the implementation of the Clean Development Mechanism; the Greenhouse Gas Inventory process is now being institutionalized as the heart of the country reporting process to the UNFCCC.

We strongly believe that the project outputs contributed largely to the overall outcome because implementing and responsible partners and their beneficiaries are better able to understand, appreciate and manage ENR and better cope with the impact of environmental emergencies and maintain sustainable development. Also, we were able to comply with our MEA commitments through active participation in conferences, meetings and workshops; better able to develop/formulate proposals for fund generation; and put in place policies and/or instruments to respond to the requirements of the changing times.

- FASPO-DENR

Energy conservation

- The energy sector successfully created and mobilized multi-stakeholder constituency . The renewable energy coalition include the Renewable Energy Association, Department of Energy, World Wildlife Fund, and others. The coalition has become bigger and is very inclusive of civil society. The RE coalition championed the RE bill and became the “voice” of the sector.
- DOE, in collaboration with the SWITCH, a convener group that includes NGOs, academe, the religious group, LGUs, Green Peace, Green Army and the like have actively advocated for **energy efficient lighting**.
- Public support for energy efficient lighting has emerged. There has been increased stakeholder awareness of what they can do and share to participate in the energy efficient lighting campaign. For example, the PHILEX road show promoted the ban on the use of incandescent bulbs. And actively encourages manufacturers to design and produce *luminaires* and ballasts that are energy efficient.

Disaster risk management

- Guidelines to mainstream DRR in local planning have been developed. Some NEDA staff have come to understand disaster risk management and had to build their own capacity in DRM to be able to build the capacity of local planners in DRM.
- Harmonized procedures in hazard mapping has facilitated the work of PAGASA and the other risk management agencies –PhiVolCS, MGB, NAMRIA. According to them, they have been able to refine their procedures in the course of project implementation and were able to evolve a READY procedure that is internationally accepted. PAGASA also saw the value of documentation, i.e. manuals, which aided in building community capacities.
- The LGU network for community based flood early warning system has expanded.

Project outputs have very strategic and catalytic use but these are mere potentials unless users such as the LGUs do harness them in making their disaster preparedness plans and disaster risk resilient development plans. For examples, a) the READY hazard maps can now be used in crafting provincial and municipal & *barangay* disaster preparedness and management plans. b) The EMB POPS project led to the drafting of project proposals that were taken by UNDP and provided the National Implementation Plan for addressing the POPS problem in the Philippines; World Bank and UNIDO have expressed interested to support some projects and c) CBRED has found new donors coming into their realm and seeking partnership such as JICA, USAID, ADB, Spanish Embassy and other financial institutions.

Worthy of note is that the environment-poverty nexus has been directly or indirectly addressed by the project activities and outputs. For example, the ESWM project has enabled the participating *barangays* to generate revenues from the sale of recyclable waste; the energy efficient lighting advocacy could yield significant savings in energy used and realize savings in money terms; disaster preparedness among communities could now be intelligently guided by hazard and vulnerability maps and consequently, save lives and reduce potential damage, especially in poor communities.

The Biodiversity Conservation project in Samar Island endeavored to find alternative livelihoods for forest dependent communities though this was not an entirely flawless undertaking. Pursuing the twin goals of biodiversity conservation and poverty alleviation was demonstrated in the project through the Community Outreach Program.

In a similar vein, The SGP-PTF programme was able to do the same for forest communities in various parts of the country, as well as, seven (7) other countries in South and South East Asia.

Whose capacities were built? In particular, the projects assisted DENR and DOE bureaus and members of the National Disaster Coordinating Council (NDCC) to enhance their capacities in biodiversity conservation; solid waste management, renewable energy development, light energy conservation and disaster management & risk reduction. (refer to Table 1, Capacities Strengthened Among Key Duty Bearers in ENR)

The OCD had the opportunity to enhance their capacity for project management and re-enforced their regular functions. For them, their role as UNDP implementing partner gave them more visibility at the local levels and increased their resource generation capacity. In their view, the UNDP project “opened doors for them.” The experience showed that there is a development role even for an agency that is associated with defense. Previously, donors would refuse to extend aid to OCD because they were seen as being a “defense” organization.

PHIVOCs, one of several DRM responsible partners said that by building the confidence and capacity of the regional OCD centers, their precious time could now be spent in performing their mandated tasks, especially the “science” side of their work.

The UNDP project made some DENR agencies realize the need for further strengthening to increase their absorptive capacity for implementing projects.

A strength of the EESD projects is the consistent effort to engage the communities and strengthen the capacities of LGUs i.e. *barangay* and municipal officials in ENR management. This was evident in the efforts to evolve community-based models for biodiversity conservation as in the Samar Island National Park project; renewable energy development (CBRED); the solid waste management (CBESWM) and community based early warning systems, disaster management & contingency planning. A similar trend was also noted in the advocacy for environmentally sustainable transport (EST) spearheaded by the academe (UP-National Center or Transport Studies) so that their target city governments would buy into the idea.

Both duty bearers and claim holders were addressed by the EESD program activities. However, actions aimed at claim holders were incorporated in the projects but did not appear to be an overarching strategy of the EESD portfolio. The premise is that it is the duty bearing agencies who ought to directly address the claim holders and it is not the role of UNDP.

Through strengthening of the duty bearers, UNDP-funded projects should trigger capacity building of claim holders through awareness raising, education & training to increase understanding of ENR management issues and concerns and being informed as to appropriate behaviors and practical actions to be taken.

The UNDP project has enhanced their “capacity to work and the capacity to work together.” Mapping procedures have been standardized. And they are now able to do more.

UNDP helped alleviate their manpower shortage and enabled them to expand their work to Visayas and Mindanao. In previous years, they have tended to be Luzon-centered due to limited funds. In addition, as the staff were trained and exposed to their peers in the field, more people became leaders and empowered the younger staff. It gave them confidence to work in disaster risk management.

- Dr. Renato Solidum, Executive Director, PHIVOLCS

The importance of taking the claim holders on board is dramatically illustrated in the Samar Island Biodiversity Project. Claim holders were mainly people living in and around the SINP, i.e. people's organizations, communities and LGUs.

“The Project has been successful in changing perceptions of the villagers about the forest and its biodiversity from that of viewing resources in a solely exploitative way to one of resource conservation and protection. Illegal timber harvesting was perhaps the most prominent livelihood activities of the villagers prior to the Project but in *barangays* where the Coalition of Partners (COPs) have been operating and in particular those where access is easier and more visits have been made timber poaching has decreased significantly with the villagers themselves attributing the change to higher awareness and better understanding of forest policies, combined with the availability of sound alternative sources of income such as improved farming. As further proof confiscations of illegally harvested timber from the forest have decreased despite the authorities maintaining the same level of vigilance.”

Source: Answers to Evaluation Questionnaire, 29 August 2008, Parks & Wildlife Bureau.

In the ENR-CORE, private sector, academe and civil society were involved in information dissemination and communication, conflict management, knowledge management, capacity building at the community level, enhancement of bills through the PVNET (on line interactions among the CSOs and other concerned individuals. (Answer to the questionnaire, FASPO-DENR) The private sector and CSO's capacities were enhanced through the exchange of knowledge and learning and pilot implementation. Their findings and studies were presented and validated with concerned stakeholders during consultative meetings.

IEC campaigns were incorporated in the community based projects for solid waste management and energy conservation but due to limited resources and project time, little was done to increase public awareness on persistent organic pollutants and the Stockholm convention.

The IEC campaign was markedly strong in the energy efficient lighting campaign and solid waste management project. The IEC-READY project campaign was geared toward informing the LGUs (i.e. barangay officials and municipal planners) in the 27 project provinces about the results of the hazard mapping. The READY team provided the barangay officials and teachers with compact disc copies of their power point presentations and other instructional materials to aid in their echoing of the hazard mapping information to their community residents.

Barangay officials are expected to cascade these information to their village constituents in due time. That such will in fact happen remains to be seen and needs to be monitored by the Office of Civil Defense. It also implies the need to set up a monitoring system to track progress in the course of time.

3.1.4. Sustainability

The EESD projects aimed at capacity development have varying degrees of complexity, different interventions & inputs and varying degrees of sustainability potential.

A glimpse at the situation of some projects relative to sustainability potential is reported below:

a. Environmental Protection and Biodiversity conservation

The potential for sustainability of the Community-based Solid Waste Management project in the pilot barangays was considered high in view of the following:

- ownership by stakeholders: champions and leaders in ESWM now exist in the communities; inspiration and pride among the pilot barangays in their achievement and in keeping their environment clean and orderly; partnerships with core groups, NGOs, village organizations already established which could monitor and push the barangays to deliver solid waste management services; experience of the benefits of segregation and recycling;
- knowhow acquired by the participating barangays; a large number of school children have been mobilized and trained to comply with RA 9003 stays with the barangays; facility and equipment to support ESWM practices already in the barangays;
- income from sales of waste and revenues from MRF operations to maintain facilities and equipment

All pilot barangays, except one, are confident they can sustain the project initiatives on segregation and IEC campaign. Almost half do not feel confident in their capability to sustain ESWM training because they feel they do not have the competence to conduct these themselves. NSWMC and EMB-NCR could fill this gap. (in Cabrido, Final Report, p. 17)

b. Samar Biodiversity Conservation Project

LGU and community residents and indigenous groups around the SINP project area have been co-opted through multi-stakeholder consultations from project inception. Significantly, the SINP hurdled the insurgency threat in the area through dialogues with them.

Local communities have been organized effectively and were given alternative livelihood opportunities and consequently persuaded to desist from timber poaching and other illegal forest harvesting activities. Key to the sustainability of the SINP is the economic empowerment of the community residents. If the livelihood projects are able to support the household economies in the area, then it augurs well for the continued existence of the SINP.

Involvement of LGUs and local involvement through the formation of forest protection groups called Bantay Kalikasan (environmental guards) and Bantay Gubat (forest guards) in barangays and the creation of environmental resource management units in both the Provincial and Municipal governments helped increase LGU ownership of the project. Furthermore, some LGUs have already integrated the SINP foci on biodiversity conservation and protection into their strategic development plans.

The Protected Area Management Board (PAMB) was set up and strengthened through trainings, dialogues and direct participation. SINP-PAMB is the decision making body in the management of the SINP. Also, SINP staff have also taken over the responsibilities of the PMO. And the Protected Area office will serve as a learning center for PA management.

Most of the conditions for sustainability are found in the SINP. However, external threats such as insurgency and strong private interests have not been totally eliminated. And these could wipe out the project gains overnight.

c. Advocacy for the Adoption of Energy Efficient Lighting

The PELMAT project entails a massive campaign to adopt energy efficient lighting. It has been waged on all fronts: the producers/ manufacturers of light and the consumers. The campaign engaged numerous stakeholders i.e. the Department of Energy, joint government-private sector promotion of EEL technologies, Energy Efficiency Practitioners Association of the Philippines, Pollution Control Association of the Philippines, League of Corporate foundations, Gawad Kalinga Movement, Chambers of Commerce and Industry in various parts of the country,, export processing zones, USAID Eco-Asia Climate Development and Climate Program; Energy and Clean Air Program, International CFL Initiative, among others. These various sectors participated in making policy recommendations and makes for broad based ownership of the EEL advocacy.

Players have been given tools in the form of guidelines for energy conserving design of buildings and utility systems on the IIEE_ELI Manual of Practice on Efficient lighting, roadway lighting guidelines, guidelines on warranty and eco-labeling of lamps; institutional and technical capacities on EEL applications have been developed, i.e. energy audit of private firms; demonstrations of EEL applications in the commercial sector; upgrading of testing facilities for testing light sources and luminaires and dialogues with the lighting industry stakeholders. An added feature of the project is the partnership with DENR for an EEL systems waste management assistance program.

Also, the project is exploring financing assistance for EEL system initiatives by educating the banks (9 banking institutions) on the economics and financial benefits of EEL systems. The project therefore, has facilitated ownership, empowerment of its players and explored funding possibilities for EEL initiatives. The project seems to be strong in its consumer awareness campaigns and in its engagement of the private sector. Potential for sustainability for the EEL appears to be promising but some more work is needed to incubate and enable the project to take root in the public and private sectors.

d. Renewable Energy Development – CBRED

The CBRED project is about finding alternative renewable energy and promotes a community based approach. It has launched a solar energy development project in Ibajay, Palawan from 2005-2006. Solar heat panels were installed in a community where 200 households were to benefit from electrification using SHPs. In case solar heat is weak, there is a back up generator. Prior social preparation of the communities had been done in a previous phase and the communities have bought into the project.

In the course of the project, demand for electricity increased beyond the capacity of the existing solar panels. When solar electricity came to being, community residents bought appliances and demand outstripped the supply of solar power. The Ibaday community had economic strength that enabled them to acquire energy-using appliances, a factor that was not expected. The intent of the solar panel installation was mainly to light up the households and did not factor the consumer tendency to acquire more appliances.

In terms of ownership and technical capacity, the Ibaday (CBRED) project rates very well. Provincial staff were trained (courtesy of a JICA expert); municipal staff were trained on how to run and maintain the solar heating system. Electrification in the community has been ongoing during the last two years since it was completed in 2006.

Risk and uncertainty is coming from the exorbitant cost of the battery supporting the solar heating system and for which the provincial government pledged to replace the unit when necessary, possibly after five years. The cost of the battery alone is some 5 million pesos purchased with the grant and to be replaced with provincial government subsidy. The appliance fever in the community could drain, overstretch and ultimately, shorten the useful life of the battery. Would the sales proceeds be able to cover the battery cost in five years?

According to informants, a) there is a solar heating program in the provincial government; b) a guarantee fund of 5 million pesos has been on escrow at the Cooperative Bank of Palawan (CPB), to serve as guarantee for loans during the project period till recently. Additionally, the financing scheme whereby individuals could borrow to buy solar panels (this was hatched with the collaboration of the Cooperative Bank of Palawan) did not play out well. The latter had been able to lend to more than a thousand cases but collecting among borrowers from the southern Palawan was found difficult. Only 60 per cent were estimated to have repaid the CBP and thus, the CBP will not be renewing its agreement to maintain the guarantee fund, according to the incumbent bank manager. In light of these, how could the private sector be enticed into investing on solar heating?

Solar energy has come to be an alternate source of lighting for the Ibaday community and the experiment has shown that it is in fact possible to find alternative renewable energy sources. While solar based lighting was shown to technically feasible, its economic viability is at risk. More thinking is needed to make it a viable economic proposition. Replication of this model would have to be rethought in view of the risk of financial un-sustainability.

e. Disaster Management – READY Project

The production of multi-stakeholder and multi-hazard maps is likely to continue beyond UNDP funding. It can be integrated into the regular work of the NDCC member agencies and can be funded from regular budgets. READY project Informants believe that the value of coordination and the shared realization that it could happen is well appreciated by the members. Thus, there is willingness to continue the practice of task sharing even after the project. In addition, DRR and sustainable perspectives are being mainstreamed in national and local planning processes

by building the capacity of the national planning agency, NEDA, who will take care of infusing the perspectives to LGU processes.

Local level READY teams, headed by the OCD director now exist. Each agency at the local level share in the cost of their staff travel whenever they embark on a team undertaking. LGU ownership of the READY hazard information implies that they would use it for their disaster preparedness plans and programs; in effect, the hazard maps are mainstreamed into the regular work of the LGUs. Also, there are DRM guidelines and handbooks. What is needed is to monitor the application of DRM by LGU planners.

The IEC campaigns is not only validating the hazard maps but is useful in indoctrinating local officials on how to use maps for their disaster preparedness. Barangay officials are expected to echo these to their constituent households. *This may or may not happen. Popularizing the hazard maps to community residents, especially women and children is a challenge to be addressed. Previous development work indicates that the echoing process do not necessarily proceed as is often assumed.*

In general, potential for sustainability was gauged based on the presence of several elements:

- Ownership by stakeholders: political will and public support; mainstreaming actions
- Empowerment of key players: Understanding and know how of key players; frameworks, mechanisms, tools to guide staff and other players; policy platform exists or likely to exist and
- Financial resources.

Actions to mainstream project gains and to institutionalize practices augur well for sustainability. Evidences of mainstreaming actions include:

- ESWM has been introduced into the school system on a pilot basis
- DRR and hazard mapping is being mainstreamed in local planning (as previously mentioned)
- CBRED has advocated for the inclusion of RE in the curriculum and training of engineering students. CHED already issued a memorandum to this effect. Also, DAP has advanced its own funds (during the CBRED project dormancy) to prepare training modules on RE.
- For energy efficiency, the PELMATP has developed energy efficient lighting standards; first ever lighting guidelines for energy conservation and these tools will be used for educating 5th year engineering students. However, there will be a need to train trainers.
- Administrative Order 183 was promulgated (upon advocacy of PELMATP) and it mandates state universities and colleges, government organizations and government funded projects and GFIs to shift to energy efficient lighting. PGMA announced 500 million pesos for CFL during the launch of the SWITCH and to date funds have been released to DOE. Building on the PELMAT successes, ADB will be supporting a related project.

The community-based models for ecological solid waste management as well as the community based flood alert systems appear to be mature enough for replication and roll-out in more communities and barangays. The roll-out is normally in the charge of the agencies concerned. Such a roll out would then institutionalize and effectively sustain the practice.

At the time of this Evaluation, there was no clear articulation of plans to roll out the program in other project provinces. Uptake of successful pilots have not been forthcoming as of Evaluation time. Actions to institutionalize are often stymied by the lack of financial resources to roll out the successful pilots in a big way. DENR, the line agency that ought to take on the up-scaling of the project has a huge portfolio of ODA funding that augments its internal budget. Thus, resources may be less of an obstacle. Rather, leadership changes and political appointments to high level positions do not help in ensuring continuity and sustainability. Signs of political distractions at the DENR were noted.

3.2. Role and Contribution of UNDP

UNDP soft assistance (not funded by loan program)¹¹ extended technical and financial assistance to its implementing agencies, usually the key duty bearers in ENR management. The varied roles of UNDP came into play in the EESD portfolio and had varying importance depending on the specific nature of the project. For example, in the SINP, “UNDP’s niche lies in capacity building, networking with other donors, partnership building and livelihood assistance” (Questionnaire, Samar Biodiversity Conservation Project)

1) The most prominent role of UNDP has been the effective leveraging of resources. UNDP’s role as resource mobilizer and broker is eloquently illustrated in the anatomy of the portfolio funds. UNDP has leveraged funds so well that the major part of its portfolio comes from external donors, including the Global Environment Facility. TRAC (UNDP core resources) comprised only 5 percent of the total budget for its Energy & Environment programs and 95 percent came from GEF, & bilateral funds like JICA, Aus Aid and others. Certainly, the UNDP-EESD program has attracted funds from donors.

Relative to increasing financial capacity, it is noted that ENR funds comprise 58 percent of the UNDP program resources and that TRAC funds comprise 5 per cent of the EESD portfolio resources while non-TRAC funds comprise 95 percent of the EESD resources. The latter is pooled from a variety of donors (e.g. JICA, Aus AID) that channel funds to the UNDP in support of environment programs. It is noted that during the programming cycle, 2005-2010, UNDP has successfully brokered for additional funds from the GEF and bilateral donors like JICA and Aus Aid which supported ENR development programs that the limited TRAC (internal UNDP budget) funds could not cover.

Through UNDP’s brokering, ADB allocated part of its TA grant on solid waste to community based endeavors, in another 10 barangays in Metro Manila, to be based on the UNDP model.¹² (UNDP Briefing Note for the Secretary of Environment & Natural Resources, 7 August 8 2008)

¹¹ Support for policy studies, policy review & development, capacity building, design of innovative financing schemes.

¹² A number of lending facilities (mostly with the Development Bank of the Philippines from KfW and JBIC) are available for solid waste management projects but are mostly untapped. Barriers include collateral requirements, high interest rates and cumbersome documentary requirements.

2) UNDP technical advice has been helpful in conceptualizing programs and projects in collaboration with its implementing partners. This was explicitly stated by both DENR and DOE. It was well understood that the UNDP assistance was focused on building the capacity of MEA focal agencies.

UNDP assistance has been instrumental in making RA 9003 operational, by assisting the government develop the Implementing Rules and Regulations within six months. However, a lot of work remains to be done in terms of issuing specific guidelines (generation of the plans, dumpsite closure, landfill specifications, packaging specifications, etc.) which will require additional resources. The UNDP helped the DENR identify these additional needs, draw up a timetable for their completion, lobby for funding from donors and is in the process of assisting in the generation of some of these guidelines, e.g. establishment of MRFs.

3) In the context of the ENR-CORE program, UNDP support was catalytic in advocating environmental awareness and education. Also, through its consistent and conscious promotion of **partnerships and participation** in the design and implementation of programs, its partners have embarked on multi-stakeholder consultation and consensus building workshops.

Thus, UNDP was able to effectively though indirectly, exercise its **convening power** and organize policy dialogues among stakeholders within the projects it supported. One of its visible feat under the EESD program is the creation of a culture of collaboration among the disaster management agencies. Through the READY project, members of the National Disaster Coordinating Council (NDCC), are now talking to each other. By their own admission, prior to the READY project, they had worked in “silos” and they had difficulties extracting information from some agencies. Inter-agency collaboration and peer interaction has now become the norm.

Although there have been some pertinent laws and policies on ENR, these now require major updating and revision. With UNDP support, policy reviews and studies have been undertaken which eventuated into legislative proposals and bills are now on file with the Congress. Actual passage is being awaited but between then and now, persistent policy advocacy has to be sustained.

In the Samar Biodiversity Conservation Project, UNDP support was catalytic in providing concrete baseline information to support the establishment of the Samar Island Natural Park, especially the support for valuation studies, market assessment studies on non-timber forest products, ecotourism as well as advocacy activities in support of the passage of the SINP proclamation.

4) UNDP has fostered the extraction of lessons learned and sharing of ground experiences, especially success stories, through documentation of cases and production of publications for learning purposes as well as for advocacy. Case documentation is in fact an integral part of some projects as in the case of the solid waste management project and the environmentally sustainable transport EST. The same should be done in other projects and documentation should include both success and failure stories.

But more could be done in this area. In the last 15 months of the 2005-2010 program cycle, it would be worthwhile compiling and analyzing the projects to determine linkages and interfaces. For example, the link between environment protection & disaster risk reduction, i.e. protecting wildlife and forest resources as a practical step toward reducing disaster risk is a message that should be propagated in the course of the IEC campaigns of the READY project.

In general, partners see UNDP as an encouraging ally and motivator that inspire and goad them to venture into unknown or uncharted grounds. This was articulated by informants PAWB-SINP project and the DENR-EMB solid waste management project. However, UNDP must be more circumspect and cautious in applying management policy changes because it may unduly disturb project implementation as has happened in the CBRED project.

UNDP has been consistent in its practice of participation and partnership. Thus, a constant feature of the UNDP-EESD projects is the partnership between national agencies and local governments and the involvement of multi-stakeholders including civil society, academe and the private sector. Thus, partners see that the strengths of UNDP lie in its:

- Inclusiveness and responsiveness to the poor and vulnerable is apparent in the UNDP funded projects. Interventions have been strategic: policy reforms, capacity building. (ENR CORE)
- Participation of the Samar Island Biodiversity Foundation, the federation of Samar NGOs (34) as partners in project implementation. Their role in the advocacy and awareness for conservation facilitated the Proclamation of the SINP.
- Support and active participation of the LGUs at the provincial and municipal and barangay levels in the implementation of project activities. Working partnership with LGUs as part of the Project's adaptive and management strategies.

However, UNDP is seen as having “ limited influence and participation in development and investment activities.” (ENR CORE) Advocacy for policy reforms has been a strength of UNDP but investment decision making is a niche where it has not necessarily positioned itself.

Productive Partnership

The partnerships have proven to be productive and fruitful and now provide templates which could be replicated in other parts of the country:

- With the academe: UP-NCTS, has broken ground in the adoption of environmentally sustainable transport and has been able to co-opt the Department of Transportation and Communication in its promotion and adoption;
- With government agencies: successful modeling of community based approaches to solid waste management & community based forestry management; establishment of data and information bases for policy studies and analytical work;
- With LGUs: Purposive engagement of the LGUs was done in the context of the disaster management (READY Project); the CBESW for ecological solid waste management and the PPP for water governance

- With NGO and the private sector: In evolving a public-private partnership for enhancing water service delivery to urban poor communities, UNDP partnered with STREAMS, a local NGO with international linkages. Similar partnerships are being contemplated in other projects such as the Community based Renewable Energy Development Program.

Partnership and participation clearly proved their worth as guiding principles in ensuring ownership and buy in into development actions. However, partnerships with the private sector could be further explored. There are current attempts to do this within the projects such as the 1) pro-poor public private partnership (PPP) in water governance led by the STREAMS, an NGO and 2) the community based approach to renewable energy development (CBRED)

Partnerships with the LGUs have been productive in the area of solid waste management as well as in forest wildlife conservation. The latter is still in progress as the SINP has moved on to its second phase. Close monitoring and handholding of the LGU to ensure that it would be able to sustain the momentum and the gains under the project can be done by the PAWB.

There are emerging partnerships in the READY II project which could be institutionalized as they have successfully facilitated the exchange of information and coordination. The team effort in the IEC campaigns with LGUS appear to be injecting vitality in building capacity for disaster preparedness. Such provincial workshops could be further optimized.

Overall assessment of outcome attainment

In general, there are good evidences showing substantial progress in outcome attainment. Financial and human capacity building have not progressed as fast as the organizational capacity building and public support.

UNDP is a 'small fist trying to make a big punch.' It has scored some successes in creating the knowhow for ENR management through support to demonstration and pilot projects. Thus, it has broken ground in specific areas such as solid waste management and biodiversity conservation and has yielded models that merit scaling up and institutionalization on a wider scale.

It has influenced lead government agencies such as the DENR, DOE and the NDCC on the Multilateral Environment Agreements (MEAS) pertaining to climate change, biodiversity conservation and POPs.

Its technical advice and brokering for more resources in support of capacity development has been well marked by its partners. And it has opened doors for key players and partners.

Synergies with other non-UNDP supported ENR projects has not been very apparent in the desk reviews. Yet capacity development is a common feature of the technical cooperation projects. Fast tracking of the work in setting up conflict resolution mechanisms and water governance is the immediate concern in the remaining term of the program cycle 2005-2009.

Climate change adaptation and conflict resolution are areas where capacity development is urgent because they are already posing challenges to ENR management. Good governance measures may warrant support but this would have to be a value adding exercise to the existing program on strengthening governance in energy management.

Chapter 4

LESSONS LEARNED AND GOOD PRACTICES**A. LESSONS LEARNED**

Approaches to capacity development

1. Multi-sector stakeholder participation pays. The participatory process although time consuming, encourages active involvement at the local government units and communities in project activities and develops a sense of ownership for the Project. For example, multi-sector committees on natural resources were found to be effective in enforcing laws. Thus, multi-stakeholder participation lays a good foundation for sustainability and must be given due time and effort.
2. Participation means creating space for claim holders to meaningfully participate in decision making and policy making for ENR management. This helped in formulating the Environment Code (now the Environmental Policy Act bill).

All partners should be involved in all phases of the project from project design stage. All partners involved directly in the implementation of a project should be required to sign the project proposal (or the project brief) prior to its submission to external donors. This is a lesson born by the experience of FASPO as a coordinator of foreign assisted projects in DENR.

3. Mobilization of non-government and the private sector could be scaled up. But private sector engagement is easier said than done. Their responsiveness will vary with the nature of the engagement required of them. The convergence between junk shop owners and the community residents made it easy to bring in the private sector in the community based solid waste management project. But in renewable energy development the private sector would have to advance major investments. Hence, the policy might need to jumpstart the “participation” as provided for in the RE bill.

Finding a workable financing scheme is the continuing challenge. For example, illegal logging is stumbling block in forest conservation. Private interests, some times involving patronage politics, pose major blocks to forest conservation.

4. The academe is an underutilized asset in capacity building for effective ENR management. They were effectively harnessed in developing and promoting environmentally sustainable technologies.

The academe should be able to assist the LGUs in tackling local issues. For example, the UP-NCTS has trained 2500 engineers and 70 graduate students who are in different parts of the country. By tapping into this network, LGUs have a pool of experts and resource persons in furthering the adoption of environmentally sustainable transport and other such technologies.

National academic institutions like the NCTS could facilitate the dialogue between the LGUs and local academic institutions. Also, the UP-NCTS promoted the concept of establishing partnership arrangements among concerned local stakeholders in the pursuit of EST objectives in their respective cities. Under this arrangement, a tripartite collaboration framework was forged among the City Government, a local academic institution and the UP-NCTS for sustained research and development activities at the local level. (Source: Pamphlet, Capacity Building and Social Marketing for Environmentally Sustainable Transport)

Support for promoting academe (at national and local levels) and the LGU officials could be promoted and the potential of the academe optimized in capacity development for local governance, environment protection and resource conservation.

5. Community acceptance of the link between environment protection and sustainable development is needed in making ENR development actions work and in facilitating long-term sustainability of innovations and development actions. Community based approaches are feasible and a promising way of promoting effective ENR management as was shown in the biodiversity conservation, ecological solid waste management, energy conservation and possibly, renewable energy development.

But community based schemes for environment management should take into account commercial viability and financial sustainability with service delivery. Consumer behavior must be reckoned with in ventures to use alternative and renewable. The *Ibajay*, Palawan solar energy experience is highly instructive in this regard (refer to chapter 3).

6. Partnerships with LGUs is a key strategy toward ENR management because they have the mandate for ENR management and the obligation to provide a clean and green environment to their constituents. With their internal revenue allocations, they also have some degree of financial capacity to invest on capacity development for ENR management. Most of the time, they lack the technology and knowhow. EESD should support programs that would bring the technology and the knowhow to their doorsteps.

Partnerships and inter-agency linkages within government could be further exploited and harnessed. For example, DOLE inspection system and DENR establishment inspection could interface to bring in environmental standards as basis for establishment inspections. And this could be done in partnership with LGUs.

7. Capacity development should be a planned, continuing and iterative process. It cannot be a single shot. For example, "training and education on biodiversity conservation and livelihood necessitates a well-tailored plan and careful implementation so the project will know where to begin, what to do next and where to end."
8. Public support for ENR management is important for policy reform, resource allocation and implementation of programs. A purposive effort to crystallize and consolidate public support can be achieved by methodically building broad based constituencies. For

example, it was realized that there is in fact a constituency for renewable energy. Many people have shown interest in RE. Now there are 14 project proposals at the EUMB.

9. Environment protection and resource conservation are shared responsibilities of the duty bearers and claim holders. Every citizen, whether from a mandated agency or not, is entitled to clean air, clean water, healthy environment and the like. The Clean and Green Campaign requires everyone to partake of their share. ENR reforms and capacity building should address both duty bearers and claim holders.
10. Adaptive management should be rigorous and fully documented. For example, protected areas should endeavor to gather local names of plants, animals and local appreciations of their relationships and uses to improve the management planning.
11. The regular consultations and meetings and the installation and designation of an organic Project Coordinating Team within the implementing partner facilitated the coordination and fulfillment of the achievement of outputs and outcome.

Capacities to be built

12. ENR capacity building is about mind shift and modifying behavior on a “grand scale.” It means behavior changes at multiple layers: individual, communities, organizations, institutional at national and local levels. It involves the re-engineering of people’s orientations and inculcating respect for the environment and natural resources.

Yet, attitudinal blocks are rife and serve as barriers to environment protection and energy conservation. For example, environment regional officers are skeptical of LGU capacity in inspecting establishments and enforcing environmental hazards such as persistent organic pollutants. This has constrained devolution of the responsibility to the LGU; yet there is limited capacity at national level to cover establishment inspections in the country. In the case of solid waste management, the setting up of waste recovery and sorting facilities was opposed by some residents who assumed a “not in my backyard mentality.” As a consequence time had to be spent to search for alternative sites and delayed the establishment of the solid waste management system in the communities.

ENR management requires changes, sometime radical, in behavior at individual, community and societal levels. Old habits and ways of living need to be changed and redirected for greater consciousness of the ENR situation and **citizens’ obligation** to protect and conserve it and not to merely leave it to the government to perform the task.

13. Systematic, deliberate and massive efforts to eliminate attitudinal and behavioral blocks among duty bearers and claim holders; among government, non-government and the citizenry are constantly needed. Hence, sustained IEC and social marketing should be harnessed to bring all stakeholders in the Clean and Green movement. It should be part of the national strategy for institutional capacity building and warrant dedicated efforts and investments and must be done methodically. There is great scope for sustained information campaigns especially in the light of numerous disasters affecting the Philippines.

- Efforts must be taken to ensure that IEC campaigns reach community residents and households, women and children. Otherwise, the gains of development work will fall short of its intention to benefit the ordinary citizen.

A case in point is the READY project. The initial step of addressing LGU officials down to the level of the *barangays* is a well-placed practical step as was done in the READY project but does not guarantee that they will echo and cascade the information down to the community residents. If the information do not get to the community residents and households, the benefits of capacity development will fall short and will not be optimized.

- The infusion of the solid waste management and disaster risk management to the school system as was done in the READY and ESWM projects could help in creating the critical mass of informed citizens.
 - Social marketing can be effectively used to persuade duty bearers to embark on novel approaches. This should be coupled with institutional links between national organizations and local duty bearers to advocate and prove the worthiness of a new concept as was done by the NCTS to promote environmentally sustainable transport.
 - Some partners noted that “dissemination of IEC materials in communities is not a guarantee to improving awareness and understanding among communities, especially on the technical aspects of the project. It should be supported with a face to face extension approach through seminars, trainings and focus group discussions.” (DENR, ENR CORE)
14. Limited financial capacity is a constant challenge in development practice. Financial resource limitations had adverse impacts in strengthening institutional capacities. For example, the passage of the Environment Bill has not been forthcoming because the Committee on Budget’s endorsement could not be obtained due the substantial budget allocation for the implementation of the bill and the lack of advocacy funds to support the passage of the proposed bills. Time and resources are needed to establish ENR conflict resolution mechanisms at national and local levels.

Resources will never be enough especially with the enormous and growing magnitude of the environmental challenges in the Philippines. But this could be hurdled with creative approaches. For example, huge expenditures are needed to establish renewal energy services and to overcome this, appropriate financing mechanisms for renewal energy enterprises must be designed. Innovative financing mechanisms are yet to be operationalized. DENR has yet to embark into thinking out strategic approaches toward gaining financial capacity for ENR management. Dependence on donor aid is certainly not sustainable unless there is appropriate institutionalization of project gains.

15. Human capacity requires more attention and it has different aspects to it. One aspect has to do with the chronic shortages of human resources in the government due to rapid staff turn-over and inability to have more experts & technical staff is a recurring phenomenon. External grants enable partner organizations to hire additional staff dedicated to specific projects but civil service rules would not easily allow them to absorb

such staff and make them organic members. As a result, post project activities impose upon the already heavy workload of the technical staff.

16. Organizational reforms are vital to ENR management and capacity development. DENR is the agency vital to ENR management in the Philippines and significant steps are needed to inject direction and dynamism in the organization.

- DENR has seen three department secretaries in a span of three years (2005-08). Of late, new undersecretaries and assistant secretaries were appointed on top of the existing ones, making it a top heavy organization incurring major overhead costs. Fast turn-over and changes in the officialdom make for frequent changes in policy directions, ambiguities in programs and operations & working arrangements. In the officialdom makes institutionalization and mainstreaming of project gains less than easy: one has to reckon with the learning curve of incoming leaders who would be the internal sponsors of suggested institutional reforms. Added to this are the many day to day issues that swamp the decision and policy makers which take up most of their working time. As a result strategic and long-term concerns are put in the backburner.
- In the absence of a firm policy direction, operating agencies continue with their mandated tasks but the link between operations and policy is weak. This de-link does not help in upstream work: successes in pilot projects and good practices do not necessarily translate to policy reforms and enhancement of ENR management.
- Overlaps and ambiguities in roles and responsibilities among the agencies do not make for an enabling environment for ENR management. The EESD portfolio did not address organizational and structural reform of DENR; projects were simply woven within the existing structures. This implies that external assistance in organizational development could create the space for addressing the matter of organizational reform. The NCSA could guide the organizational development processes. The Strengthening Governance for Environment and Energy Management (StrEEM) project is hopefully a step in this direction.
- Competing priorities in counterpart agencies and implementing partners who have regular work routines and development projects make project implementation an additional burden.

Organizational reform in DENR is imperative; such reforms need to infuse the organization with leadership vision, dynamism and inspiration. Dedicated efforts are needed to catalyze processes of change in DENR and facilitate high level visioning. The Philippines is a highly environmentally challenged country and the difficult times call for an invigorated ENR management. Consideration must be given toward the elevation of the Renewal Energy Management Division (REMD) into a bureau. The current structure is considered to be inadequate relative to the growing demands of the sector.

The portfolio manager believes that “institutional reform can be done in stages. The policy environment itself is a confusing maze of approaches, including the management structure(s). With the clarification of what environment’s contribution is to the country’s over-all development and the role of a national ENR agency clarified in such policy instruments as the ENR Framework, hopefully to be aided by the Environmental Policy Act, perhaps we can proceed to an honest to goodness capacity development for the sectoral players, starting with DENR.”

17. In building national capacity for ENR management, the roles of the Department of Agriculture and Department of Transportation and Community in ENR management must be further explored and strengthened.
18. Capacity development is about strengthening good governance for ENR management. To begin with, it requires institutional leadership and vision. Optimum functioning of DENR, DOE and related agencies, must enable the Philippines to get its act together in tackling environmental challenges and ensure that development does not put the environment in jeopardy.
- Current events serve as living arguments for this. Disasters due to soil erosion at Compostela Valley in early September 2008 is attributed to mining activities in the area. Another instance involved the massive pollution of the waters due to the sinking of a cargo and passenger ship. The incident has compromised the livelihood of fisher folks and coastal communities. Many more such incidents of tension between economic growth & development and environmental protection and natural resource conservation could be cited.
 - ENR management is replete with conflicts in resource use policies, disputes in land and mining rights. More conflicts are now arising due to national policy to encourage small mining which runs counter to environmental protection. Revisiting current policies and programs to take into account the phenomenon of climate change, the deepening and widening of poverty incidence is in order. Harmonization of policies and development thrusts is an imperative in view of seemingly clashing national goals.
 - There have been some measure of knowledge gains and public benefits garnered through the UNDP funded projects. These include the gains in ecological solid waste management; the list of persistent organic pollutants (POPs); integrated coastal management that has been evolved by a regional program called PEMSEA; progress in energy efficient lighting as well as biodiversity conservation. How are these positive developments being integrated so that they feed into the ENR management processes? A natural integrator of these developments is the DENR. This deserves high level attention.
 - The willingness of national planning agencies is crucial in institutionalizing new perspectives in development process such as sustainable development and disaster risk management perspectives. For example, NEDA has had to learn the language and had to study, assimilate, digest and reproduce it in a language that could be understood by the local planners. This process required time and effort for study on the part of the national planners, if they were to be effective in mainstreaming DRM in local planning processes.
19. There are practical challenges in project implementation:
- Different institutional cultures of national government agencies, LGUs, NGOs, Pos, IPs and other players and the constant changes in the composition of the project team of the responsible partners posed challenges to project implementation. (Answer to questionnaire, FASPO-DENR)
 - Project designs can be overtaken by events as was the case of the CBRED project. Due to the long approval process, by the time of project implementation, the EPIRA law as well as the trend toward devolution and privatization had rendered the original design

out of tune with the current policy developments. Conscious efforts are needed to review and update project designs.

- Indiscretions in the use of project resources could happen. Project managers would have to prepare themselves for eventualities of this nature and must institute safeguards and transparency measures, in collaboration with UNDP.
- There is no mechanism for integration. Work planning should factor in this element. DENR is not aware of programs with other implementing partners supported by UNDP. UNDP is perceived to be in “too many small things” in many different areas.

Time lags in project delivery is a function of many tiny things. Operational bottlenecks including: finding and hiring a consultant for the study linking ENR data bases has stalled project completion; incompatibility of schedules of concerned agencies tended to delay the evaluation by the Consultant; workload of the MEA focal points has constrained the submission of relevant reports and position papers for compilation and analysis, resulting in the delay of the draft report by the Consultant; delay in bank account establishment and hiring of consultants, among others.

There were reported delays in UNDP approval of the annual work plans, consequently delaying project fund releases (for ENR CORE, CBRED) and meant implementation time lost. Late approval of work plans gives too little time to harmonize with peer agencies. The contracting process takes time (as much as five months) as in the case of the SNAP program. This could slow down the pace of project implementation and must therefore be factored into the project design. (Project Completion Report, 20 June 2008, SNAP)

B. Some good practices

The EESD portfolio yielded a fair harvest of good practices. One of the very successful experiments of the UNDP-EESD programs is the Community based Ecological Solid Waste Management (CBESWM) which can now be replicated in other communities. It holds promise for solving the huge solid waste problem of Metro Manila if it can be scaled up and engage a critical mass of the communities to practice CBESWM. Solid waste ranks second among the pollution problems of Metro Manila (air pollution ranks first).¹

Provincial and city/municipal governments are mandated to set up Local Solid Waste Management Boards at the LGU level and formulate their 10-year action plans. The CBESWM assisted the pilot barangays in developing community solid waste management system and local action plan and to establish their Materials Recovery Facility, among others with funding from the Japanese government through the UNDP’s Japan Human Resources Trust Fund).

UNDP provided government (DENR) an opportunity to establish workable systems and implementable guidelines based on experiences in the pilot barangays. Also, with funding from the Public-Private Partnerships (through the PPUE project) will assist the municipality of Calamba in defining its solid waste management policy, particularly for the entry of private

¹ Solid waste generation in Metro Manila alone is 2.5 million tons a year and this has grown annually at an average of 4.5 % over the last four years. Only 65 % of generated wastes are collected, 4 % are recycled and the rest, 31 % are either self-disposed by the generators or dumped illegally.

investment in solid waste management sector and in setting up its MRF which will be operated using a co-management approach (private sector/government partnership). The UNDP Philippines is cooperating with UNDP's Africa-AsiaEco Partnership Program to assist the city of Marikina in developing its Local Action Plan for Solid Waste Management as mandated by RA 9003.

Box 4.1. Community based Ecological Solid Waste Management

"In December 2006, the ten project sites recorded an average of 62 percent waste segregation in the target communities. Based on Metro Manila's Waste Composition study, this is equivalent to 58.90 % recycling level which is much higher than the project's goal of 10 % by the year 2010.

Five of the ten project sites have qualified to compete in the Nationwide Search for Model Barangays in Eco-Waste Management System conducted by the Earth Day Network Philippines, Department of Environment and Natural Resources and other environmental NGOs. Considering that there are 1,693 barangays in Metro-Manila and 40,000 barangays nationwide, this feat is remarkable as it demonstrates the stakeholders' confidence in what they have accomplished for their respective communities." (Cabrido, Final Project Evaluation, p.3)

The Community-based Ecological Solid Waste Management Programme (CBESWMP) was implemented by the Metro Manila Development Authority (MMDA) from January 2002 to 2005 and was later handed over to the National Solid Waste Commission. The project aimed to establish a community-based ecological solid waste management system in pilot barangays, as models for replication in other barangays, and to develop the capability of the barangay LGUs to implement Republic Act 9003. (Cabrido, Final Project Evaluation, p.6)

The pilot was concluded in December 2006 and has been a catalyst for effective solid waste management in the Philippines and demonstrated a bottom up approach to solid waste management. In 8 out of 10 pilot barangays, a Materials Recovery Facility was set up.

The pilot project lends support to the government's directive that municipal solid waste should be managed at the LGU level. It also paved the way for the creation of its mandated local SWM plan. RA 9003 requires among others: i) mandatory segregation and recycling of solid waste at the barangay level; ii) formation of solid waste management boards at the provincial, city and municipality level to formulate and implement in the 10 year old solid waste management plan; iii) diversion of 25 % of all solid waste by 2006 through reuse, recycling and composting and iv) establishing reclamation and buy back centers for recyclables.

Public support for ENR management measures can be effectively created by co-opting claim holders through intensified campaigns and social marketing efforts. This was effectively done to advocate for energy efficient lighting under the PELMAT project. Likewise, NSWMC embarked on an intensive information campaign through the CBESWMP and produced a number of knowledge products and advocacy tools.² The IEC campaign helped in mobilizing communities in the project sites and school systems toward the practice of ecological solid waste management.

² 5,000 ESWM Handbooks on Solid Waste Management Made Easy; 10000 comics, *Basura Kid at iba pa*; 15-minute ESWM Video; RA 9003 posters; CBESWMP website (www.denr.gov.ph/nswmc/cbeswmp) and several other IEC materials.

Samar Island Caravan

Samar Island holds substantial biodiversity and natural resources in the Philippines being the biggest lowland tropical rainforest, where a third is considered a primary forest, and as such is home to a number of globally significant species and habitats. It also holds one of the largest deposit of bauxite (for aluminum production) in South East Asia, which has likewise brought about incessant interests for exploration from the mining sector. Unfortunately, these deposits are located within the forest areas, which often turns any attempt of development into heated issues of debate and authority struggles between varying interests of affected communities, the local government, the mining industry and other major cause groups.

The UNDP, through the Samar Island Natural Park (SINP) project team, from the GEF-supported Samar Island Biodiversity Project (SIBP), was instrumental in catalyzing support to a series of advocacy events to ensure that mining activities and other resource extractive industries are kept off the protected area. With the harsh impacts of these activities in the early 80's such as flooding that led to massive destruction of major parts of the island, engaging communities to become active partners in the program was uncomplicated. Samar, being agriculturally-dependent, the life and survival of the people are intertwined with the fertility of their soil and the richness of their natural resources.

Multi-sector stakeholders who were mobilized to support the collective resolve of pursuing biodiversity conservation in Samar Island included civil society groups (local NGOs, community-based / people's / faith-based organizations), legislators (Congressmen in the three provinces of Samar Island) and the protected area & wildlife sector of the Environment ministry. The highlight of the process was the *Samar Island Caravan*, characterized by a street parade / mass demonstration participated by students, teachers, women and members of the affected communities, together with the major groups of stakeholders. The caravan was purposely organized to amplify mass awareness and action on the importance and benefits of the SINP, drumbeat people's opposition to the impending threats to biodiversity conservation and sustainable use of Samar Island's forest and coastal resources; and to catch the attention of national leaders through media mileage. This launched the series of dialogues and other advocacy activities that yielded the signing of Executive Proclamation No. 442 for the SINP by Pres. Macapagal-Arroyo and the issuance of local ordinances against mining. These results could well be attributed to the unified purpose and political will among stakeholders after having understood the implications of the issue and the decision required of them. This unprecedented show of unity by Samareños transcended political, social and religious persuasions.

The process has effectively generated common understanding, call to action and fervent participation among affected stakeholders. The impact of the efforts was far reaching, considering that this was a community-based initiative that yielded a national governance response. It is a strategy that can well support Environmental Governance initiatives in other unique protected areas.

The school & educational systems is an efficacious way of institutionalizing project gains, creating the critical mass and modifying behavior. Ecological solid waste management, biodiversity conservation and disaster risk management were mainstreamed in the school system. Integration of biodiversity conservation and the SINP in the elementary and high school curricula in partnership with the DepEd 8 is an excellent innovation in raising awareness and understanding about biodiversity conservation. It builds on the experience of other countries: raising children's awareness meant parents' awareness as well.

Mobilizing the youth to make them environmental champions has inter-generational impact and could lead to lasting behavior modifications. The youth make good partners for inculcating the necessary attitudinal changes to promote protection and conservation of the environment. It

could have inter-generational impacts and could address a greater number of the claim holders. Mobilizing the youth as an approach to ENR management was clearly shown in the solid waste management pilot project in 10 LGUs.

Mainstreaming sustainable development perspectives and disaster risk management in the LGU planning system has great potential in influencing the community residents and the ordinary citizens who are likely to be adversely affected by environmental degradation. But this process needs to be guided and watched. Systematic IEC campaigns addressing LGU/barangay officials and teachers to understand and appreciate hazard and vulnerability maps is a strategic step. They are strategic players in disaster preparedness.

Broad based multi-sectoral social marketing for energy efficient lighting. PELMATP social marketing efforts were internationally recognized, particularly its tagline: *Palit Ilaw, Tipid na, Ligtas Pa.*

Follow through and revisiting some project provinces to check on the situation and condition of project gains on the ground, i.e. Surigao del Norte. The READY the team revisited the place to check the status of the equipment such as rain gauges that were installed under the project.

Chapter 5

CONCLUSIONS AND RECOMMENDATIONS**A. CONCLUSIONS**

1. Capacity development is at the core of the development challenge in the environmental sector. Significant milestones are the ENR framework plan and the NCSA assessment. Their use should be optimized and should drive the determination of projects to be supported and rationalize resource mobilization and utilization of official development aid.
2. Capacity development for ENR management is far from having been fully attained especially when compared to the numerous capacity gaps identified under the 2006 NCSA. The UNDP-EESD program has rightfully focused on strengthening organizational mechanisms which is expected to build national capacity to implement and enforce environment laws. The thrust of capacity development should be to build and strengthen institutional capacity to design, implement, monitor and evaluate programs that would facilitate fulfillment of ENR national objectives & thrusts as well as comply with the MEA.
3. UNDP EESD support spanned several sub-sectors: waste management, biodiversity conservation, energy efficient lighting, renewable energy development, disaster management, hazard mapping. Considering the breadth of actions, capacity development in ENR management has progressed to a reasonable level. On one hand, this could be seen as UNDP being spread too thinly. On the other hand, start up action may have been the need of the moment and UNDP was responding to such by triggering actions in various sub-sectors.

Many tools have been developed and this should facilitate actions among duty bearers. The ENR Framework Plan, policies, national action plans, information tools (hazard maps) could help along in methodologically moving forward the sustainable agenda. But more work is needed for the ultimate passage of legislations and designing and implementing financing mechanisms until they reach maturity for widespread application. The impression is that outcome attainment has progressed substantially but there is much more to go considering the breadth of environmental issues and concern.

The downside to the EESD approach is the lack of focus and consequently impacts are not well felt because the capacity development interventions were mostly pilot or small scale. Also, replications and roll out to a wider geographic area or to a critical mass of households, consumers or users are left to the discretion and devices of the partner agency.

4. Capacity development is never done. A number of push factors underscore the need for capacity building in ENR: 1) increasing urgency and size of ENR challenges in contemporary Philippine life, 2) the concrete effects of global warming (i.e. frequent

weather changes, rice crisis & threat of food insecurity) is now a daily experience and 3) international commitments of the country in multilateral environment agreements (MEA). Notably, in the light of global warming, ENR management is a current global concern and many donors are keen to lend support. And for UNDP capacity building is a niche and a strength that they could build on for their country assistance to the Philippines.

5. The challenges to capacity building in ENR management are manifold and diverse, internal and external. Foremost, environmental problems do not shrink but keep growing. “the main drivers of ENR problems such as high population growth and high incidence of poverty continue to be unabated and may possibly be exacerbated in the near future. As long as these twin problems continue to worsen, environmental problems are not far behind.” Added to this is the unresolved controversy on the national population policy (i.e. pending bill on reproductive health).
6. The need for continuing capacity development will persist for some time. Changes in the environment could happen as the capacity development transpires for the environment is neither absolutely understood nor totally predictable despite the many advances in science. As a result environmental development targets may well be moving targets. Notwithstanding, it is worthwhile having the roadmaps and national action plans to guide practical action and to ensure that actions are not only strategic but are linked to environmental benefits and development targets as embodied in the Medium Term Development Plan. In the context of the EESD program, the projects under review appear to be linked to national objectives of disaster management, energy conservation and renewable energy development. The judgment of the GEF evaluation is that the link of GEF projects to fulfillment of national objectives and sustainable development targets is less than salutary. (GEF Evaluation, p. 46)
7. Climate change is bringing a dimension of urgency to ENR management. That sense of urgency emerges every time natural disasters and calamities happen, then it dissipates. This sense of urgency should be sustained and must be part of capacity strengthening efforts of both duty bearers and claim holders, i.e. the entire Filipino citizenry.

Climate change was directly addressed by extending support in the preparation of the 2nd Communication to Climate Change. Adaptation to climate change was indirectly addressed in the program under review as significant support was given to disaster management. An important contribution and one that should be sustained is the mind shift that looks at disasters as a development concern rather than mere emergency assistance.

8. Capacity development in the Philippines should be expanded and intensified given :
 - The environment challenges in the Philippines is enormous, diverse and overwhelming. It requires equally broad and diverse capacities to match the complexity and the demands of the situation in the country.

- There is now a plethora of international agreements on environment, domestic legislations, policies and guidelines. The good thing is that the legislative framework are now essentially in place; the main task is to enforce and implement them.
 - DENR's mandate has expanded due to recent laws such as the Ecological Solid Waste Management Act, Clean Water Act, adoption of the Integrated Coastal Management (ICM) as a national strategy as per Executive Order 533. For these to translate into concrete environmental benefits such as reduction of greenhouse emissions, massive efforts are needed to implement and enforce them effectively. Strengthening LGU capacities to implement them should then be intensified.
9. More time and resources are needed for these initiatives to reach full maturity and practical application. The initiatives to develop financing schemes for environmental and energy conservation projects are essential to the engagement of the private sector in the renewable energy development and in biodiversity conservation.
 10. The model of community based ecological solid waste management has been tried and tested and institutionalized in selected schools. This model should be ready for replication and roll out to other communities and to other schools. Some thought must be given as to how the DENR could be aided in scaling this up. This should be a proper object of monitoring and follow up actions.

The NCTS advocacy with key cities to embark on *environmentally sustainable transport* is innovative and path breaking. Such a strategy could potentially make a huge contribution to the reduction of greenhouse gases. The NCTS reported that their advocacy is bearing fruit and spinning off new projects. Other donors are expressing interest in making fund contributions to support EST related projects.

11. The EESD program has generated a significant store of experiences and lessons from the field, particularly in relation to capacity development. Commendably, there are case documentations of the experiences in ENR management capacity development such as the community based solid waste management and the EST advocacy. However, the case write up and analysis should be guided by a common framework to make the comparative analysis and drawing of lessons easier.
12. The field of ENR management involves numerous stakeholders addressing a diversity of multifaceted, inter-related and complex issues spread in a vast geographic territory, including land, air and water. ENR concerns are found at different levels: national and local, and they are closely linked and changes iterate. LGUS are expected to formulate ENR programs. In fact, one of the parameters for measuring the performance of local chief executives is their ENR program. Substantial capacity and capability gaps in ENR management are found at national and local levels but most especially the latter. More efforts should be directed to LGU capacity building in ENR management.
13. Cross cutting issues like gender is very sparsely tackled in the projects. Reference to gender issues was encountered in the Ibajay, Palawan solar energy project. This seems to be the exception than the rule.

Programs have remained gender neutral and may well speak of the lack of gender responsiveness as well as the lack of gender mainstreaming capacities among the environment experts. In 2006, there was mention of a DENR assessment of Gender and Development Mainstreaming Policies. At the time, the study was supposed to be in the process of data coding. The report on the said study has not been seen by the Evaluator.

14. Observance of partnership and participation has been markedly consistent and purposive. These have yielded positive results ; the UNDP must sustain this practice.

B. RECOMMENDATIONS

On programming

1. Maximize the use of the 2006 NCSA and the 2006 ENR Framework Plan as guides to the determination of the thrusts of the next generation of UNDP-EESD capacity development program. The previous programming cycle did not have the benefit of such a roadmap but the next program cycle, 2011-2014, should optimize the presence of such an assessment for planning and programming. This should bring in the necessary coherence to the capacity development program for ENR management.

Program priorities for 2008 were geared toward ENR conflict management; development of more quantitative tools for ENR and SD planning like the Sustainability Assessment and ENR carrying capacity assessment with the corollary sustainability development index, climate change adaptation and continuing development of GEF proposals in the various focal areas. These priorities were drawn from the 2006 CPAP review and the EESD program or portfolio review in 2007. (UNDP, “Priority Areas for Programming and Advocacy for the Environment Portfolio for 2008”)

2. Harmonize and spell out points of convergence and synergies among the various international energy agreements, the related domestic laws and policies, including the proposed legislations now on file with Congress. The policy environment must be internally consistent and should not counter each other.

On public support

3. Increase public support for ENR management all over the country. This means intensifying social marketing, IEC and advocacy efforts among duty bearers. ENR should be a concern of every Filipino citizen now and in the future. The inter-generational impacts of caring for the environment is certainly enormous and every effort should be taken to bring the general public into a “national movement” for a clean, green and sustainable environment.

Social marketing, information, education and communication campaigns must be scaled up and sustained to generate a critical mass of people who would shift their behaviors toward greater environmental care and protection. These actions would generate the

required public support to enforce environmental laws or to pass new laws and policies to reduce risks of disaster and adapt to adverse results of ENR degradation.

Relative to the Stockholm Convention, there is a need to popularize information on the Convention as well as the persistent organic pollutants. It is hard to demonstrate impacts immediately because impacts accumulate over time. In this regard, DENR could explore linkages with the DOLE for the possibility of joint inspections to enforce use of such pollutants in private firms. UNDP could help broker this linkage.

There is great scope for strengthening public support for ENR. This implies expanding social marketing and IEC campaign to change public attitudes and behaviors in support of environmental protection and resource conservation and to generate stronger public support for ENR management policies and programs.

The mindsets of the duty bearers and the public relative to environment need to be changed or redirected. For example, transport has been trained to view it as job generation though the sector is poorly maintained and unsustainable. Thus, jeepneys and tricycles have geometrically multiplied and polluted the air with their gas emissions. The Filipino citizens must now begin to see this from the standpoint of the environment.

On scaling up

4. Scale up efforts to strengthen LGU capacity for ENR management. Initial work on the production of the SD handbooks is commendable but efforts must be taken to aid the LGUs in disseminating this further. Rightfully, the UNDP noted that there is a need for pilot cases and success stories for showcasing to other LGUs and to link up with LGU leagues for wider dissemination and use of the handbook. (SPR, 2007) These could be used in institutional courses and programs on local governance such as those of the National Center for Public Administration & Governance; the Ateneo School of Governance, the Local Government Academy and the like.

Existing related development initiatives should be mapped and the READY team could establish linkages for exchange of information and possible collaboration. READY could build on such initiatives on the ground to enhance the capacity of LGUs in disaster preparedness and to develop an approach to create a critical mass of capacitated stakeholders, including duty bearers and claim holders and a community of practitioners. This could comprise the exit phase of the READY project and ensure long-term sustainability.

The chart below depicts some indicative development inputs that are either available or are being initiated. For example, in the field there are existing development initiatives such as the GTZ program in Region 8 (Visayas) and the OXFAM-GB & DIPECHO 15-month project entitled “Safer and More Prepared Women and Men through a Permanent Disaster Risk Management Office.” This project aims to improve the capacity of men and women in local communities for sustainable disaster risk reduction activities through the local application of the Albay Public Safety and Emergency Management Office (APSEMO).

The latter is considered as a good practice because it is currently the only functional and permanent office in a local government unit which focuses on disaster risk management activities in a particular locality/province.¹

Capacity Dimensions	Development Inputs	Responsible Partners
Human Capacity	Use of information READY Hazard Maps REDAS	NDCC members
Organizational Capacity	Institutionalize PDMO (e.g. APSEMO)	OXFAM GB and DILG-GOFAR
Financial Capacity	5 percent calamity fund; involve DBM	LGU, DBM
Public Support	IEC posters, flyers and CDs	OCD-PDCC; LGUs

GOFAR is a facility designed to assist local government units to build capacities by providing them the opportunity to improve local governance performance through sharing and replicating good practices that are participatory, innovative and sustainable. GOFAR conducted a Replication Inception Workshop (RIW)² for each target province.

¹ After the documentation of the good practice, three provinces were targeted for replication: Sarangani, Sorsogon and Pampanga which were provinces were identified together with the National Disaster Coordinating Council (NDCC) and Office of Civil Defense (OCD), Department of Interior and Local Government (DILG) using scientific assessment from the READY project as well as from other related information from the Manila Observatory), historical and current information taking into consideration the risk and hazard factors, disaster history/frequency, capability of the LGUs as measured by NDCC according to the activeness of the disaster coordinating councils, financial capability and the willingness of the local chief executive and local provincial board. The replication was done through the Good Practices in Local Governance: Facility for Adaptation and Replication (GOFAR) under the Department of Interior and Local Government (DILG).

² The RIW is a structured learning process wherein the LGU with the good practice directly interacts with the LGU who wants to replicate the activity through site visits, actual demonstration, reflection, formal partnerships and an agreed replicating work.

The plan is to: replicate the good practice of APSEMO in three high risk provinces and reinforce local and national capacities toward the institutionalization of a gender-sensitive DRMO. Part of the work plan is to develop gendered training materials for replication and capacity building of LGU staff, local, community members and local media practitioners in partnership with PNRC, CCD, DILG, etc. Develop IEC materials to promote and disseminate information on the importance of and process in establishing permanent DRMOs and other good practices in DRM; and conduct of capacity building program and gender sensitivity training (ensuring that women are meaningfully represented as participants at all levels of capacity building for regional staff/officers of DILG for the conduct of RIWs; staff and officials of the 3 LGUs; local community members/leaders from the 2 most vulnerable barangays in each province; local media practitioners in the 3 provinces and national and regional coordinators of the LGRCs.³

The challenge is to build claimholders and citizens' capacity in translating environmental information into actions and behaviors that could make a difference. The adoption of environmentally sound technologies requires claim holder and duty bearer participation is a case in point. Toward this end, the EESD program sought to build the capacities of communities for environmentally sustainable globalization (CAP 2015) by developing and distributing training modules to 6 selected sites; formulating business plans for 5 sites; compiling best practices and list of buyers with specifications.

Systematic work to strengthen LGU capacity to respond to disasters is evident in the non-TRAC funded programs implemented by the Office of Civil Defense. The PEMSEA also directly worked with the LGUs in its effort to promote ICM.

In relation to this, there should be efforts to push for a comprehensive land use policy (CLUP) that incorporate sustainable development perspectives and integrate & mainstream environmentally sustainable transport; and link with natural resource use policies.

On DOTC

5. More collaboration with the DOTC could be encouraged and the UNDP-NCTS project could be a gateway to this. DOTC has a vital role in keeping the environment clean, particularly lessening the emission of air pollutants and this could be done by providing technical assistance to enable them to enforce and implement the newly formulated Integrated National Transport Management System and ensure that it is environmentally sustainable. This implies the need to consolidate the constituency for "green governance," among both duty bearers and claim holders alike. And the DOTC face the challenge of meaningfully harnessing and mobilizing the enormous amount of vehicle taxes.

³ Pampanga PDCC, Documentation of the Replication Inception Workshop, APSEMO, An Administrative Strategy for Disaster Risk Reduction in Albay, Province of Pampanga, PDCC Conferene Hall, Capitol Annex II, Legaspi City, Feb 26-27, 2008.

On project design and monitoring

6. Develop outcome indicators and baseline measures in order to facilitate assessment of outcome attainment. ENR is a very broad area and consists of sub-sectors that have intertwining objectives and impacts. For more effective programming, there should be indicators to enable monitoring to proceed. Related to this is the need to produce reliable data and information base.

7. Monitor and determine whether or not sustainable development perspectives are being delivered to the communities. Revisit the process. Is it possible to apply a levy on the polluters?

On knowledge management

8. Considering that UNDP is breaking many grounds in the environment and renewable energy field, inter-project exchanges could aid in bringing to fore the linkages between environment protection, energy conservation & development and disaster risk management.

UNDP could convene a project leaders' conference (EESD Project Summit) to review project approaches, strategies, outcomes and distill lessons learned. Linkages and convergence among the EESD sub-sectors could bring about greater coherence in the EESD portfolio. This may be the answer to the observation that UNDP is in "too many small things." In addition, cross cutting issues like gender could be paid due attention. Thus far, gender has been in the margins of the environment arena.

Areas for further development work

- The UNDP-EESD program was straddled in three areas: i.e. environment & natural resources management; energy conservation and renewable energy development; and disaster risk management. It is not clear why these sectors were chosen. The EESD portfolio was designed to be demand driven; consequently, it has tended to be project-based rather than programmatic. There is no indication that the NCSA guided the proposal approval. Using the NCSA and the ENR framework plan, capacity development can now be driven more methodically.
- Climate change was part of the EESD program but was not given so much support because it had a funding of its own, the Enabling Activity for the Second National Communication with GEF funding; previous to this, there was the EA for the Initial Communication (GEF) as well as the funding from the Dutch to support the CDM DNA establishment. The latter two were under CCF2.⁴ Currently, a program on climate change is now being launched with the support of the Spanish government. Complementation with this project could be considered.

⁴ Source: Amelia Supetran, EESD-Portfolio Manager, Email, 29 September 2008.

- Dedicated support to NGOS was not seen in the EESD program in 2008. Some support was given under the Philippine Sustainable Development Network- PSDN since CCF2 + 2005-2007 but not in 2008.⁵ Although they were given space to participate within the specific projects, their potential in advocacy as well as in creating transparency and accountability mechanisms can be maximized. An environment watch group could be a mechanism for ensuring the practice of good governance in ENR management.
- ENR program impacts are generally limited because by design, the UNDP projects were intended to demonstration, modeling and pilot cases to catalyze change processes. Institutionalization and scaling up of project gains require dedicated efforts. Lack of comprehensive long-term legislation and enabling policies are likewise needed. This aspect merits further aid investment.
- Cross cutting themes like gender should be more purposively incorporated in project designs. UNDP could provide the practical guidelines for doing it. Gender could be incorporated in climate change adaptation and disaster management.
- Conflict resolution mechanisms and adjudicatory processes has to be given a boost because environment-based conflicts is an emerging concern. Such tensions are at the heart of many social injustices in the country.

⁵ ibid.

ENERGY AND ENVIRONMENT FOR SUSTAINABLE DEVELOPMENT: OUTCOME EVALUATION TERMS OF REFERENCE



A. INTRODUCTION

1. Background

The growing demand for development effectiveness is largely based on the realization that producing good “deliverables” is simply not enough. Efficient or well-managed development projects and outputs will lose their relevance if they yield no discernible improvements in development conditions and ultimately in people’s lives. Being a key international development agency, the United Nations Development Programme (UNDP) has been increasing its focus on achievement of clearly stated results. Nowadays, results-based management (RBM) has become UNDP’s management philosophy.

As part of its efforts in enhancing RBM, UNDP has shifted from traditional project monitoring and evaluation (M&E) to results-oriented M&E, especially outcome monitoring and evaluation that cover a set of related projects, programmes and strategies intended to bring about a certain outcome. An outcome evaluation assesses how and why an outcome is or is not being achieved in a given country context, and the role that UNDP has played. Outcome evaluations also help to clarify underlying factors affecting the situation, highlight unintended consequences (positive and negative), recommend actions to improve performance in future programming, and generate lessons learned.

2. Description of the Outcomes to be evaluated

This particular evaluation will focus on the core goal of the MYFF and UNDAF Outcome no.3: Managing energy and environment for sustainable development. The country programme component that promotes energy and environment for sustainable development endeavors to strengthen the capacity of key stakeholders to implement the Environment and Natural Resources (ENR) framework road map for the next 10 years, harnessing the Philippines’ natural capital to meet its people’s needs and aspirations across generations. This programme will pursue activities on interventions that enhance the environment’s carrying capacity to support the country’s sustained economic growth, alleviating poverty in the process.

Under the MYFF, the programme component focuses on six key service lines: (i) frameworks and strategies for sustainable development; (ii) effective water governance; (iii) access to sustainable energy services; (iv) sustainable land management to combat desertification and land degradation; (v) conservation and sustainable use of biodiversity; (and (vi) national/sectoral policy and planning to control emissions of ozone-depleting substances and persistent organic pollutants. These service lines were initially selected to reflect areas where the UNDP country office has substantive on-going interventions. Initiatives undertaken under this component have strong linkage with poverty reduction, governance and crises prevention and strategically support key stakeholders in harnessing natural resources optimally, primarily through sustainable agriculture and industrial development.

Under the original CPAP two major components define the scope of interventions that are supported under the programme:

- (1) Policy and Programme Development for ENR Management and Sustainable Energy Development.

Outcome 1: Sustainable environment and energy policies especially with regard to agriculture and industrial development are in place and phases of implementation specified.

This outcome seeks to strengthen the compliance framework of enabling laws on ENR management through the formulation of overarching legislations that will define the rules and principles governing environment and natural resources and the advocacy for the passage of renewable energy law for sustainable energy development and utilization. Policy development and planning processes will be strengthened with the end view of institutionalizing protocols and guidelines and the standardization of science-based, gender balanced and inclusive policy making processes. Sub-sectoral investment planning, particularly for priority areas such as forestry and water sectors, will be given support. In the same manner, advocacy and an inclusive approach for CSO participation will be promoted in the course of developing the legislative agenda, policy formulation and implementation of the sectoral plans and programmes.

- (2) Capacity Development for Effective Environment and Energy Management

Outcome 2: Key stakeholders are better able to manage environment and natural resources, develop and use sustainable energy resources, cope with impacts of environmental emergencies and maintain sustainable development

The programme seeks to strengthen the capacities of key stakeholders to better manage the environment and natural resources: promote, develop and utilize energy in sustainable manner; and prepare for and respond appropriately to environmental emergencies in critical ecosystems in localities vulnerable to natural hazards. A multi-sectoral partnership strategy will be pursued aimed at ensuring the Energy and ENR sectors optimum functioning. Capacity development of the key stakeholders will be pursued simultaneously that would enable them to contribute equally to the achievements of the sector's goals and objectives. Capacity building for this program will be specific to partners' being able to participate, jointly plan and eventually recognize ownership in the course of implementing the ENR management interventions.

To be consistent with the UNDAF outcome statements, the above CPAP outcomes have been consolidated into one, as reflected by UNDAF outcome #3 – “By 2009, increased capacity of stakeholders to protect/enhance the quality of the environment and sustainably manage natural resources.” Similarly, the service lines adopted to cover the various activities under the programme component were scaled down to two (2) from the original six (6) that was identified i.e., (i) frameworks and strategies for sustainable development and (ii) access to sustainable energy services.

3.. Implementing and Responsible Partners

UNDP has been cooperating with the following partners in achieving development results the two areas mentioned above:

Implementing Partners: Department of Environment and Natural Resources (DENR), Department of Energy (DOE), Department of National Defense (DND), Foundation for the Philippine Environment (FPE), CARE Philippines, Streams of Knowledge, Department of Agriculture, Metro Manila Development Authority, National Economic and Development Authority

Responsible Partners:

Planning and Policy Office (PPO) - DENR
 Foreign Assisted and Special Projects Office (FASPO) - DENR
 Environmental Management Bureau (EMB) - DENR
 Forest Management Bureau (FMB) – DENR
 Mines and Geosciences Bureau (MGB) - DENR
 Protected Areas and Wildlife Bureau (PAWB) – DENR
 National Mapping and Resource Information Authority (NAMRIA) – DENR
 Philippine Sustainable Development Network (PSDN)
 Committee on Ecology - House of Representatives (HOR)
 Board of Investments (BOI) – Department of Trade of Industry
 Philippine Atmospheric Geophysical Service and Administration (PAGASA) –
 Department of Science and Technology (DOST)
 Philippine Institute of Volcanology and Seismology (PHIVOLCS) - DOST
 Department of Tourism (DOT)
 National Economic and Development Authority (NEDA)
 National Water Resources Board (NWRB)

Below is a list of UNDP-supported projects within the 2005-2009 CPAP which are related to the outcome and outputs mentioned above.

Table: Summary of UNDP-supported projects that are associated with the outcomes to be evaluated

ATLAS Project No. (Source of Funds)	Project Title	Implementing Partner
<i>I. ONGOING:</i>		
<i>a. CORE Funded Projects</i>		
00046766	ENR-CORE Programme	Department of Environment and Natural Resources (DENR)
00046854	ENR-CORE II Programme	DENR
<i>b. GEF Funded Projects</i>		
00014467	Samar Island Biodiversity Project (SIBP)	Protected Areas and Wildlife Bureau (PAWB) of the DENR
00014499	Capacity Building to Remove Barriers for Renewable Energy Devt.	Department of Energy (DOE)
00037339	2nd National Communication on Climate Change	Environmental Management Bureau (EMB) of the DENR

ATLAS Project No. (Source of Funds)	Project Title	Implementing Partner
00041692	Phil. Efficient Lighting Market Transformation Project(full project)	DOE
c. Other Non-CORE Resources		
00043024	Support to Fisheries Resources Management - MCS Patrol Boats	Bureau of Fisheries and Aquatic Resources (BFAR) of the Department of Agriculture (DA)
00043026	Support to Fisheries Resources Management - Bantay Dagat	BFAR/DA
00045148	RP-NET Dev Coop.	DEX
00052170	PPP in Water Service	STREAMs of Knowledge (an NGO)
00052397	READY II Multi Hazard Mapping	Office of Civil Defense, National Disaster Coordinating Council of the Department of National Defense (OCD/NDCC/DND)
00052471	READY II Comm Based Disaster Preparedness	OCD/NDCC/DND
00052473	READY II Mainstreaming DRR	OCD/NDCC/DND
00054988	Supporting PRF	DEX
00057016	Mainstreaming DRM	Regional Development Coordination Staff of the National Economic Development Authority (RDCC/NEDA)
00058270	Strategic National Action Plan on DRM	OCD/NDCC/DND
00058910	National Assessment on DRM Framework	OCD/NDCC/DND
d. GEF Funded Regional/Global Projects		
00039367	Devt & Implementation of Public-Private Partnership Seas of East Asia	DENR
00042931	PEMSEA	DENR
00051841	Strategy for the Seas of East Asia	DENR
00057358	PIMS 3918 Biodiversity MSP Global	PAWB/DENR
00057962	PIMS 3469 Implementation of SDS	DENR (executing agency: UNOPS)
00058544	PIMS 2596 POPs Medical Wastes	Department of Health
II. Completed		
a. GEF Funded Projects		
00014469	Sustainable Management of Mt. Isarog's Territories (SUMMIT) Project	CARE Philippines
00014471	Biodiversity Conservation and Management of the Bohol Marine Triangle	Foundation for the Philippine Environment (FPE)
00014479	Enabling Activity on Persistent Organic Pollutants (POPs)	Environmental Management Bureau of DENR
00014502	National Capacity Self Assessment (NCSA)	DENR and DA
b. Other Non-CORE Resources		
00014472	Community – based Solidwaste Management Programme	Metro Manila Development Authority (MMDA) and National Solidwaste Commission under DENR
00014473	Multi – purpose Pilot PV-Wind Project in Sicud, Palawan	Department of Energy (DOE)
00014481	Clean Development Mechanism	Environmental Management Bureau of DENR
00033498	Renewable Energy Village Power, New Ibajay	Department of Energy

B. OBJECTIVES OF THE EVALUATION

The outcome evaluation shall assess the following: (i) *outcome analysis* - what and how much progress has been made towards the achievement of the outcome (including contributing factors and constraints), (ii) *output analysis* - the relevance of and progress made in terms of the UNDP outputs (including an analysis of both project activities and soft-assistance activities¹), and (iii) *output-outcome link* - what contribution UNDP has made/is making to the progress towards the achievement of the outcome (including an analysis of the partnership strategy). The results of the outcome evaluation will be used for re-focusing the interventions during the remaining period of the current CPAP (as necessary) and guiding future programming of a similar nature.

C. SCOPE OF THE EVALUATION

This outcome evaluation will be looking at the relevance and contributions of UNDP project activities and soft-assistance efforts during the 2005-2009 CPAP with regard to the outcomes indicated above. Specifically, the outcome evaluation is expected to address the following issues:

Outcome analysis

- What are the current situation and possible trend in the near future with regard to the outcome?
- Whether has sufficient progress been achieved vis-à-vis the outcome as measured by the outcome indicator?
- What are the main factors (positive and negative) that affect the achievement of the outcome?

Output analysis

- Are the UNDP outputs still relevant to the outcome?
- Has sufficient progress been made in relation to the UNDP outputs?
- What are the factors (positive and negative) that affect the accomplishment of the outputs?
- Assessment of whether and how the environment-poverty nexus has been addressed and promoted in UNDP's activities; i.e. whether environmental protection activities take address livelihood issues and whether poverty alleviation interventions address environmental concerns;
- UNDP's ability to advocate best practices and desired goals; UNDP's participation in national debate and ability to influence national policies on sustainable development.

Output-outcome link

- Whether UNDP's outputs or other interventions can be credibly linked to the achievement of the outcome (including the key outputs, projects and assistance soft and hard that contributed to the outcome);
- What are the key contributions that UNDP has made/is making to the outcome (e.g. in promoting environmental governance and sustainable energy development in the Philippines)?
- What has been the role of UNDP soft-assistance activities in helping achieve the outcome?

¹ For UNDP, soft assistance activities include advocacy, policy advice/dialogue, and facilitation/brokerage of information and partnerships.

- With the current planned interventions in partnership with other actors and stakeholders, will UNDP be able to achieve the outcome within the set timeframe and inputs – or whether additional resources are required and new or changed interventions are needed?
- Whether UNDP’s partnership strategy has been appropriate and effective; UNDP’s capacity with regard to management of partnerships; UNDP’s ability to bring together various partners across sectoral lines to address environmental concerns in a holistic manner?
- UNDP’s ability to develop national capacity in a sustainable manner (through exposure to best practices in other countries, south-south cooperation, holistic and participatory approach); UNDP’s ability to respond to changing circumstances and requirements in capacity development;
- What is the prospect of the sustainability of UNDP interventions related to the outcome (what would be a good exit strategy for UNDP)?

D. EXPECTED OUTPUT/DELIVERABLES FROM THE EVALUATION

The Evaluation Consultant will have the overall responsibility for the evaluation. His/her responsibilities shall include (but not limited to) the following:

- (1) Development of the methodology and specific action plan for the outcome evaluation
- (2) Implementation of the Outcome evaluation based on prescribed guidelines and approved methodology and action plan.
- (3) Conduct consultation and discussions or focus group discussions with key partners.
- (4) Documentation and consolidation of findings, insights and perspectives from the field evaluations including identification of critical factors, processes and decisions that have impacts to the overall development objectives; lessons learned in the achievement of the Outcome and identification of the good practices and recommendation of the same for possible replication in other areas.

The consultant will produce the following reports:

- (1) Inception report, to be submitted within two weeks from the start of services, outlining the proposed detailed approach including framework of analyses, methodology, reporting outline, work plan and budget;
- (2) Mid-stream report including field visit reports, meeting/activity reports and proceedings, as well as a summary of activities, insights and analysis of the period covered.
- (3) Draft final report complete with analysis and recommendations to improve future performance and;
- (4) Final report that takes into account the comments and suggestions by the relevant UNDP staff, partners and all stakeholders (see attached template of final report).

The key product expected from this outcome evaluation is a comprehensive analytical report (final report) in English that should, at least, include the following contents (please refer to the attached Annex 1 for the prescribed format of the report):

- Executive summary
- Introduction
- Description of the evaluation methodology
- An analysis of the situation with regard to the outcome, the outputs and the partnership strategy;

- Key findings (including best practice and lessons learned)
- Conclusions and recommendations
- Annexes: TOR, field visits, people interviewed, documents reviewed, etc.

E. METHODOLOGY OR EVALUATION APPROACH

Although it is generally the responsibility of the evaluation consultant to decide on the concrete evaluation methodology to be used, the following elements should be taken into account for the gathering and analysis of data:

- Desk review of relevant documents;
- Discussions with the Senior Management and programme staff of UNDP Manila;
- Interviews with and participation of partners and stakeholders; and
- Field visits to selected key projects as necessary.

F. REPORTING AND MANAGEMENT ARRANGEMENT

The Evaluation Consultant will seek directions and guidance primarily from the UNDP Assistant Resident Representative - Environment. The Evaluation Consultant shall coordinate with the Evaluation Focal Team composed of UNDP Programme Analyst and Associate whenever necessary in the accomplishment of his/her duties and responsibilities.

The Implementing Agencies and Responsible Parties shall cooperate and may be requested to assist the Consultant in providing necessary inputs to complete the evaluation exercise. The Evaluation Consultant is responsible in cooperation with UNDP Environment Unit in organizing consultation meetings related to the exercise.

G. TIMEFRAME

The duration of the work will be 2.0 months starting 1 August 2008 or depending on when the Evaluation Consultant is contracted on board.

The work of the Evaluation Consultant shall have the following milestones:

Deliverables	Timeframe
Submission of Inception Report and Proposed Annotated Outline	Within two weeks upon signing of the contract
Evaluation of Inception Report, Meetings, consultations, briefing/ orientation sessions with Evaluation Consultant and UNDP Governance Unit.	Upon submission of the inception report
Desk review, field visits and interviews.	3rd week of August 2008
Submission of Draft Final Report	2nd week of September 2008
Submission of Final Report.	3rd week of September 2008
Presentation to key stakeholders	4th week of September 2008

H. FEES

The consultant will be paid a lump sum, all-inclusive* fee of Two Hundred Fifty Thousand Pesos (PhP 250,000.00) payable as follows:

Terms of Payments		Amount in Php
Upon signing of contract	15%	37,500
Upon submission of inception report with annotated outline detailed work plan and budget estimates.	30%	75,000
Upon completion of the first draft of evaluation report.	35%	87,500
Upon submission, presentation and approval of the final evaluation report.	20%	50,000
Total	100%	250,000

*Inclusive of costs of travel, administration, communications, computer time, and incidental costs.

UNDP will shoulder meeting costs of consultation meetings and will reproduce copies of draft and final reports for distribution and meeting costs. Estimated budget is around USD1,500.00

I. QUALIFICATIONS OF EVALUATION CONSULTANT

- 1) Advanced University Degree, preferably in Development Management, Economics, and other related fields and at least five years of work experience in the field of sustainable environment and energy development, sound knowledge about results-based management
- 2) At least five (5) years of progressively responsible experience in planning, directing, coordinating and supervising various activities involved in development research, analysis, documentation, or other related work;
- 3) At least five (5) Years substantive experience in programme/project development, management or evaluation related to development with actual work on design and operation of monitoring and evaluation and performance analyses;
- 4) Familiarity with or exposure to a variety of development organizations including government agencies, private sector, donors, NGOs and POs, and academe;

The Evaluation Consultant should be self-driven, with clear understanding of work objectives, content and processes. He/she must be pro-active and be able to work independently. Objectivity, organization, methodical and people skills are essential in the outcome evaluation process.

References

- a. Country Programme Action Plan for 2005-2006
- b. Outcome Evaluation Guidelines

ANNEX 1

Suggested Outline of the Outcome Evaluation Report

This is a sample outline for an outcome evaluation report. It does not follow a prescribed format but simply presents one way to organize the information. Project evaluations should employ a similar structure and emphasize results, although they may differ somewhat in terms of scope and substance.

EXECUTIVE SUMMARY

- What is the context and purpose of the outcome evaluation?
- What are the main findings and conclusions, recommendations and lessons learned?

INTRODUCTION

- Why was the outcome selected for evaluation? (refer back to the rationale for including this outcome in the evaluation plan at the beginning of the Energy and Environment for Sustainable Development (EESD) Component of the Country Programme Action Plan)
- What is the purpose of the outcome evaluation? Is there any special reason why the evaluation is being done at this point in time? (is this an early, mid-term or late evaluation of the EESD Component of the CPAP)
- What products are expected from the evaluation? (should be stated in TOR)
- How will the evaluation results be used? (should be stated in TOR)
- What are the key issues addressed by the evaluation? (should be stated in the TOR)
- What was the methodology used for the evaluation? (should be stated in the TOR)
- What is the structure of the evaluation report? (how the content will be organized in the report)

THE DEVELOPMENT CONTEXT

- When and why did the EESD Component begin working towards this outcome and for how long has it been doing so? What are the problems that the outcome is expected to address?
- Who are the key partners for the outcome? The main stakeholders? The expected beneficiaries?

FINDINGS AND CONCLUSIONS

The findings and conclusions of the evaluation report should reflect the scope presented in the TOR. There should be some flexibility for the reviewer to include new issues that arise during the course of the evaluation. The findings and conclusions in the report will take their lead from the nature of the exercise. If the purpose of the outcome evaluation was to learn about the partnership strategy, the findings and recommendations may address issues of partnership more than the other elements listed below. If the purpose was for mid-course adjustments to outputs produced by the EESD Component, the report findings and conclusions might give some more emphasis to issues related to the EESD's contribution to the outcomes via outputs. The section on findings and conclusions should include the **ratings** assigned by the reviewer to the outcome, outputs and, if relevant, to the sustainability and relevance of the outcome.

The following questions are typical of those that must be answered by the findings and conclusions section of an outcome evaluation. They reflect the four categories of analysis.

1. Status of the outcome

- Has the outcome been achieved or have progress been made towards its achievement?
- Was the outcome selected relevant given the country context and needs, and UNDP ESSD's niche? (Presumably, if the outcome is within the RRF it is relevant; however, the outcome evaluation should verify this assumption.)

2. Factors affecting the outcome

- What factors (political, sociological, economic, etc.) have affected the outcome, either positively or negatively?
- How have these factors limited or facilitated progress towards the outcome?

3. ESSD contributions to the outcome through outputs

- What were the key outputs produced by UNDP that contributed to the outcome (including outputs produced by “soft” and hard assistance)?
- Were the outputs produced by the ESSD Component relevant to the outcome?
- What were the quantity, quality and timeliness of outputs? What factors impeded or facilitated the production of such outputs?
- How well did the ESSD Component use its resources to produce target outputs?
- Were the monitoring and evaluation indicators appropriate to link outputs to outcomes or is there a need to establish or improve these indicators?
- Did the ESSD Component have an effect on the outcome directly through “soft” assistance (e.g., policy advice, dialogue, advocacy and brokerage) that may not have translated into clearly identifiable outputs or may have predated ESSD’s full-fledged involvement in the outcome? (For example, was policy advice delivered by ESSD advisors over the course of several years on the advisability of reforming the public service delivery system and on the various options available? Could this have laid the groundwork for reform that subsequently occurred?)

4. ESSD partnership strategy

- What was the partnership strategy used by ESSD in pursuing the outcome and was it effective?
- Were partners, stakeholders and/or beneficiaries of ESSD assistance involved in the design of ESSD interventions in the outcome area? If yes, what were the nature and extent of their participation? If no, why not?

RECOMMENDATIONS

Flowing from the discussion above, the section on recommendations should answer the following question:

- What corrective actions are recommended for the new, ongoing or future ESSD work in the outcome?

LESSONS LEARNED

- What are the main lessons that can be drawn from the outcome experience that may have generic application?
- What are the best and worst practices in designing, undertaking, monitoring and evaluating outputs, activities and partnerships around the outcome?

ANNEXES

Annexes are to include the following: TOR, itinerary and list of persons interviewed and FGDs conducted, summary of field visits, questionnaire used and summary of results, list of documents reviewed and any other relevant material.

Annex 2 Itinerary

TIME	ACTIVITIES	VENUE
26 August, Tuesday 9 -12 noon	Meeting with OCD/NDCC focal points involved with READY II, SNAP and DRM	OCD, Quezon City Camp Aguinaldo
2-430 pm	Meeting with Ms Susan Jose, Director, RDCS, Rachel Majorca, OIC, Economic Development Staff and DRM project team	RDO Conference room, 7 th Flr. NEDA sa Pasig Bldg, Jose Maria Escriva Drive, Pasig Sity Tel 631 0945 RDCS
3-4 pm	Meeting with Sheila Encabo, Director, Agriculture Staff ENR CORE, NCSA, Climate Change joint programme Kathleen Amee Capiroso, Agriculture staff	
27 August 2008 9-1030 am	Meeting with Angelita Brabante, National Coordinator Re: Persistent Organic Pollutants	EMB-DENR Compound, Visayas Avenue, Diliman, Quezon City Tel 9202263
2-4:30 pm	Meeting with DOE Focal Points Ms. Raquel Hulinganga, Director, ERTLS/DOE for the PELMATP	
	Meeting with Mr. Mario Marasigan, Director Energy Utilization and Management Bureau For CBRED, Renewable Energy in Ibaday and Sicud, Palawan	Energy Research Testing and Laboratory Services, Department of Energy Compound, Merritt Road, Fort Bonifacio, Taguig Tel: 4792900
28 August, Thursday 9-11 am	Meeting with PEMSEA (Partnership for Environmental Protection and Management of the Seas of East Asia) Atty. Raphael Perpetuo M. Lotilla Mr. Adrian Ross	PEMSEA Office DENR Compound, Visayas Avenue, Diliman, Quezon City Tel 9292992 local 103
2-330 pm	Meeting with Ms. Joy Goco Re: CDM Project, Enabling Activities on Climate Change, NCSA	Office of Ms. Joy Goco EMB, 2 nd floor, HRD Bldg. DENR Compound, Visayas Ave., Diliman, QC
29 August, Friday 9-10 am	Meeting with Ms. Emy Aguinaldo National Solid Waste Management Commission	Office of Ms. Emy Aguinaldo

	Re: Community Solidwaste Management Project	2 nd Flr. HRD Bldg, DENR Compound, Visayas Ave., Diliman, QC Tel 920 2252
10:30 -12 am	Meeting with Ms. Mundita Lim Director, Protected Areas and Wildlife Bureau (PAWB) and Ms. Girlie Garcia Re: Samar Island Biodiversity Project Enabling Activities on Biodiversity, NCSA	Office of Director Mundita Lim Ninoy Aquino Parks and Wildlife Nature Center, QC Tel 9246301 loc 203/204
1 September , Monday 9-11 am	Meeting with Director Noriel Tiglao, National Center for Transport Studies	NCTS, UP
2-3:30 pm	Meeting with Asec Analiza Teh and Ms. Cristy Regunay On ENR CORE and other DENR projects including PEMSEA	FASPO Office, DENR Visayas Avenue, Diliman, Quezon City Tel 926 8965
10-11 September 2008	Field Visit to Puerto Princesa, Palawan Meeting with Aimee Arcadia	

Annex 3 LIST OF INTERVIEWEES FOR EESD OUTCOME EVALUATION

OCD

Crispina Abat, Planning Office, OCD; 912 5947
Lenie Alegre, NDCC, OCD; 0917 558 5499
Apollo Sampol, READY PMO; 0917 817 2185

PHIVOLCS, DOST

Renato Solidum, Director
Maria Leonila Bantot, 0927 296 2349
Ma. Mylene Villegas, 9274524

PAG-ASA, DOST

Prico Nilo, Director, 929 4065

NEDA

Susan Rachel Jose, director, RDCS
Remedios Endencia, OIC-AD, RDCS
Rachel Mallorca, Supervising EDS and OIC, LUPPCD/RDCS
William Sese, Senior EDS, RDCS
Sheila Marie Encabo, Assistance Director, Agriculture Staff, NEDA, 631 3745

Department of Energy

Energy Testing and Laboratory Services

Raquel Huliganga
Project Manager
Social Marketing Staff

Energy Utilization and Management Division (CBRED, Renewable Energy in Ibaday and Sicud, Palawan)

Mario Marasigan, Geologist
Ronnie Sargento, Project Manager
Arnulfo Zabala, Senior Science Research Specialist

Department of Environment and Natural Resources

Angelita Brabante, Environmental Management Bureau
Emy Aguinaldo, Secretariat, National Solidwaste Management Commission, in charge of Solid Waste Management Project
Mundita Lim, Director, Protected Areas and Wildlife Bureau (PAWB), 9246031 loc 203/204
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Annex 4 Summary of Field Visit

Field Visit

Seminar Workshop on the Results of Multi-hazard Mapping

Organized by NAMRIA, Bacolor, Pampanga

READY PROJECT

Hazard Mapping and Assessment or Effective Community-based Disaster Risk Management

1. Description of the Activity

A workshop was organized by the READY project team and in Pampanga, NAMRIA was in charge. Members of the NDCC rotate in organizing these IEC workshops. The workshop was meant to present to the LGUS, specifically barangay officials and municipal planners, the results of the hazard mapping done by the various agencies concerned, i.e. PAG-ASA, PHIVOLCS, NAMRIA, etc.

The organizing committee consisted of: the IEC cascaders for each of the agencies who meet at the end of each day to clinic the proceedings of the workshop and how to improve the way they manage the activity.

The results of the multi-hazard mapping undertaken with UNDP assistance through the READY project were disseminated to barangay officials and municipal planning officers of Pampanga. IEC materials had been prepared, i.e. the hazard maps, power point presentations and CDS of the presentations were distributed to the participants.

Participants on 2 September and 3 September were barangay officials from the following municipalities:

2 September	Cluster 2:	Arayat, Candaba, San Luis and Sta. Ana
3 September	Cluster 3:	Apalit, Macabebe, Masantol, Minalin, San Simon

Presentations were made on

AM

- Map appreciation (NAMRIA)
- Landslides (Mines & Geosciences Bureau)
- Hydro-meteorological Hazards (PAG-ASA)
- Typhoon Tracking (PAG-ASA)
- Utilization of Rain Gauge for Early Warning (PAG-ASA)
- Volcanic Hazards (PHIVOLCS)

PM

- Earthquake and Earthquake Hazards (PHIVOLCS)
- Tsunami Hazards and their Natural Signs (PHIVOLCS)
- Liquefaction (PHIVOLCS)
- Familiarization with Hazard Maps (NAMRIA)
- How to Conduct an Earthquake Drill (PHIVOLCS)

The barangay officials were divided into five clusters and each cluster of barangay officials attended a one-day workshop where seven different hazards that could affect Pampanga province were presented using the geo-hazard maps as a tool. The said map indicates which barangays are at risk of being affected by a given hazard.

2. Facilitators were assigned to each table to guide the participants in the workshops. This is good practice to ensure that participants' comprehension of the lecture inputs.

3. Observations and Insights

- The workshop was a strategic step and served two purposes: disseminating information on hazards as well as collecting feedback from the ground as to accuracy of the READY hazard maps that have been prepared.
- Pampanga is a highly politicized area; there is currently a move to recall Governor Panlilio so that the READY Team directly invited the barangay officials and municipal planners. Attendance in the two days which I attended shows that there is genuine interest among the barangay officials and municipal planners to learn about hazards and hazard maps.
- Lectures were delivered by the specialized agencies. They brought in their respective experts to discuss the different hazards that could affect Pampanga province. Each barangay was given a set of hazard maps and compact disks containing the various presentations.
- The READY team has standardized the content of their training materials and were well equipped in their lectures and in making the inputs to the participants.
- Collaboration between the NDCC agencies was evident in that the resource persons from the member agencies came as a team and made the presentations to the participants. Good practice was the use of local resource persons, i.e. those coming from Region 3 or from the province of Pampanga itself.
- Presentations were made in Tagalog which made easier for the participants to understand.
- Power point presentations were well timed, not too long and contained pictures of real life situations which helped keep the attention of the participants.
- Methodology of the training was good; it allowed for immediate application of training inputs by asking the participants to look at the map and identify the risk level of their barangays relative to the hazards just discussed by the resource person. They were given forms to fill up which listed the hazards and were tasked to categorize the susceptibility of their barangay to the hazard.
- At the end of the day each municipality shared their “findings” as to which hazards and which barangays would be most affected. They were also asked to identify possible actions that they could take at the barangay level.
- The IEC workshop is an excellent way of disseminating the information and the hazard maps.
- Pampanga had prepared a disaster management plan for 2007-2010 under the aegis of the PDCC. However, this did not have the benefit of the hazard mapping information. However, there are plans to embark on a strategic planning where enhancements will be brought in based on the hazard mapping findings.
- Also, there are plans to establish the Pampanga Disaster Management Office (PDMO) with support from the OXFAM. And the provincial government is expected to allocate a regular budget to the PDMO to enable them to implement their programs.
- OXFAM GB with funding support from the 6th Action Plan of DIPECHO will be implementing a 15-month project entitled Safer and More Prepared Women and Men through a Permanent Disaster Management Office. This project aims to improve the capacity of men and women in local communities for sustainable disaster risk reduction activities through the local application of the APSEMO experience.
- After the docu

4. Recommendations

- IEC materials could be produced in the vernacular & local dialects so that it could be distributed to the households and community residents to aid the barangay officials in downloading the information to their constituents.

- The READY team could ask each the officials of the barangay and municipality to come up with an exit strategy, i.e. an action plan to follow through on what they learned at the workshop. They could actually draw up a preparedness action plan.
- The OCD could initiate a monitoring to track how the participants are using the information to prepare their constituents for disasters.
- OCD could push for the activation and revitalization of the BDCCs.

FGD/Interviews with Partners for EESD Outcome Evaluation

26 August 2008, 930-1200, Agfo function room Camp Agiunaldo, Quezon City; 2) NEDA Conference Room, 7th Flr., NEDA sa Pasig, Pasig City.

	<p>FGD with OCD, PHIVOLCS, PAG-ASA <u>Project: READY</u></p>	<p>Interviews with NEDA RCDS And Agriculture Staff <u>Project: Mainstreaming DRM (RCDS) Producing and Disseminating Sustainable Development Tools</u></p>
<p>Institutional Benefits</p>	<p>Coordination in a practice community that used to be “compartmentalized” in the way they worked. There were islands of scientific expertise and practical application and little dialogue. Now there is more interaction among scientific/specialized agencies and the users of their “science” in the field, particularly in the production of hazard maps.</p> <p>Previously agencies produced materials on their own without coordination. Now they have harmonized their procedures and the production of such materials.</p> <p>Confidence of regional centers of OCD to undertake hazard mapping, given the technical assistance and CB that they were given under the UNDP project. hazard mapping in a methodical way</p> <p>The READY brand for hazard maps has virtually evolved and there are evidences of increasing demand and clamor for READY maps. (According to OCD, a lot of NGOs want to use READY outputs and they put the lgo in the documents.)</p> <p>The downside is that where there are no READY maps there is a reluctance to pursue subsequent activities, i.e. risk assessment that require the information provided by such.</p> <p>READY seems to have emerged as the reliable and accurate provider of risk-related information. Production of hazard maps have the benefit of both scientific & technical knowledge and multi-stakeholder discussion, coupled with the cloak of authority as it involved agencies officially mandated to produce such maps.</p> <p>There is something unique about the hazard maps in PHI:</p> <ul style="list-style-type: none"> • Driven by multi-stakeholders, in Japan, universities do it single handedly • Addresses multiple hazards, most of the time it takes up one hazard at a time (ISDR advocates multi hazard, multi stakeholder) • <p>Government has proven that they could work together if they will to. (some NGOs have a different perception of government) And that there is value added in working</p>	<p>First ever that DRM came into the stream of planning work. Hence, it was a value addition given the current Philippine realities.</p> <p>A new paradigm has been introduced: from the traditional perspective of disasters as mere emergencies, disasters are now seen as a development problem. This is a major paradigm shift.</p> <p>Infusion of the perspective of sustainable development among planners. It has began with the NEDA agriculture staff but must be spread in all of the planning staff, national and local.</p>

	<p>together.</p> <p>Core of experts In multi-hazard and multi-stakeholder hazard mapping</p> <p>Partnerships. There are good examples of GO-NGO-LGU collaboration. E.g. Phivolcs undertook pilot tsunami drills. LGU & NGO hosted and sponsored the drill and the IEC was done with barangay offices.</p> <p>Could be used to leverage funding.</p> <p>OCD (300 personnel all over PHI): programs of regional centers throughout the PHI have been enhanced by the READY; gave them the opportunity to do what they are supposed to do; however acceptance of the task of mapping is not yet full; the people are overwhelmed by the responsibility, especially because they have few people; opened the lines of communication among concerned agencies</p> <p>More visibility for OCD at local levels; UNDP strengthened at regional levels</p> <p>Realized the need for further strengthening to increase absorptive capacity</p> <p>Increased resource generation capacity of OCD; it opened doors</p> <p>Work attitudes and collaboration, partnership</p> <p>Appreciated and understood mitigations strategies</p>	
<p>Achievement of Outputs and Outcomes</p>	<p>Significant capacity building for agencies.</p> <p>Enabled OCD to develop its capacity for project management; UNDP program gave them space and a break to embark on a program that re-enforced their regular functions.</p> <p>PAG-ASA (1011 people): they are “better able” to do their work; harmonized procedures in hazard mapping and refined these procedures as they went from province to province, they detected flaws and corrected them in the succeeding ones; they saw the value of documentation, i.e. manuals, which aided in building community capacities; the process is ongoing till 2011; they are also involved in DRR mainstreaming; they have evolved a READY procedure that is internationally accepted</p> <p>Technical enhancement. LGU network expanded in community based flood early warning system.</p> <p>PHIVOLCS (203 people): capacity to work and capacity to work together.</p> <ul style="list-style-type: none"> • Able to do more; UNDP indirectly augmented their capacity – helped alleviate manpower shortage; geographic expansion to Visayas and Mindanao given additional funds • More people became leaders; empowered younger staff • Undertake standard procedures • Standardized method of mapping (applies to various hazards) 	<p>From zero knowledge base on DRM, the NEDA staff have had to learn the ropes in the process. They had to build their own capacity to be able to build the capacity of local planners in DRM and mainstream it in the local development plans.</p>

	<ul style="list-style-type: none"> • their advocacies were supported by UNDP • Gave confidence to work in disaster risk management with Filipino consultants – maximize use of funds • Realizing some of the plans – catalytic effect • Staff training • Leveling off ex. GIS – harmonizing data • Enabled access to information from other agencies e.g. NAMRIA, leading to partnerships • Interdivisional approach • Capacity building to work with schools • UNDP facilitated the working together of GOs • Team approach to mapping – before each agency went on its own to the provinces <p>Policy to upscale gains of REINA; resource generation – many offshoot projects; further collaboration with Australia; focused local level guidelines; monitoring and early warning system</p> <p>Implementing capacity of enhanced 7 regions as of 2004 are READY</p>	
Sustainability	<p>Coordination and working together among concerned agencies will continue as the coordination mechanisms have given the space to tackle delicate issues and concerns in a congenial way.</p> <p>Promoted LGU ownership and responsibility to sustain the project</p> <p>Willingness to sustain is there. Demand driven project. Local level READY teams, headed by OCD director now exist. Each agency at the local level share in the cost of their staff mobility.</p>	Great potential since there are guidelines and handbooks. What is needed is to monitor the application on the ground by the LGU planners.
Lesson Learned/Key challenges	<p>Working together is possible and could lighten the load of the individual agencies. For Phivolcs, downstream work (regional centers to engage in hazard mapping) was facilitated so that they could make time and allot more energies and resources to other regular functions and to devote more time to their “science.”</p> <ul style="list-style-type: none"> • Scientists and practitioners can work together and evolve a modus vivendi that could bring out better quality results in their practice. • There is tedium and pain in working together but it does pay. <p>Peer review was a humbling experience as it puts the work of the agencies under close scrutiny of their peers in the practice community. It helped ensure quality through a rigorous process of field work, mapping, peer review and then the process iterates.</p> <p>It was a good learning experience. They also learned how other agencies work.</p> <p>Participation pays. There is ownership of the outputs of the</p>	<p>Interactions with the scientists, i.e. engineers and planners was not that easy. The NEDA have had to learn their language on one hand, and on the other, they have to study, assimilate, digest and reproduce it in a language that could be understood by the local planners. This process required time and effort for study on the part of the national planners, if they were to be effective in mainstreaming DRM in local planning processes.</p> <p>SD perspective has been introduced with the NEDA agriculture staff but must be spread in all of the planning staff, national and local.</p>

	<p>UNDP project (explicitly articulated by Phivolcs). They feel they are genuine partners and co-equals in the process and therefore, they invest their institutional resources to make for good quality outputs.</p> <p>There is a development role even for an agency that is associated with defense. Previously, donors would refuse to extend aid to such agency.</p>	
Future programs	<ul style="list-style-type: none"> • READY III • Climate change – could work together in hazard mapping 	

Summary of Observations for OCD and NEDA:

1. Greater coherence needed between ENR management and DRM. These are two sides of the same coin. DRM should be eased if there is effective ENRM. “Better” linkages among projects. Minimize duplication and optimize use of resources.
2. Strategic Areas for Programming:
 - 1) Intensify **capacity building for claimholders**. Previous projects have tended to be duty-bearer oriented for understandable reasons but this may not be sufficient in bringing about change and in effective environment and natural resource management unless citizens change their behavior. There have been snippets of work addressed to citizens but these were piggy backed on specific projects. A more deliberate IEC program should be worth considering. This is an exercise in social and behavioral change.
 - 2) **Scaling up** of READY II and expansion of LGUs. **Strengthen LGU capacities** in EESD. Protection and conservation of the environment and natural resources actually happen at the communities. Thus environment-sensitive local governance would be vital in creating the enabling environment for communities.
 - 3) **Strengthen private sector involvement** in ENRM. The appropriate program must be thought out more deliberately and formulated to match the needs of the situation. READY has examples of corporate involvement and in fact they have memos of understanding, such as SMART,CARE, ACCORD but this should be expanded.

27 August 2008, Meetings with DOE and DENR

Energy Management Bureau,

	EMB-POPS	EUMB-CBRED	ETLS- PELMAT
Institutional Benefits	Enabling activity for the Stockholm Convention 500,000 USD 2002-06	<p>UNDP opened doors for the; constant support</p> <p>EUMB had additional arms when there was a PMO; technical support on RE was provided through the CBRED and he & staff were able to do his other tasks, instead of doing the technical work themselves which is the current set up after PMO staff had quit during the hiatus</p> <p>RE bill advocacy was done by the first RE coalition that was created under the CBRED</p> <p>More donors came into their realm and became partners – JICA< USAID, ADB, Financial institutions, Spanish Fund,</p>	<p>UNDP opened doors for the; constant support but the policy to phase out the PMOs caused a lot of demoralization</p> <p>CBRED was recognized by CGIAR for its social marketing, tag line: Palit Ilaw, Tipid Na, Ligtas Pa.</p> <p>Posters displayed in Bali</p> <p>SWITCH – convener group that is multi-stakeholderNGOs, academe, religious, LGUS, Green Peace, Green Army, etc.</p> <p>DOE, led by the green army, advocates for energy efficiency; information dissemination; create a critical mass for energy efficiency</p>
Achievement of Outputs and Outcomes	National Action Plan now available to implement the Convention – finished in 2006 – to Quarter 1 2007 – submitted to the Steering	RE Bill likely to be passed in 2008 – now on second reading – preparing to make the IRR and formulation of implementation	<p>Confident they will meet objectives by end of 2008</p> <p>Unfinished business:2 problematic contracts; one stop shop which</p>

	<p>Committee secretariat</p> <p>Project listing now available – to eliminate POPs</p> <p>Little was done on public awareness – not completed; materials produced not enough only 2000 copies, just enough for their regional offices</p> <p>Translated into project proposals that were taken up by UNDP (capacity building, implementation of laws related to Stockholm convention and training for agri workers and electricity workers , WB, and UNIDO (how to reduce dioxine fluoran)</p> <p>WB integrated program to reduce dioxine fluorand 5 million USD</p> <p>Built capacity to implement</p>	<p>mechanisms</p> <p>Gaps by the time of project implementation; prodoc had been overtaken by events since it was conceived in prior years – by the time it was to be implemented the project concept was not in tune with the new developments, 1) e.g. EPIRA overtook the DSM; devolution and privatization</p> <p>2) energy service companies – difficult to apply the energy performance contracts because procurement laws come in the way</p> <p>Financing mechanisms for energy service providers; no collateral provision – investor needs to front end expenses for energy service projects which are huge</p> <p>Sectoral representation used to be nil but they were convened and consolidated into a RE coalition including RE Association, DOE, WWF, CORE – has become bigger and inclusive of NGOS and civil society</p>	<p>would be difficult to revive</p> <p>Increased stakeholder awareness of what they can, share and participate e.g. Philiex Roadshow promotion of CFL – promotes the ban on use of incandescent; local manufacturers who produce luminaires and ballast to design them to be energy efficient</p> <p>Technical capacity building</p> <p>Policy making – development of standards to lay ground for sustainability – 2 lighting standards; guidelines on energy conservation; first ever road map on lighting guidelines for energy; to be used in 5th year of electrical engineering students – CHED issued memo 54</p> <p>Need to train trainers</p> <p>Intiated development and application of AO 1 83 – mandates SUCs, GOs, government funded projects and GFIs to shift to energy efficient lighting</p>
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		<p>Strengthened RE coalition</p> <p>Created an effective advocate for the RE bill</p>	
Sustainability		<p>RE bill lays the platform</p> <p>Network of RE orgs, coalition</p> <p>Inclusion of RE in curriculum & training of engineering students – CHED already issued a memo to this effect</p> <p>Institutionalization of RE in schools at risk as the partner, DAP might have lost interest during the one-year dormancy – of late, it seems they are still interested – DAP had advanced money to develop the training modules</p>	<p>16 July 2008 – PGMA guested in the launch of SWITCH and announced 500 million pesos for CFL – already made partial release to DOE; government counterpart for an ADB supported project building on PELMAT</p>
Lessons Learned	<p>Include stakeholders from the beginning. Engage in partnerships. It is time consuming but it pays and it is needed. NGOS can sometimes be sensitive but in time you learn to deal with them. And be responsive to their needs.</p>	<p>Challenges – UNDP policy dissipated their momentum; internal management; change of leadership within the org</p> <p>REMD needs to be expanded to a bureau. Current structure inadequate to the growing demands of the RE sector.</p>	<p>Challenges – UNDP policy dissipated their momentum; internal management; change of leadership within the org; staff turn-over in UNDP; slow procurement</p> <p>Be professional. They packaged their reports and presented it to the new agency heads. And they passed with</p>

	<p>Challenge is to popularize the information and hard to demonstrate immediate impact. Most impacts are cumulated over time e.g. endosulphan</p> <p>There are dilemmas and contradictions: e.g. banning use of endosulphan in pineapple could compromise the huge trade benefits in pineapple export. So; safety versus trade gains</p> <p>Attitudinal blocks among environment regional officers – they are skeptical of LGU capacity in inspecting establishments and enforcing environmental standards</p> <p>Competing priorities – EMB’s mandate is to issue permits</p>	<p>Politicized. Use of the project resources for other purposes by some indiscreet agency heads</p> <p>There is a RE constituency. Many people are interested in RE. now there are 14 project proposals. Proposals are there awaiting for approval.</p> <p>Stakeholders buy in is extremely important. The participatory approach was effective in creating this buy in. Thence, the constituencies provided strong support for the RE bill.</p>	<p>flying colors.</p>
<p>Suggested Future Programs</p>	<p>Coordination and harmonization of inspection functions of various organization to enforce labor and environment standard DOLE and DENR can combine</p>	<p>Actual project development and design of projects in renewable energy development. TA. experts and funds</p> <p>No funds for project implementation.</p>	<p>Expand social marketing.</p>

	<p>forces in establishment inspection</p> <p>Listing of toxic substances</p> <p>Identifying potential POPs</p> <p>Strengthening LGU capacity to implement the Stockholm convention</p>		
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Summary

Limited scale of involvement of the private sector in the POPs. But there could be possibilities for more interventions aimed at engaging the private sector.

28 August 2008, Meeting with PEMSEA and DENR

	PEMSEA	HRD – Stockholm Convention
	<p>GEF Funded; regional program; developing a model for integrated coastal management</p> <p>Governance – addresses challenges to sustainable development</p>	<p>Clean Development Mechanism (CDM) Completed in 2005 2004-05</p> <p>Enabling Activity for Climate Change - inception done</p>
Institutional Benefits	<p>Pilots for ICM in Batangas, Bataan (replication area involving the LGUS) and Guimaras have been set up</p> <p>Integration at local level – instead of at the national level</p> <p>Possibility of evolving an ICM Code, similar to ISO standards, voluntary and ethical standards included</p>	<p>New thing; enables the country to comply with the Stockholm convention</p> <p>Institutional mechanisms established</p>
Achievement of Outputs & Outcomes	<p>National policy – each municipality should have a coastal manager</p> <p>Multi-sectoral council created in</p>	<p>Formulation of a framework for CDM: approval process and designation of institution who will be in charge of CDM</p>

	each site; chaired by governor, mayor, agencies given roles Milestone is the executive order	proposal review
Sustainability	Participation as political mechanism for stakeholders to generate the will and get their act together From municipalities, there are now 20 participating municipalities All mayors are now part of the council including civil society	Framework and process institutionalized and now being done by DENR Training of relevant institutions and preparation of manuals
Lessons Learned	Changes in administration and leadership Resistance to training – use of locals Politicians persuade politicians, e.g. visit to Xiamen – mayor convinced Bataan governor re: gains of ICM and shared their perspectives: ICM is to be considered an investment	Need to persuade senior officials – explain to them gains to be made from MS consultation in development of IRR Political will essential Delay in the launch of the CC project; PSC has now met; consultations GHG inventory Now at data gathering stage
Future Programs		Monitoring of SD – are these being delivered in the communities? Revisit the process. Is it possible to have levy on the polluters?
	Addresses trans-boundary issues affecting development and defining collective actions <ul style="list-style-type: none"> • Manila Bay – multi-jurisdiction • Local level, 	Report submitted to UNFCC: Priorities: coastal, agriculture, water & biodiversity; forestry; health

	multistakeholders	
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	Parks and Wildlife Bureau Samar Biodiversity Management Program completed phase 1 in 2006	EMB-HDR -Solid Waste Management Turned over from MMDA in 2006
Institutional Benefits	Enabled them to have dedicated staff to pay attention to biodiversity pilot program	Able to arrive at a model for Community based solid waste management
Achievement of outputs and outcomes	Completed preparatory work in 2006 – largely advocacy	Completed
Sustainability	Built in the design – to be taken over by the LGU Community awareness, participation and involvement	Mainstreamed in the school system
Challenges and Lessons Learned	Insurgency	
Future Programs	Scaling up the pilot program	Scaling up school system Replication of CBSWM in other barangays – roll up

Meeting with NCTS and FASPO

	NCTS	FASPO
Institutional Benefits	<p>No integrated national framework in achieving environmental support transport</p> <p>Local best practices; In 5 cities: Marikina, bikeways with GEF counterpart</p> <p>National EST strategy – includes legislative agenda</p> <p>Capacity to plan the city in a sustainable way</p>	<p>Knowledge management tools</p> <p>Human capacity – training programs</p> <p>Financial capacity – financing schemes</p> <p>Organizational capacity – policy but still from the outcome</p> <p>Public support – not enough</p> <p>Highly participator – Filipino team, rapport built and consultative</p>

	<p>Road PMO in the Visayas</p> <p>ENR CORE could be a model for the DOTC International Affairs</p>	<p>UNDP helped in conceptualizing and designing programs</p> <p>Capacity to negotiate – preparation on interventions and reports</p> <p>Capacity baseline of DENR was not measures so it is hard to say how far they have improved</p> <p>Gap is in downloading to the high level executives of DENR when there are successful project initiatives like that of the UNDP</p> <p>Legislators cannot understand why DENR has too many issues – strategic issues are forgotten; DENR gets preoccupied with day to day operations</p> <p>How strategic is the MTDP?</p>
<p>Achievement of Outputs</p> <p>UNDP support – 30,000 USD in 2007</p> <p>10,000 in 2008</p>	<p>Multi-stakeholders in partnership 2007 – LGUs</p> <p>Targets were mainly duty bearers: mayors, transport planners, environment and engineering staff and in Cebu the academe and university</p> <p>Promoting EST – transport needs met without jeopardizing energy</p> <p>Still to hold the National EST conference in Dec 2008 and to publish toolkits and the case studies</p> <p>Gives a platform to study the Marikina case more closely and consider replication in the LGUs.</p>	<p>Focus has been the MEA focal agencies</p> <p>The claim holders was not as much of a target; assumed that the NGOS would take care of addressing their capacity development</p>
<p>Sustainability</p>	<p>Approach: Social Marketing</p> <p>2005 : GEF proposal – DOTC-NCTS – there was a competing proposal by World Bank</p> <ul style="list-style-type: none"> - They submitted proposal with UNDP 	<p>DENR needs major internal reforms in its governance functions.</p>

	<p>funds – funds not accessed; GEF funded Marikina Bikeways; submitted to DENR – twice endorsed</p> <p>DOTC weak in policy making and analysis</p> <p>UP can embark on collaboration</p> <p>Partnership with DOTC – coming up project for LGUs through Special Vehicle Pollution Control Funds (SVPCF) – money from MVUC- Motor Vehicle User Charge</p> <p>2005-06 and the bulk in 2007 – 600 million goes to DOTC annually</p> <p>Draw up a 2007-2010 work plan for projects to support EST; to start with Cebu Bus Rapid Transit – promote public transportation</p> <p>Procure high quality buses</p>	
<p>Challenges and Lessons Learned</p> <p>Skepticism of some LGUs, e.g. Cebu. National plans have not worked on the ground before. So why should EST be adopted again – another national initiative?</p> <p>Congressman threatens to remove the MVUC because it is not being used</p> <p>Workload of DENR too heavy</p> <p>Rationalization: veered toward regulatory functions – creating an appropriate policy environment and designing programs to implement policy</p>	<p>Academe has a significant role to play in environmental management as shown by the lead role that NCTS took in the UNDP funded project.</p> <p>Infrastructure/road construction programs do not include environmental considerations. Now, there is a notion of a “walkable city” which implies having environment friendly roads and transport systems.</p> <p>LGUS can use the local academe and university sector as a resource for capacity building. They have to establish linkages.</p> <p>Support of national government in providing policies,</p> <p>Change mindset. Transport has</p>	<p>UNDP program has too many small things in many different areas. Tried to focus on disaster management in 2008.</p> <p>There is a need for mechanism to integrate various initiatives.</p> <p>Oversight agencies like NEDA have become implementers. There is no mechanism to harmonize with agencies. FASPO is blind as to the other initiatives supported by UNDP.</p> <p>Innovative financing yet to be operationalized.</p> <p>DENR has had no planning session. Need for leadership to inspire the organization and provide a long term vision; dynamic planner; strategic</p>

	<p>been seen as a job and vote generator at the expense of environmental degradation. But the transport sector is poorly maintained and unsustainable.</p>	<p>management</p> <p>Congress is a bottleneck too because they do not have the technical background for the legislative proposals on the table.</p> <p>Environment Policy still at a standstill.</p>
<p>Future Programs</p>	<p>LGU must now prepare transport plans which are as yet not part of land use plans</p> <p>There is now a National Land Transport Policy Framework prepared by DOTC in 2008 and it has been EST enhanced</p> <p>National Transport Planning Project funded by AusAid</p>	

Annex 5. QUESTIONNAIRE USED

A. INSTITUTIONAL BENEFITS FROM UNDP ASSISTANCE

1. What projects and activities on Energy and environment for sustainable development were implemented by your organization with support from the UNDP EESD portfolio? In what form did the assistance come: a) technical b) financial c) both. What was the total amount of support given to you? What was the counterpart contribution of your organization, if any? Indicate amounts if there were funds involved.
2. Which of these forms of UNDP assistance did you find most useful for your organization ?
3. What were the main benefits from the UNDP support? What do you think is the **value added** of UNDP support? What do you see as UNDP's **niche** in the environment program?
4. In your opinion, what was the strategic impact of the UNDP assisted program? Explain and elaborate. In what ways did the UNDP-supported program strengthen the institutional capacity of your organization? Please explain. Indicate if there were any **benefits** pertaining to policy development and reform; implementation and enforcement of laws and policies; improvement of institutional mechanisms; enhancement of program design and development; resource allocation, generation and mobilization and staff competence in the organization.
5. Do you think UNDP exercised its proper role relative to the project? What did UNDP do well in its various roles as collaborator, oversight and monitor of the program, etc. ?
6. All told, what do you consider as UNDP's main contribution?

B. ACHIEVEMENT OF OUTPUTS AND OUTCOMES

1. What were the key outputs of your UNDP-supported program? Were they all achieved? Were these outputs achieved in accordance with the design? Did you have to make changes or amendments to the program design? Why?
2. What was your main approach and strategy in implementing the program? Did you engage other organizations? In what way? Explain and elaborate.
3. What key **challenges** did you face in implementing the program? What **factors helped push** the project forward? And what **factors hindered** your implementation,? How did you address these factors?
4. Do you believe your project outputs contributed to the overall outcome? What key changes occurred (in your organization and your partners) after you implemented your project?

C. SUSTAINABILITY

1. Did your project design consider how the project might be continued even after UNDP support is gone? What specific plans were made to ensure continuity of the project? Was there an exit strategy for UNDP in your project?
2. Does your organization have plans of continuing the project, at all? What are the plans to sustain the gains from the project? Pls. explain and elaborate.
3. Would there be any constraints and challenges for your organization to continue the project? What would those be?

D. LESSONS LEARNED

Could you cite the main lessons you drew from your experience in implementing your UNDP-supported program on energy/environment?

- What were the key insights that you could draw from your project experience?
- Are there specific things you learned in relation to: partnership; working with UNDP; program design; approach and strategy; resource mobilization , others.

ANNEX 6

LIST OF DOCUMENTS REVIEWED

A Regional Mechanism for Facilitating Sustainable Environmental Benefits in River Basin, Coasts, Islands and Seas: Partnerships in Environmental Management for the Seas of East Asia (1994-2010).

Annual Report 2006. Department of Environment and Natural Resources Foreign Assisted and Special Projects.

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Cabrido, Candido, Jr. Environment and Natural Resources Capacity and Operations Enhancement (ENR-CORE) Program. Final Report, 5 March 2007.

Capacity Building and Social Marketing for Environmentally Sustainable Transport (EST), ENR CORE Programme, UP National Center for Transportation Studies, 6 August 2007.

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National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants. DENR, June 2006.

National Conference on Environmentally Sustainable Transport (EST), 11 December 2007, Renaissance Makati City Hotel, Manila.

Report of the National Consultation Workshop. Mainstreaming Disaster Risk Reduction in Sub-national Development and Physical Planning in the Philippines. 30 August 2007. Crowne Plaza Galleria, Manila.

UNDP Progress Reports:

- Standard Progress Report 2007, Department of Environment and Natural Resources Republic of the Phiippines, Programme Managing Energy and Environment for Sustainable Development.
- Solid Waste Management
 - Candido Cabrido, Final Project Review and Evaluation Report, Community based Ecological Solid Waste Management Programme in the Philippines, 15 November 2006.

- CBESWMP Final Report, 31 December 2006.
- Piloting a Pro-poor Public Private Partnership in Water Supply Services-Delivery for the Urban Poor, STREAMS Global Coalition on Water Sanitation and Resources Center
 - Progress Reports 1-7, July 2006 to December 2007.
- Energy and Climate Change
 - Annual Reports 2004-2007, Capacity Building to Remove Barriers for Renewable Energy Development, Department of Energy.
 - Annual Reports 2006-2007. Philippine Efficient Lighting Market Transformation Project, DOE
 - Final Report, 2nd National Communication on Climate Change, Environmental Management Bureau, DENR
 - Project Final Report, Multi-purpose Pilot PV-Wind Project in Sicud, Palawan. DOE.
 - Project Final Report. Renewable Energy Village Power, New Ibaay, DOE.
- Disaster Risk Management
 - Semi-Annual Report, June 2006-June 2007 and July 2007-December 2008. READY II Multi Hazard Mapping; READY II Community based Disaster Preparedness; READY II Mainstreaming DRR
 - Draft Final Report (DIPECHO form), Mainstreaming DRM, RDCS-NEDA.
 - Completion Report, Strategic National Action Plan on DRM
 - Progress Report, National Assessment on DRM Framework.

Table 1: Capacities Strengthened Among Key Duty Bearers in ENR

Dimensions of Capacity Building per the NCSA Framework	DENR <ul style="list-style-type: none"> • Parks And Wildlife Bureau • Environment Management Bureau • National Solid Waste Management Commission ENVIRONMENT SECTOR	DOE <ul style="list-style-type: none"> • Energy Testing & Utilization Division • Energy Utilization & Management Bureau ENERGY	NDCC <ul style="list-style-type: none"> • OCD • PAG-ASA • PHIVOLCS • MGB • NAMRIA DISASTER MANAGEMENT
Human Capacity	Staff capacity in some bureaus i.e. EMB, PAWB but this has not been scaled up	Strengthening capacity for EEL testing, labeling, development, market monitoring and enforcement of standards with consumers Technical capacity building for local manufacturers	<p>Awareness of the hazard and vulnerability of barangays in 27 provinces</p> <ul style="list-style-type: none"> - Barangay officials know how to read and understand hazard maps; locate their barangays in the hazard maps and vulnerability to which hazards <p>Improved LGU understanding of their roles in hazard mapping and disaster management (thru READY project)</p> <p>Disaster preparedness among barangay officials, municipal planning officers and teachers in 27 provinces, possibly an additional 16 provinces (thru READY project)</p> <ul style="list-style-type: none"> - Barangay officials know how to lessen the effects of the hazards and to prepare for possible disasters <p>Knowledge on map appreciation, results of hazard mapping, early warning systems and disaster preparedness skills among teachers</p>
Financial Capacity	Studies on financing schemes for forestry management projects	Financing mechanisms to make EEL products ore accessible and affordable to consumers	

<p>Organizational Capacity</p> <ul style="list-style-type: none"> • Policy • Mechanisms • Tools 	<p><u>Policy</u> Environment Policy Act on file with Congress</p> <p>Other bills: Ecology Policy Act Pollution from Ships Act of 2007 Coastal Environmental Management Act</p> <p>Policy studies and assessments such as Valuation studies for ground water as input to pricing policy</p> <p>Frameworks and National action plans (ENR Framework Plan, Disaster risk Management Framework, NAP for persistent organic pollutants; Strategic National Action Plan for Disaster Management)</p> <p><u>Mechanisms</u> Networking, Partnership arrangements</p> <ul style="list-style-type: none"> - PPP in water governance(work in progress) <p>Coordination mechanisms, multi-stakeholder consultations</p> <p><u>Tools</u> General Data bases and information on ENR for analyzing and reporting the state of the environment (data link and the SER still to be made)</p> <p>Guidelines for State of the Environment Reporting</p> <p>Sustainable Development Handbook</p> <p>Sector-specific List of persistent organic pollutants (POPS)</p> <p>Working model for community based solid waste management tested in the</p>	<p><u>Policy</u> Renewable Energy Bill Policies, Standards and Guidelines for Efficient Lighting Guidelines for Proper lamp waste management and disposal</p> <p><u>Mechanisms</u> Stakeholder Dialogues Partnerships</p> <p><u>Tools</u> Model for promoting energy efficient lighting</p> <p>Social Marketing Tools (IEC materials) for public advocacy to support and adopt efficient lighting</p>	<p><u>Policy</u> Strategic National Action Plan (SNAP) DRM Framework Guidelines of DRR Mainstreaming in LGU Planning</p> <p><u>Mechanisms</u> Culture of dialogue & collaboration among duty bearers developed at national level, particularly members of the National Disaster Coordinating Council</p> <p>Multi-stakeholder Consultations</p> <p>Peer Review in production of multi-hazard maps</p> <p><u>Tools</u> Baseline assessment of the state of disaster risk management in the PHI (in progress)</p> <p>Multi-hazard maps prepared by the NDCC members and validated by the barangay officials in 27 project sites</p> <ul style="list-style-type: none"> - Information on hazards and vulnerability of the barangays to which hazards - Maps are available in CD and in hard copies, distributed to the barangays for free
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	<p>field in selected sites</p> <p>Greenhouse Gas Inventory</p>		
Public Support	<p>There were some initiatives but more needs to be done here and the DENR realizes this as a gap. (FASPO, Interview, 1 September 2008, FASPO office)</p>	<p>Consumer Awareness Improvement Program for Adoption of Energy Efficient Lighting</p>	<p>Indirect: through the school system</p>

Table 2

Delivery of Outputs in the Environment and Energy for Sustainable Development Program

OUTPUT	2007 TARGET OUTPUT	ACCOMPLISHMENTS	ISSUES AND CONSTRAINTS
<p>1. Legal framework for stronger national response to ENR and sustainable energy issues institutionalized</p>	<p>TRAC Draft Environmental Policy bill widely consulted and processed by both Congress and Senate</p>	<p>Three consolidated bills filed at the 14th Congress and subjected to 3 multi-sectoral (1 national & 2 regional) 0 consultations and 4 writeshops, i.e. Ecology Policy Act; Pollution from Ships Act of 2007 and Coastal Environmental Management Act First and second readings of the bills done.</p> <p>Multi-sectoral consensus building on environment policy and the ENR Framework with Civil Society Organizations and Academe progressed</p> <ul style="list-style-type: none"> - Multi-sector discussions on the PVP-net of the ENR policy issues and the ENR framework - Marketing and communication plan for promotion and advocacy/IEC on ENR policies - On line dissemination of newsflash - Printing of advocacy materials 	<p>Committee on Budget unable to endorse due to substantial budget allocation for bill's implementation Dearth of advocacy funds to support the passage of the proposed bills</p> <p>Lack of trained moderators to facilitate the on-line discussions Lack of a common time for the three sponsoring entities and resource speakers for the face to face Forum and convening of the TAG</p>
	<p><u>Non-TRAC</u> Consolidated RE bill adopted by both houses of the Legislature, RE constituency increased, IRR of the Biofuels Act; 3 RE policy papers, policy papers on lamp waste management; Revised Building Energy Use Guidelines; Draft Consumer Protection Guidelines; DRM Framework</p>	<p>13th Congress produced RE bill but fell short of being passed. The process was hastened by the multi-sectoral advocacy campaign spearheaded by WWF. The IRR for the Biofuels has been adopted and is currently in effect. The consultants team for the DRM framework has been constituted.</p>	<p>Significant 10 month delay has been incurred by the project facilitating the policy work on renewable energy. CBRED because of management problems. The project working for the production of the energy efficient lighting deliverables (PELTMAP) has likewise experienced administrative/management problems.</p>
<p>2. Data and information on ENR as basis for policy making updated and</p>	<p>TRAC Report on the linking of ENR data bases and an annotated</p>	<p>Protocol/Guidelines and a tabular template for a harmonized regional and</p>	<p>Drafting and finalization of the Guidelines was affected by the delay in the hiring of a</p>

enhanced.	<p>outline of the State of the Environment Report.</p> <p>Non TRAC Operational data base & MIS for renewable energy, greenhouse gas inventory for 207 and vulnerability data generated, 6 provincial multi-hazard maps.</p>	<p>national state of the environment Report has been piloted. The study on the linking of ENR data bases has been deferred.</p> <p>Multi-hazard maps in varying forms (3) of 47 targets for preliminary hazard maps, 2 final for Surigao del Norte and Surigao del Sur, Leyte, Southern Leyte) and field data for Bohol, Cavite, Aurora and Pampanga have been produced.</p>	<p>qualified consultant and submission/provision of inputs from regional participants. The deferment of the data base study involved difficulties in hiring the consultant to do the job.</p> <p>Delay in the purchase of the mapping equipment because of importation requirements constituted a significant factor in the attainment of all the target multi-hazard mapping deliverables. The management problem faced by CBRED again posed a significant barrier in the attainment of the required deliverables on the RE data base and MIS. Change in DENR leadership and subsequent change in one of the project account signatories likewise posed constraints for the completion of the GHG inventory this year.</p>
3. SD mainstreaming tools developed and applied.	SD handbook printed (1000 copies) and disseminated to LGUs/national government agencies.	SD Handbook printed 1000 copies. SD Handbook social marketing and dissemination completed in 7 Regions.	Need for pilot case studies and success stories for roadshow to other LGUS Need to link up with Leagues of LGUs for wider dissemination and use of the handbook
4. ENR conflict mechanisms) established at national and local levels	ENR conflict management assessment report	Case studies on mining conflicts in the Samar Island Natural Park (SINP) and Brooke's Point, Southern Palawan conducted in partnership with the Environment Legal Assistance Council (ELAC) Study on the Economics of Mining in the Philippines conducted Policy Paper on the status of national conflicts in mining prepared	Timing and resources are very limited
5. Innovative/sustainable financial mechanism to support environment conservation efforts	TRAC Policy paper on ENR pricing/valuation and Report on ENR incentive system for	The Framework and Action Plans for the specific financing schemes of forestry sector projects have been	Delay in the evaluation of the Consultant's output because of the incompatibility of the schedules of concerned

<p>developed</p>	<p>private sector investment.</p> <p>Non TRAC Operational LGF< PFF & MFF; an Energy Efficient Lighting (EEL) Micro-financing scheme developed</p>	<p>developed. Produced the following:</p> <ul style="list-style-type: none"> - Water pricing policy for ground water extraction in Metro Manila - Policy paper on valuation of economically important plant species. - List of economically important species and quota for collection from the wild - Integrated report <p>Funds have been set up, guidelines produced and fund managers selected.</p>	<p>agencies Administrative constraints like delay in the designation of signatories; limited resources vis a vis the scope of work resulting in protracted negotiations with the consultants; delay in submission of the required reports</p> <p>Fund access is stymied by non-operationalization of the management structure of the funds, e.g. non-constitution of the steering committee so far, resulting from the stoppage of the CBRED due to the dissipation of the PMO</p>
<p>6. Philippine compliance to MEAs enhanced/achieved</p>	<p>Development of coordination mechanisms & initiative to support national compliance, including coordination mechanism for PCSD; and</p> <p>Provision of support to GoP on compliance to MEA commitments, i.e. preparation of reports/participation to CoPs.</p> <p>Non TRAC Climate risk vulnerability report as an input to the SNC-CC</p>	<p>National Stakeholders' Seminar and Consultation Meeting on Ballast Water Management Conversion was conducted on 13-14 June in Manila in support of advocacy'</p> <p>National road map and action plan towards the accession, ratification and implementation of the Ballast Water Convention prepared.</p> <p>PMO for the project has just been constituted. Preliminary data for the study has been consolidated.</p>	<p>MEA focal points' workload affected submission of relevant reports and position papers for compilation and analysis, resulting in the delayed submission of the draft report by the Consultant.</p> <p>Change in DENR leadership led to delays due to change in EMB (IP) leadership and consequently, barriers in administrative arrangements for the project., e.g. change in signatories.</p>
<p>7. ENR Investment Planning supported</p>	<p>TRAC Integrated ENR Investment Plan for 1 province and 10 national and provincial planners trained on integrated investment planning; National Strategic Plan for Environmental Management</p>	<p>Integrated Investment Planning Framework for ENR has been formulated including recommendations for investments that would benefit the marginalized communities Draft National Strategic Plan</p>	<p>Operational constraints encountered such as incompatible schedule of the concerned agencies, delay in bank account establishment, and hiring of consultants among others</p>

	<p>Non TRAC</p> <p>10 business plans developed by Eel manufacturers; updated DSM plans of energy utilities; provincial DRM enhanced development plans</p>	<p>on Environmental Management for the Brown (?) Sector has been formulated</p> <p>Standard Management Planning Procedures for the preparation of individual management plans for abandoned mining sites, as applied in the Cordilleras, was produced</p> <p>Capacity building for the development of the business plans has been undertaken</p> <p>Framework and Methodology (quantitative) for mainstreaming into target provincial development plans has been developed</p>	<p>Updating of the DSM plans has proven to be very difficult in the absence of an approved DSM Framework. Instead voluntary agreements with selected utilities will be forged.</p>
<p>8. Environmentally Sound Technologies and other ENR Management mechanism adopted by selected communities/sectors</p>	<p>TRAC</p> <p>High level industry dialogues and seminars to institutionalize ESTs/approaches; Jatropha provenance testing supported; entry points for mainstreaming ESWM in the formal school curricula identified; 3 additional ENR MSMEs supported in business</p> <p>Non TRAC</p> <p>Operational Market Support Center for RE; EEL Voluntary Scheme; CRM plans adopted and implemented by 4 Bohol LGUs; PPP model for small scale water providers tested; Technical Assistance for investment options for conservation-compatible livelihoods for IPs in Zambales provided through</p> <ul style="list-style-type: none"> - Feasibility study of livelihood enterprises - A project proposal for piloting of livelihood and enterprise initiative (handicraft production and sustainable farming systems) - Recommendations 	<p>Ecological Solid Waste Management</p> <p>10 collection bins in 3 big malls in Metro Manila have been installed</p> <p>A 30-minute video documentary promoting recycling of 5 recyclable materials for turn-over to the NSWMC for promotion to other local and regional beneficiaries/I industries nationwide</p> <p>Mainstreaming ESWM into the educational system through:</p> <ul style="list-style-type: none"> - Capacitation of four (4) pilot schools – Metro Manila public elementary schools selected for pilot activity; performance evaluated per NSWMC criteria for pilot schools; materials recovery systems designed; students and teachers trained on ESWM - Production and distribution of IEC material – ESWM comics <i>Basura Kid at Iba Pa</i>; RA 9003 Posters; Ecology 	<p>MSC spin off has been stalled because of SBRED stoppage due to the resignation of key PMO staff.</p>

	<p>for future initiatives (networking in fair trade and organic farming movements)</p> <ul style="list-style-type: none"> - Pilot livelihood and enterprises in four CADC areas in Zambales <p>Operational Market Support Center for RE; EEL Voluntary Scheme; CRM plans adopted and implemented by 4 Bohol LGUs; PPP model for small scale water providers tested; Community based early warning system Technical Assistance for investment options for conservation-compatible livelihood implemented in 247 forest communities in 8 countries including the Philippines</p> <ul style="list-style-type: none"> - Several spin off models for the MSC for RE have been 	<p>Nook loaded with IEWC materials for students; ESWM Guidebook and Field book “solid waste management made easy</p> <ul style="list-style-type: none"> - Identification of entry point of ESWM in school activities – ESWM Training Module developed and utilized to conduct ESWM training - Building capacities of communities for environmentally sustainable globalization (CAP 2015) - 5 training modules for distribution to six (6) selected sites - Finalized business plans for (5) sites - Compilation of best practices - List of buyers with product specifications 	
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	<p>developed, from which the most promising sustainable model has been identified</p> <ul style="list-style-type: none"> - A PPP model for small scale water providers has been tested in one of the depressed areas in Metro Manila (Lupang Arenda, Taytay) - 31 barangay level CRM plans formulated and incorporated into 3 municipal CRM plans and into the BMT CRM plan - 247 conservation compatible livelihood implemented in 8 countries (Philippines, Thailand, Pakistan, Indonesia, Vietnam, Cambodia, Sri Lanka, Malaysia); - Community based early warning systems (e.g. flood warning) have been established in 4 provinces (Surigao del Norte, Surigao del Sur, Leyte, Southern Leyte) 		
<p>9. A broad constituency of government, civil society, private sector (SMEs including micro enterprise) academic institutions and other key stakeholders</p>	<p>200 CSOS trained on SD tools & environmental law & enforcements; 50 people trained on internet-based environmental communication; 30 trained negotiators; 100 stakeholders consulted/awareness raised on ESTs for the transport sector</p>	<p>Philippine Report on MEA compliance particularly on climate change, biodiversity and persistent organic pollutants prepared and 1 training conducted for negotiators from key government agencies (e.g. DENR, NEDA, DOE), civil society and academe</p> <p>Training for CSOs on marine conservation and environmental law enforcement conducted involving 36 members of Pos, LGUs, local fisher folks and</p>	<p>Teachers had difficulty getting approval from the DepEd because they are not allowed to attend seminars on school days. Resource speakers were not available on weekends Limited internet access of government and NGO offices</p>

	<p>Non TRAC deliverable RE Engineering Service Industry Certification developed & RE Technology Support Programmes initiated; Report on entry points for EEL mainstreaming into the school curricula; country level KM & ICV plans developed and implemented for 8 countries including the Philippines; 5 country cross visits and trainees trained on forest management; 11 training modules on RE produced and 680 trainees trained on RE; Operational Regional Mechanism for the Sustainable Development of the Seas of EAST Asia; accredited lamp waste processing facilities; FATL testing capacity increased.</p>	<p>operatives, 20 teachers and 19 students</p> <p>Refresher training for CSD moderators on internet based communication conducted</p> <p>Consultation meetings to enhance awareness and knowledge of key stakeholders on EST and developed strategic partnerships conducted</p> <p>3 regional trainings/seminars (Cebu, Iligan, & Cagayan de oro) conducted to promote awareness on EST</p> <p>5 Country Cross visits conducted and participants trained on forest management</p> <p>PEMSEA Resource Facility (PRF) established since October 2007 as the operating regional mechanism for the SDS-SEA</p> <p>1 lamp waste processing facility identified</p> <p>FATL testing capacity increased through procurement of and training on testing equipment</p> <p>1 RE trainers; training course conducted with 31 participants</p>	<p>Sustainability of PRF still nebulous</p> <p>Site selection was a problem initially for the new testing facilities but has been resolved</p>
			<p>General : Delayed approval of AWPS and consequent delayed releases for ENR CORE Unclear implementation and management arrangements for CBRED</p>

Table 3 Review of Sustainability Potential (Human Capacities Developed by Sector)

	Environment Protection ECSWM	Natural Resource Conservation Biodiversity Conservation in Samar	Renewable Energy Development CBRED: Ibaday Solar Power & Generator Back-up	Energy Conservation PELMAT	Disaster Management READY
<u>Ownership by Stakeholders</u> (Participation)	LGUs Private sector Households and Community residents Private sector	DENR-Parks and Wildlife Bureau LGU officials, people's organizations and community residents surrounding the project area have been co-opted; they appreciate the value of conserving their natural resources Management of the Samar Island Natural Park	LGU (Municipal government of El Nino) Department of Energy – Energy Utilization and Management Bureau Communities organized and made aware of solar heat panels as energy source for household electrification Provincial government pledged to give a subsidy to support the purchase of the battery	Department of Energy – Energy Testing and Laboratory Services Civil Society Private sector (manufacturers of luminaires) Consumers-general public	National level-NDCC members LGUs – barangay officials in 27 provinces; provincial disaster coordinating councils; municipal government; provincial government
Mainstreaming strategy	Solid waste management mainstreamed in the school system	LGU take-over of the Samar Biodiversity Project	Provincial government has engaged in solar heat panel distribution to selected municipalities RE mainstreamed in higher education system: RE included in the engineering curricula and supported by CHED		DRR to be included in local planning through NEDA's planning guidelines Provincial disaster management office in some provinces, e.g. Pampanga following the Albay model
Partnership	MMDA, DENR-EMB; National Solid Waste and LGU officials in project barangays Private sector –	PAWB in Samar LGU People's organizations	DOE – Municipality of El Nino, with commitment from provincial government	DOE-ETLS with the private sector	OCD/NDCC members OCD-NEDA OCD-LGUS

	junk shop owners		DOE with Development Academy of the Philippines		
Public support	Advocacy and training IEC materials on solid waste management	Community residents and indigenous groups in the area	Community residents (200 HH) in Ibabay, Palawan province	General public and Consumers and the private sector are adopting EEL	IEC campaigns to LGUs now in progress
<u>Empowerment of players</u>	Barangay officials training and orientation Training of trainers among high school students	Awareness raising on value of conservation of wildlife and biodiversity Economic empowerment – livelihood projects	Awareness raised On solar heat panels as alternative energy source Loan guarantee for purchase of solar heat panels by individual HH	IEC campaigns aimed at consumers	LGU Hazard mapping workshops in project provinces - knowhow on how to read hazard maps among barangay officials in 27 project provinces - teachers and principals informed on hazard maps and given teaching aids for use with their students
<u>Financial resources</u>	Income from recycling and sales of waste materials	Park user fees to maintain natural park	Cost of battery too high and unaffordable if there is no subsidy	Financing scheme to be designed for small scale energy providers	Shared costs among NDCC member agencies for staff travel Agency budgets of NDCC members Provincial and municipal governments
Risks and threats	Loss of interest - unlikely	Insurgency Illegal Logging Mining	Financial capacity of consumers Demand increased beyond capacity of installed solar heat panels Inability to pay bank for loans to buy solar heat panels		Political support from provincial governments; commitment of budgets Activeness of the provincial disaster coordinating council