

REPORT

FOR THE TERMINAL EVALUATION (TE) OF THE

EXPANDING AND DIVERSIFYING THE NATIONAL SYSTEM OF
TERRESTRIAL PROTECTED AREAS IN THE PHILIPPINES PROJECT (NEWCAPP)

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DISCLAIMER

Be stated that the analysis and recommendations contained in this document only represent the opinions of the author and do not necessarily reflect the views and opinions of the NewCAPP Project, the Philippine Government, the United Nations Development Programme, GEF, nor any other person or UN Agency.

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EXECUTIVE SUMMARY

PROJECT SUMMARY TABLE

Project Title: Expanding and Diversifying the National System of Terrestrial Protected Areas in the Philippines Project (otherwise known as New Conservation Areas in the Philippines Project – NewCAPP)				
PIMS No.:	3530		At Endorsement (US \$)	At Completion (US \$)
UNDP Project ID:	00071662	GEF Financing:	3 500 000	3 451 000
Country:	Philippines	UNDP	1 044 000	640 000
Region:	Asia	Government:	2 741 000	3 489 000
Focal Area:	Biodiversity Strategic Objective 1	Other (NGOs, LGUs, communities)	3 752 000	1 498 000
Operational Program:	GEF-4 Strategic Program: BD-SP3	Total Co-financing:	7 537 000	5 627 000
Executing Agency:	UNDP	Total Project Cost:	11 037 000	9 078 000
Other Partners Involved:	NGOs, local government units, IP and local communities	ProDoc Signature: March 2010		
		Date Project began: August 2010 (Inception Workshop)		
		(Operational) Closing Date:	Proposed: September 2015	Actual: December 2015

BRIEF PROJECT DESCRIPTION

The importance of the Philippines in the world terrestrial biodiversity map rests in it being one of the seventeen megadiverse countries which host 70-80% of the world's life forms. Because of its size, the country is regarded to harbor more diversity of life than any other country on earth on a per hectare basis. Yet, it is one of the only two countries in the world, which are both a megadiverse country and a biodiversity hotspot. The country has more than 52177 described species, of which more than half are found nowhere else on earth. Of these, 491 threatened species already are listed in the 2004 IUCN Red List. Of more than 1130 terrestrial wildlife species recorded for the Philippines, almost half (49%) are endemic; 157 are threatened, and 128 are threatened endemic species. The country is ranked 5th in the world in terms of the number of plant species.

The archipelago is also now recognized as one of the most important centers of amphibian and reptile diversity in Southeast Asia. An estimated total of 359 species of amphibians (101 species) and reptiles (258 species) are now known in the country. Of the 359 species, 246 (68%) are endemic (currently the highest known percentage endemism among vertebrates). The Philippines is home to 576 species of birds, of which 395 species are resident breeders. Of the resident breeders, 195 species are endemic, while 126 are restricted range species (range size estimated to be < 50,000 sq. km.). This record makes the Philippines the 4th country in the world in terms of bird endemism. About 45 species are either extinct in the wild, critical, or endangered. Forty of the 45 are endemic birds, making the Philippines the number one country in the world in terms of threatened endemic species of birds.

The archipelago is also home to one of the greatest concentration of terrestrial mammalian diversity in the world and the greatest concentration of endemic mammals in the world on a per unit basis. The most recent inventory of land living mammals includes 174 indigenous species, 111 of which are endemic, or about 64%. Despite this, the mammal assemblage in the Philippines it is the 8th most threatened in the world, with 50 threatened species. The diversity and endemism is believed to be much more than what is reported due to lack of information and knowledge on many of the country's KBAs. The country has one of the highest discoveries in the world, with 36 new species discovered in the last 10 years.

As a middle income country, the Philippines faces major threats to the biodiversity of its terrestrial areas. These include: habitat degradation and land conversion due to logging and increasing population; inappropriate land use planning; overharvesting of resources; mining threats; and infrastructure expansion. The country's National Integrated Protected Areas System (NIPAS) has been the main governmental response to place important biodiversity areas under effective management. To date, a total of 240 protected areas covering 5.4 million hectares have been established, but this represents only 35% of the identified key biodiversity areas (KBAs). In

order to protect the remaining biodiversity resources and ensure their sustainable use, there is a need to address key capacity constraints. These are:

- (i) biogeographical representativeness;
- (ii) limited capacity for PA management; and
- (iii) limited financial sustainability.

The expansion of the national PA system to recognize new conservation areas such as those managed by indigenous peoples (IPs) as well as those managed by local communities and local government units (LGUs) was seen as an opportunity to accelerate the coverage of the existing system before continued degradation sets in the important KBAs. In partnership with key organizations, local communities and other stakeholders, the Project was to directly address key barriers and establish solid foundations for accelerated expansion of the terrestrial system in the Philippines, supported by strong management capacities, and sustainable financing. It was envisaged that such expansion could be achieved through recognition and/or establishment of new governance mechanisms for the establishment of new conservation areas such as indigenous community conserved areas (ICCAs) and LGU managed local conservation areas (LCAs); and make these part or complementary to the national PA system. The expanded PA system would have comprehensive ecological coverage and strengthened links to local and indigenous communities and their domains as well as to the surrounding landscape through the integration of new conservation areas.

The general objective of the Expanding and Diversifying the National System of Terrestrial Protected Areas in The Philippines Project was *to expand and strengthen the terrestrial PA system in the Philippines by developing new PA models and building capacity for effective management of the system*. The three major expected outcomes which were envisaged as a result of the Project (and its expected outputs for each) were:

- (i) Outcome 1: PA system of the Philippines has been expanded under new and diverse management regimes (ancestral domain, local government and community managed areas) to cover an additional 400,000 hectares of Key Biodiversity Areas (KBAs) and with enhanced potential for further expansion
 - 1.1 – Modified PA regulations and/or laws to recognize new conservation areas as part of the national PA system:
 - 1.2 – Nine ‘new-type’ PAs covering 400,000 ha are established within KBAs
 - 1.3 – Programme for expansion of the national PA system
- (ii) Outcome 2: improved conservation effectiveness through enhanced systemic, institutional and individual capacities;
 - 2.1 – Increased PAWB and DENR Regional Office capacities to provide technical assistance to PAMBs and other stakeholders in managing existing PAs and new conservation areas

2.2 – Negotiated agreements with indigenous groups and other local stakeholders at nine sites resulting in management plans that incorporate BD conservation goals and sustainable management of natural resources

2.3 – Enhanced management capacities in nine new-type PAs covering 400,000 ha

2.4 – Revised operational manual for national PAs and new manuals for ‘new-type’ conservation areas:

2.5 - Common protected area M&E frameworks and protocols

2.6 - Increased support from key stakeholders and decision-makers for the management and conservation of the national PA system, including new conservation areas

(iii) Outcome 3: enhanced financial sustainability of the terrestrial PA system.

3.1 - Economic valuation studies of three new conservation areas

3.2 – Improved national-level sustainable financing tools and capacities

3.3 – Site-level tools for resource mobilization developed at new CAs

3.4 – Site-level tools for business planning and cost-effective management developed at new CAs

3.5 – Lesson learning and replication of sustainable finance tools among pilot sites

The Project was implemented for five years starting September 2010, covering ten Key Biodiversity Areas as pilot sites. It was managed by the BNB as an implementing partner. The overall planned cost of the Project was 11 037 000 US Dollars. This total planned project cost was to be funded by GEF financing of 3 500 000 USD and UNDP (as the implementing agency) financing of 1 044 000 USD. A total co – financing of 7 537 000 USD was expected, with sources for this being national government, NGOs, LGUs as well as communities.

EVALUATION RATING TABLE

Table 1: Rating of Project Performance¹

Criteria	Rating
Monitoring and Evaluation: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)	
Overall quality of M and E	S
M & E design at start up	S
M&E Plan Implementation	MS
IA & EA Execution: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)	
Overall Quality of Project Implementation/Execution	S
Implementing Agency Execution	S
Executing Agency Execution	S
Outcomes Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)	
Overall Quality of Project Outcomes	S
Relevance: relevant (R) or not relevant (NR)	R
Effectiveness	S
Efficiency	S
Sustainability: Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U).	
Overall likelihood of risks to sustainability	ML
Financial Resources	ML
Socio-economic	ML
Institutional Framework and Governance	MU
Environmental	L
Overall Project Results	S

¹¹ Rating scales for performance, relevance, and sustainability are found in annexes.

SUMMARY OF CONCLUSIONS AND RECOMMENDATIONS

The *Expanding and Diversifying the National System of Terrestrial Protected Areas in The Philippines* (NewCAPP) Project in The Philippines has ended with a series of significant achievements. The Project provided key drivers in the country for innovative models and ways to sustainably manage protected areas while attempting to strengthen the national PA s system as a whole. Therefore, the main objective of expanding and strengthening the terrestrial PA system in the Philippines by developing new PA models and building capacity for effective management of the system has mostly been achieved. The design of the NewCAPP Project was strategic since it recognized the major hindrances to sustainable management of protected areas in the country. Notwithstanding design issues (which were overcome with explicit and tacit adaptation and perseverance by management, as well as their exceptional capacity and willingness to work in partnership with local stakeholders) the NewCAPP project presents at its conclusion a series of expected and unexpected achievements. The products have had the effect of providing bases for issuing local resolutions for the establishment/recognition of conservation areas, a key effect of NewCAPP. A major effect achieved by the NewCAPP Project has been through the work carried out with indigenous peoples' organizations. The engagement with IPs has gone beyond achieving land coverage, it has also resulted in pertinent strengthened relation with these actors which are key to management of natural resources in the country. This has also enhanced the acknowledgment by State and non – State actors of indigenous peoples' human rights regarding national resources, a straggling issue in The Philippines. The demarcation and recognition of areas where IPs and their organizations have specific human rights and a key role to play in management is one of the main effects brought about by the Project. The NewCAPP project has also formed and advanced a set of national policy instruments that, if and when approved, could be keystone for sustainable and efficient administration of new models of management in particular and of protected areas in general in The Philippines together with the methodological tools developed within the Project's framework. Another major achievement has been in piloting financing mechanisms. The successful piloting of some of the payment for environmental service mechanisms established by and through the NewCAPP Project also point to replicable and up scalable mechanisms in the future, which if they are implemented beyond testing and piloting, can be a significant catalyst for sustainable financing of PAs. However, without forceful institutionalization of achievements (which to date has not fully occurred) the task remains to strengthen the socio – economic, financial and governance sustainability factors to secure achievements in the medium and long term.

The NewCAPP Project ends with successes, lessons learned, and clear outcomes. This implies that there is ample room to commend its achievements while at the same time see to pending sustainability issues and replicate as well as upscale its successes.

SUMMARY OF RECOMMENDATIONS

SUMMARY OF RECOMMENDATIONS AT THE DESIGN LEVEL

1. Formulation and designs of these sort of projects should be more realistic, less overly ambitious, and should acknowledge the limitations that implementing such an intervention can have.
2. Progress indicators of implementation and effect incorporated at the design level should also be realistic as a way to guide and gauge whether or not results are being generated, and not set aims so high that are not feasibly reachable within a project.
3. Monitoring should be linked to above, using monitoring and evaluation processes to update project implementation as needed with formal changes to log frame or indicators as necessary and with regular reviews to comprise changes and necessary adaptations in view of what is learned throughout the implementation process.
4. Formulation and design should include flexibility factors, not be so rigid that the design does not acknowledge local circumstances, and the prevailing national and local political and social circumstances.
5. If projects continue to comprise expectations regarding policy as an effect, then clear strategies that go beyond technical advice should be imbedded in the projects in order to promote policy adoption.
6. In projects that promote innovation there should be a balance between novelty and expected results, acknowledging that innovative projects need time, resources, and profound policy changes before results are evident.
7. The participation of key institutions should be clearly stated from the design and formulation levels onward, with specific responsibilities, not being left to unclear notions, and where at all possible including concrete joint work within the sphere of a project.
8. Exit strategy and sustainability factors should be part of the design of a project. This should include a realistic framework for results to continue after external cooperation ends.

SUMMARY OF RECOMMENDATIONS AT THE IMPLEMENTATION LEVEL

9. Implementation management should work closely with all partners, respecting their characteristics and local capacities, reinforcing how the accomplishments of this project were made.

10. Implementation should always work in a joint manner and build partnerships with regional and local authorities, as well as with civil society especially in projects with a very strong site and local component.
11. A stronger emphasis on livelihoods should be imbedded in development projects that deal with natural resource management, creating incentives for the communities and their members to incorporate sustainable management practices in their productive patterns and assimilate the benefits of protected areas for their own development while managing resources.
12. Regular review of the Project logic to account for changes and shifts in socio-political circumstances should be carried out throughout the implementation stage.
13. Knowledge management inputs and outputs should be promoted throughout project implementation stage, promoting learning not only from in – country experiences but also to and from regional experiences, and acknowledging that just creating products is a necessary but not sufficient condition for individual/institutional capacity building.
14. If policy is an expected project outcome then a clear strategy for this should be designed and implemented in alliance with relevant stakeholders and partners, going beyond technical assistance to policy makers and increasing policy adoption advocacy.

Summary of Recommendations at the follow up level

15. Other models which were not sufficiently recognized within the project can be explored in the near future.
16. The group of all produced materials needs to be published and disseminated in a user friendly manner, making sure that materials, including those produced by the project but not yet published are printed and/or made available in different formats.
17. Together with the above, a comprehensive communication plan should be developed and implemented, taking into account the different target audiences.
18. If possible, gaps and unmet products and goals should be taken up and generated / implemented.
19. Policy work should be followed up, trying to secure policy that would provide workable institutional and governance sustainability to the achievements attained and articulating / mainstreaming work already done.
20. Follow up on financial issues is necessary, upscaling and institutionalization successful pilots (such as PES) and ascertaining that financial support assured and allocated for the new management models is indeed effected.

ACRONYMS AND ABBREVIATIONS

AD	Ancestral Domain
ADSDPP	Ancestral Domain Sustainable Development and Protection Plan
BD	Biodiversity
BMS	Biodiversity Monitoring System
CEO	Chief Executive Officer
CI	Conservation International
CLUP	Comprehensive Land Use Plan
CP	Certification of Precondition
CSO	Civil Society Organization
DAO	Department Administrative Order
DBM	Department of Budget and Management
DENR	Department of Environment and Natural Resources
DILG	Department of Interior and Local Government
ECA	Environmentally Critical Area
EIS	Environmental Impact Study (System)
EMB	Environmental Management Bureau
EO	Executive Order
FFI	Fauna and Flora International
FGD	Focus Group Discussion
FLUP	Forest Land Use Plan
FMB	Forest Management Bureau
FMS	Financial Management Service
FPE	Foundation for Philippine Environment
FPIC	Free and Prior Informed Consent
GEF	Global Environment Facility
GIZ	German Technical Cooperation
ICC	Indigenous Cultural Community
ICCA	Indigenous and Community Conserved Areas

IEC	Information, Education and Communication
IP	Indigenous Peoples
IPAF	Integrated Protected Areas Fund
IPRA	Indigenous Peoples' Rights Act
KAP	Knowledge, Attitude and Practice
KBA	Key Biodiversity Area
KII	Key Informant Interviews
LGU	Local Government Unit
LGU-LCA	Local Government-managed/Local Conservation Areas
LRP	Local Responsible Partner
LSC	Local Steering Committee
M&E	Monitoring and evaluation
METT	Management Effectiveness Tracking Tool
MGB	Mines and Geo-sciences Bureau
MILALITTRA	Miarayon Lapok Lirongan Tinaytayan Tribal Association
MOA	Memorandum of Agreement
MTE	Mid-term Evaluation
NCIP	National Commission on Indigenous Peoples
NCPAG	National College of Public Administration and Governance
NewCAPP	New Conservation Areas in the Philippines Project
NGO	Non-government organization
NIPAS	National Integrated Protected Areas System
NPS-ENRMP	National Program Support for Environment and Natural Resources Management Project
PA	Protected area
PAFID	Philippine Association for Intercultural Development, Inc.
PAMB	Protected Area Management Board
PASU	Protected Area Superintendent
PAWB	Protected Areas and Wildlife Bureau
PAWCZMS	Protected Area, Wildlife and Coastal Zone Management Sector

PAWD	Protected Areas and Wildlife Division
PBCFI	Philippine Biodiversity Conservation Foundation, Inc.
PCU	Project Coordinating Unit
PENRO	Provincial Environment and Natural Resources Office/r
PES	Payment for Ecosystem Services
PIR	Project Implementation Review
PMU	Project Management Unit
PTFCF	Philippine Tropical Forest Conservation Foundation
RA	Republic Act
RED	Regional Executive Director
REECS	Resources, Environment and Economics Center for Studies, Inc.
RTD	Regional Technical Director
SAPA	Special Use Agreement for Protected Areas
SGP	Small Grants Programme
TOR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme

1. INTRODUCTION

PURPOSE OF THE EVALUATION

The varied purposes of evaluation exercises include monitoring results as well as effects/impacts and promote accountability. This evaluation centers, therefore, upon valuating the outcomes, outputs, products, and processes achieved by *Expanding and Diversifying the National System of Terrestrial Protected Areas in The Philippines Project*. The specific objectives of the evaluation were to determine if and how project results were achieved, and to draw useful lessons that can both improve the sustainability of benefits from this project as well as to aid in the overall enhancement of UNDP programming. Lastly, this exercise follows general objectives of these sorts of evaluations which have as a purpose assembling lessons learned and best practices in order to aid projects' processes in the future.

SCOPE AND METHODOLOGY

This terminal evaluation has focused primarily on assessing the effectiveness, efficiency, sustainability, and relevance of the project in light of the accomplished outcomes, objectives, and effects. It includes the following scope:

- Assess progress towards achieving project objectives and outcomes as specified in the Project Document.
- Assess signs of project success or failure.
- Review the project's strategy in light of its sustainability risks.

The approach for the evaluation of the *Expanding and Diversifying the National System of Terrestrial Protected Areas In The Philippines Project* (also known as NewCAPP) is determined mainly by the Terms of Reference (TOR) for this assignment and it follows methods and approach as stated in UNDP guidelines and manuals, relevant tools, and other relevant UNDP guidance materials, including the *UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects* and *UNDP's Handbook on Planning, Monitoring and Evaluating for Development Results*. The analysis entails evaluating different stages and aspects of the project including design and formulation, implementation, results, and the involvement of stakeholders in the project's processes and activities. It has been carried out following a participatory and consultative approach ensuring close engagement with government counterparts, in particular with the UNDP Country Office, project team, and key stakeholders. Furthermore, human rights and gender perspectives were integrated into the methodology and tools used, as well as in the underlying analysis embarked on to gauge the extent of project convergence with other priorities within UNDP country programming (programming which includes poverty alleviation, as well as cross-cutting imperatives on empowering women and supporting human rights).

In order to carry out this evaluation exercise several data collection tools for analyzing information from the principles of results-based evaluation (including relevance, ownership, efficiency and effectiveness, sustainability) were used. Activities and results were evaluated for their (i) Relevance; (ii) Effectiveness; (iii) Efficiency; and (iv) Sustainability. Following UNDP/GEF guidelines, the relevant areas of the project were evaluated according to performance criteria and prospects of sustainability with ratings as summarized in the tables found in Annexes. The tools chosen for the evaluation, with a mixture of primary and secondary data as well as a combination of quantitative and qualitative material, were selected in order to provide a spectrum of information and to validate findings. These methods allow for in-depth exploration and yield information that facilitated understanding of observed changes in outcomes and outputs (both intended and unintended) and the factors that contributed to the achievements or lack of accomplishments.

Regarding specific methodologies to gather assessment information, the following tools and methods were used:

- *Document analysis.* In depth analysis of documentation. The documentation analysis examined documents prepared during the preparation and implementation phases of the project. A list of documents consulted is found in Annexes.
- *Key informant interviews:* Interviews were implemented through a series of open and semi-open questions raised to stakeholders directly and indirectly involved with the Project. Key actors (stakeholders) were defined as UN officials, funding partners, government actors, and local actors. The interviews were carried in person during the evaluation mission and online when stakeholder(s) were not based in The Philippines. Stakeholders to interview were chosen to be the key actors from every single cluster of organizations directly and tangentially involved in the Project (UN, governments –national and subnational as well as local–, indigenous peoples’ organizations, and civil society organizations). The array of stakeholders, therefore, was a representative sample of actors involved such as the implementing agency, national government representatives, provincial and local government representatives, project management unit, project staff, representatives from communities and from indigenous peoples’ organizations, as well as representatives from non – governmental organizations that directly participated in different capacities in the Project.
- *Site visit/direct observation.* During the mission site visits took place, allowing for interviewing local stakeholders as well as to carry out direct observation.

- *Online Questionnaire.* An online questionnaire was developed in order to contact and seek inputs from those stakeholders that it was not possible to interview in person, in particular those from sites which could not be visited, achieving with this (together with interviews of site stakeholders in Manila), as well as with the site visits a quite thorough coverage of all pilot areas involved in the Project.

A first tool developed for this process was an evaluation matrix. This matrix guided data collection process and, as the evaluation proceeded, the matrix was used to collect and display data obtained from different sources that relate to relevant evaluation criteria and questions. The matrix contains Evaluative Criteria Questions (that is questions and where relevant sub questions related to each of the evaluation criteria contained in the evaluation); Indicators; Sources; and Methodology. The evaluation matrix can be found in Annexes.

As all evaluations, there are a series of limitations. Although the evaluability was very high given access to inputs (from stakeholders through interview processes, from site visits, as well as from documentation this evaluation had access to) some limitations can be identified. The main limitation identified is the inherent limitation of time and resources which presented a limit to the number of site visits that could take place within the evaluation framework.

The sites were chosen for visits by the evaluation team based on several criteria. First of all, they were chosen seeking representativeness of the different typologies of protected areas dealt with (local, indigenous peoples'). All of these criteria were constrained as indicated above by time and resources available for the sites as well as remoteness and/or time of year that inhibited visiting some sites due to weather conditions. Second, criteria for selection sought to diversify the regions to be visited and, third, seeking those sites that were key in some aspect as will be seen throughout the report. For example, sites that were key in having financing pilots, areas where processes for recognizing indigenous people's rights were highlighted, or areas where significant achievements took place.

The local consultant participated of the Inception Workshop for the newly approved GEF-funded project "Strengthening National Systems to Improve Governance and Management of Indigenous Peoples and Local Communities Conserved Areas and Territories" with UNDP as an implementing agency a month before the mission given that many of the actors involved in the NewCAPP Project were at this event. A fourteen-day mission took place, mainly maintaining meetings and interviews with relevant stakeholders at the national level, meetings with UN personnel, and review of materials with key stakeholders. The evaluation team held interviews with eighty persons representing a variety of institutions and organizations involved in the Project, from national, regional, local and non-governmental institutions and working in the diverse sites the Project was involved in. A series of site visits took place as part of the mission. Since the total number of sites was very extensive and could not be covered due to the time and resources allocated to the mission, a representative group was chosen as indicated above. The

areas visited included Cagayan de Oro, Cebu, San Fernando, and Baguio. In Figure 2: NewCAPP Sites the sites visited can be found and in Annexes an Agenda and a List of Interviewed persons is found.

STRUCTURE OF THE EVALUATION REPORT

The evaluation report is structured beginning with an executive summary, an introduction and evaluation scope section. A second section contains an overall project description within a developmental context, including an account of the problems the project sought to address, as well as its initial objectives. Furthermore, indicators and main stakeholders involved in the projects are described, as well as what were the expected results. Basically, this section deals with the design stage and design concept of the project. A third core section of this report deals basically with the evaluation findings, analytically observing the results framework and its reform, as well as linkages with other projects and interventions in the sector. Furthermore, this section also deals with findings relating to the actual implementation of the project, including strategic issues such as adaptive management and partnership agreements, and monitoring. This third section concludes with findings on actual project overall results and findings related to the criteria established for evaluations such as relevance, effectiveness and efficiency, ownership at the national level, mainstreaming and sustainability. A fourth core section of the present report entails overall conclusions as well as forward looking issues and recommendations for future actions and future projects. Lastly, an annex section includes project and evaluation support documentation.

2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

PROJECT START AND DURATION

The *Expanding and Diversifying the National System of Terrestrial Protected Areas in the Philippines Project*, also known as the NewCAPP Project, initiated in March 2010 with its inception workshop taking place in August 2010. The Project had a five-year duration with an actual operational closing date of December 2015.

PROBLEMS THAT THE PROJECT SOUGHT TO ADDRESS

The NewCAPP Project sought to address a series of inter related problems. Acknowledging that the Philippines (as a middle income country) faces major threats to the biodiversity of its terrestrial areas, these were identified as habitat degradation and land conversion due to logging and increasing population; inappropriate land use planning; overharvesting of resources; mining threats, as well as infrastructure expansion. Furthermore, although the country's National Integrated Protected Areas System (NIPAS) has aimed at placing important biodiversity areas under effective management, several issues were identified that hindered management. For instance, although at the date of the Project's beginning 240 protected areas existed in the country covering 5.4 million hectares, these only represented some 35 per cent of identified key biodiversity areas (KBAs) in the Philippines.

Three major issues and constraints to protect remaining biodiversity resources and ensure their sustainable use were identified by the Project. These were:

- (i) biogeographical representativeness;
- (ii) limited capacity for Protected Area (PA) management; and
- (iii) limited financial sustainability.

Therefore, these were the main problems the NewCAPP project sought to address. This was to be done through different and innovative modalities of PA management (by indigenous peoples and local governments) as well as by capacity building and through piloting different financial arrangements for protected areas.

BASELINE INDICATORS ESTABLISHED

In the Project Document (ProDoc) baseline indicators were established for NewCAPP. Baseline data recognized the issues and contained objectively verifiable indicators for most expected outputs. These are indicated in the following table.

Project Strategy	Objectively verifiable Indicators	Baseline
Objective: To expand and strengthen the terrestrial PA system in the Philippines by developing new PA models and building capacity for effective management of the system	Expansion of the terrestrial PA estate: increased areas of KBAs under legal protection; new governance types in new conservation areas recognized as part of the national PA system; program for accelerated expansion of PA system	59 terrestrial PAs covering 2.6 million hectares New PAs are established only through the NIPAS process No program for accelerated expansion of terrestrial PAs to cover new conservation areas
	Habitat range of 109 globally threatened species in 9 pilot sites protected	Expected to decrease by at least 10% per year
	Management Effectiveness in PAs and new conservation areas	Average of 35 in all nine sites
	Financing of national PA system, including new conservation areas	Governance frameworks for sustainable PA financing – 33.3% Business planning and other tools – 19.6% Tools and systems for revenue generation and mobilization – 17.54% TOTAL - 24.48%
	Capacity to manage national PA system	Systemic – 43% Institutional – 47% Individual – 43%
Outcome 1: PA system of the Philippines has been expanded under new and diverse management regimes (ancestral domain, local government and community managed areas) to cover an additional 400,000 hectares of Key Biodiversity Areas (KBAs) and with enhanced potential for further expansion	Coverage of the national PA system in terms of governance types	Limited to PAs established through the NIPAS process, managed by PAMBs only
	Extent of the national terrestrial PA system in proportion to total area of the country	8%
	Representation of KBAs in biogeographic zones and ecosystem types in the national PA system	Greater Luzon BZ – 48% Mindoro BZ – 49% Greater Negros Panay BZ – 47% Greater Mindanao BZ – 32% Sulu BZ – 29%
	Program for expansion and diversification of national PA system	None

<p>Outcome 2: Improved conservation effectiveness through enhanced systemic, institutional and individual capacities</p>	<p>Capacity of PAWB and regional offices to manage national PA system</p>	<p>Capacity Assessment Results:</p> <p>Formulate policies and plans Systemic – 4 of 6 Institutional – 2 of 3</p> <p>Implement policies and plans Systemic – 3 of 9 Institutional – 12 of 27 Individual – 5 of 12</p> <p>Engage and build consensus Systemic – 3 of 6 Institutional – 4 of 6 Individual – 1 of 3</p> <p>Mobilize information and knowledge Systemic – 1 of 3 Institutional – 1 of 3 Individual – 2 of 3</p> <p>Monitoring, evaluation, reporting and learning Systemic – 2 of 6 Institutional – 2 of 6 Individual – 1 of 3</p>
	<p>Management effectiveness at nine pilot sites</p>	<p>BBNP – 64 ZMR – 18 Mts. Iglit Baco – 60 Mt. Irid Angelo and Binuang – 21 Mt. Nug as Lantoy – 51 Mt. Hilong – 15 Mt. Nacolod – 10 Tawi tawi – 27 Polilio islands – 47</p>
	<p>Incorporation of BD conservation goals in local plans</p>	<p>Isolated efforts only by a few PAMBs and NGO partners</p>
	<p>Operational Manual for local management bodies</p>	<p>Inadequate for use by existing PAMBs; no Manual yet for local management bodies of new conservation areas</p>
	<p>Capacities for M and E</p>	<p>Weak for existing PAs; no M and E protocols for new conservation areas</p>
	<p>Awareness and support from stakeholders for national PA system</p>	<p>Limited awareness and support, as evidenced by: (i) only 10 legislations passed to date; (ii) limited amount of IPAF (US\$ 2.98 Million); (iii) high degree of threat of KBAs; (iv) high degree of threat of major biogeographic zones from infrastructure development</p>
<p>Outcome 3:</p>	<p>National level capacity to manage financing of the PA system</p>	<p>Limited capacity by PAWB to manage financing for national PA system</p>

Enhanced financial sustainability of the terrestrial PA system	PA Financial Sustainability, as measured by Financing scorecard	Legal and regulatory framework – 33.3% Business planning – 19.6% Tools for revenue generation – 17.54% Total – 24.48%
	Number of sites with capacities for financing, business planning and cost effective management	Nil
	Number of PAs/CAs using new tools and mechanisms for sustainable financing	Nil
	Access to IPAF and levels of collection	IPAF annual allocations legislated through General Appropriations Act US \$ 2.98 Million

MAIN STAKEHOLDERS

The NewCAPP Project identifies multiples main stakeholders from the design / inception phase onward in order to engage throughout the Project’s development and implementation. Stakeholders’ expected roles as well as responsibilities were also identified early on the Project’s design. The identified stakeholders are at the national, regional and local level (such as government units, academic institutions, non-governmental organizations). At the design and inception level the stakeholders identified were also from multiple areas of work, not only those that dealt directly with protect areas, but also in other sorts of institutions and organizations that might deal tangentially with PAs. Besides (evidently) the implementing partner agency, the Biodiversity Management Bureau (BMB) of the Department of Environment and Natural Resources (DENR), these were indigenous peoples organizations, government institutions dealing with indigenous peoples issues [such as National Commission on Indigenous Peoples (NCIP)], or agencies that deal with local government issues (such as the Department of Agriculture, Housing and Land Use Regulatory Board), or the productive sector Department of Trade, and Industry and the Department of Tourism).

At the design level there was also an analysis whereby each stakeholder’s roles, responsibilities and expected involvement in the Project was defined. The implementing partner’s involvement (at the time of project approval this was PAWB) is defined as the entity responsible for managing the Project. The role of other national government agencies is also identified. For instance, NCIP is defined as a major partner of the Project and its role to facilitate linkages with the IP groups in the sites, support in the development of policies to support IP management of PAs, and to facilitate issuance of certificate of precondition for activities to be undertaken in ancestral domains is outlined. Furthermore, the Protected Areas, Wildlife, and Coastal Zone Management Sector (PAWCZS) of DENR regional offices were to act as extensions of PAWB for the implementation of activities at the site level. Other national institutions (such as Department of Interior and Local Government (DILG), the Department of Tourism (DOT), would engage with the Project in their particular capacities and areas of work. Furthermore, the roles

of non – governmental organizations were defined, including their co – financing of project activities, and their role as implementation partners at the local level together with local authorities and indigenous peoples’ organizations. Roles of other stakeholders were also outlined for academic/research institutions and for the private sector. For the former, it was stated that they would assume research and sharing of scientific information and other advocacy activities in the sites regions and provinces. Regarding the latter, it was stated that Project would engage actively with the private sector to influence their actions, explore potential investment opportunities within the framework of site management plans, and seek their direct support to finance implementation of defined activities in each site. Lastly, the stakeholder analysis delineates participation in the Project Board besides the implementing and partner agencies, with participation in the board suggested for NCIP, FASPO (DENR Foreign Assisted and Special Projects Office), National Economic and Development Authority (NEDA), and the participation of national NGOs.

EXPECTED RESULTS

The *Expanding and Diversifying the National System of Terrestrial Protected Areas in the Philippines Project* was designed to expand and strengthen the terrestrial protected areas system in the country. This was to be done by developing new protected areas’ models as well as by building capacity for the system’s effective management. This was to be supported by improved systemic (mainly funding) and institutional (mainly management effectiveness) capacities. The expansion of the national system was to recognize new conservation areas such as those managed by indigenous peoples (IPs), local communities and local government units (LGUs).

It was expected that the objectives would be achieved through several components/outcomes. These were:

Outcome 1: PA system of the Philippines has been expanded under new and diverse management regimes (ancestral domain, local government and community managed areas) to cover an additional 400,000 hectares of Key Biodiversity Areas (KBAs) and with enhanced potential for further expansion

- 1.1 – Modified PA regulations and/or laws to recognize new conservation areas as part of the national PA system:
- 1.2 – Nine ‘new-type’ PAs covering 400,000 ha are established within KBAs
- 1.3 – Programme for expansion of the national PA system

Outcome 2. improved conservation effectiveness through enhanced systemic, institutional and individual capacities

- 2.1 – Increased PAWB and DENR Regional Office capacities to provide technical assistance to PAMBs and other stakeholders in managing existing PAs and new conservation areas
- 2.2 – Negotiated agreements with indigenous groups and other local stakeholders at nine sites resulting in management plans that incorporate BD conservation goals and sustainable management of natural resources
- 2.3 – Enhanced management capacities in nine new-type PAs covering 400,000 ha
- 2.4 – Revised operational manual for national PAs and new manuals for ‘new-type’ conservation areas:
- 2.5 - Common protected area M&E frameworks and protocols
- 2.6 - Increased support from key stakeholders and decision-makers for the management and conservation of the national PA system, including new conservation areas

Outcome 3. Enhanced financial sustainability of the terrestrial PA system.

- 3.1 - Economic valuation studies of three new conservation areas
- 3.2 – Improved national-level sustainable financing tools and capacities
- 3.3 – Site-level tools for resource mobilization developed at new CAs
- 3.4 – Site-level tools for business planning and cost-effective management developed at new CAs
- 3.5 – Lesson learning and replication of sustainable finance tools among pilot sites.

3. FINDINGS

3.1 PROJECT DESIGN / FORMULATION

ANALYSIS OF LOG FRAME /RESULTS FRAMEWORK (PROJECT LOGIC /STRATEGY; INDICATORS)

As all projects of this sort, a key aspect of its design is the inception log frame/results framework which includes project strategy and logic as well as baseline and target indicators.² The NewCAPP Project's logic and strategy at the design and formulation level was fitting. The formulation documents identify adequately some of the major issues, threats, and other matters that hinder effective management of terrestrial biodiversity key areas in the Philippines. The threats (habitat degradation, land conversion and encroachment by different productive activities and increasing population; inappropriate land use planning; overharvesting of resources; infrastructure expansion) as well as issues that obstruct effective management (such as financial and capacity gaps) were correctly identified. The Project's logic and strategy therefore was to confront the financial and capacity gaps through the generation of outputs which would lead to the three expected outcomes (i.e. expand The Philippines' protected areas through new management regimes; improved conservation effectiveness through capacity building; and enhance financial sustainability of the terrestrial protected area system). Therefore, in terms of logic and strategy the design responded to an adequate rationale and it was designed as a strategic intervention.

As to the matter of indicators, some issues were identified by this evaluation. Some of the baseline indicators were not quantified, therefore making it difficult to establish measurable progress in attaining results or effects. Regarding the issue of expected outcome indicators, these have fallen short of contributing to a robust design. As indicated in many other documents³ (and a valorization this evaluation agrees with) several of the expected results indicators -- through which achievement of results and effects were to be measured-- were not adequate. The ultimate matter regarding indicators (and in and of itself and pointer to general design issues) is that several indicators were not achievable within the scope of the planned NewCAPP Project. The clearest case of this refers to the indicator of expected new land coverage of protected areas which would result out of the Project's implementation. As stated at the outcome level ["Outcome 1: PA system of the Philippines has been expanded under new and diverse management regimes (ancestral domain, local government and community managed areas) to

² In Annexes the Log Frame as presented in the Project Document is found.

³ Such as the Project's planning, monitoring and evaluation as well as reporting documents.

cover an additional *400,000 hectares* of Key Biodiversity Areas (KBAs) and with enhanced potential for further expansion”] as well as in other levels of the Project expected results. This level of land coverage resulted unfeasible within the scope of the NewCAPP Project and in many ways privileged a focus on extensive coverage and not on effective management and sustainable financing schemes. Given that the size of each protected area under new modalities was small (by their very nature of locally administered modalities as well as geographic / ecosystem limitations) this also implied that the Project had to work in too many sites, privileging quantity over quality of implementation issues in some cases as well as outspreading in too many areas and regions.

Therefore, although the Project design and formulation was adequate in terms of project logic and strategy, it was extremely ambitious in other terms. This was so particularly in terms of area expected to be incorporated as protected areas under the promoted new management modalities. The emphasis on incremental land to the degree indicated in the formulation, for instance, placed a burden to hasten declaration of PAs without adequate linkage with national priorities and national capacities to adequately manage and finance new PAs. Furthermore, the formulaic manner in which the project was designed also hindered (to some extent) meeting with expected results. For instance, the expectation that a project would produce policy and generate financial sustainability beyond piloting was unrealistic and beyond what the purpose or aim of project of this type (demonstrative) can achieve, in particular in the context of Philippines’ policy milieu and circumstances.

ASSUMPTIONS AND RISKS

At the design and formulation level a series of assumptions were identified and a risk assessment was anticipated. Four risks were identified; they were classified from Low (L) to Medium (M) risk. Also risk mitigation strategies were acknowledged. These are reproduced below.

Inclusion of ancestral domain lands into the national PA system or new conservation areas cannot be secured	L	The Ancestral Domain process allows indigenous groups to determine how their lands are to be managed. The underlying principle of Ancestral Domain is that they will be managed in ways consistent with historical land uses, which has largely ensured that AD lands are sustainably managed. Provided the NIPAS system has provisions for including Ancestral Domain, IP groups who wish to include their lands in NIPAS should not face any major obstacles. Even if unforeseen obstacles are encountered, the principle of sustainable development which underlies Ancestral Domain will ensure that these lands are sustainably managed, whether or not they are a formal part of NIPAS.
Pressure for natural resource extraction in PAs and prospective conservation areas continues	M	A common system-wide risk continues to be political pressure to allow mining, logging or other concessions within protected areas or in areas immediately adjacent, resulting in decreased habitat quality within the protected areas. During the proposed project, engagement with local communities particularly indigenous groups on Ancestral Domain lands will ensure that the link between local community development and sustainable management is maintained. Support will be provided to local stakeholder groups to strengthen their advocacy to ensure local conservation priorities are considered in decision making. The effectiveness of this approach has been demonstrated <i>inter alia</i> at the Samar Island National Park (SINP). At the national level, policy advice and advocacy will continue as part of the broader process of policy engagement for the national PA system.
Government budgetary constraints preclude adequate financing for the national PA estate, despite the improvements in PA financial management systems	M	Existing systems for revenue maximization which are underutilized (user fee systems, the integrated PA fund provision under NIPAS) will be leveraged to maximize the revenue stream for PA management under existing policy provisions and legal structures.
Long-term climate change leads to changes in the biodiversity composition of protected ecosystems, reducing the ecological significance of PA networks	M	Expansion of the PA network to encompass new Key Biodiversity Areas will account for potential climate change effects to the extent possible with existing knowledge. Strengthened systemic management capacity will increase the systems' ability to respond to future changes as they become clear.

The identified risks were adequate in most cases. In retrospective, however, some received a lower risk ranking than what has actually been the case. For instance, the identified risk of “Pressure for natural resource extraction in PAs and prospective conservation areas continues” as a medium risk is a rather lower ranking than what has actually been the case given that these pressures have increased or up scaled. Also, the greatest risk to the project’s results, and effects, as well as to its sustainability, has been the rather weak generation of national policy

(as will be indicated in the relevant sections of this report). This was not identified as a risk and perhaps due to this there was no mitigation strategy in this matter.⁴

LESSONS FROM OTHER RELEVANT PROJECTS INCORPORATED INTO PROJECT DESIGN AND LINKAGES BETWEEN PROJECT AND OTHER INTERVENTIONS WITHIN THE SECTOR

At the formulation and design level it was indicated that the NewCAPP project would: *“ensure that there is synergy with other Projects, and that all initiatives are consistent with the overall strategic directions and policy framework. The Project will maintain regular lessons sharing with relevant projects to continually sharpen approaches and improve development effectiveness.”* These linkages were to take place with projects supported by UNDP, GEF, and other multilateral and bilateral donors. Several of these projects were specifically identified and lessons from them incorporated in formulation and design. These were identified as follows:

- the WB/GEF supported Conservation of Priority Protected Areas in the Philippines (CPPAP), completed in 2002, which tested co-management approach with a newly established NGOs in providing livelihood support to local communities in the 10 priority sites.
- the EU supported National Integrated Protected Areas Project (NIPAP) which was completed in 2003, focused on strengthening management planning and monitoring tools in selected eight sites in the country and which produced technical guides for protected area management, built capacities of the PAMBs, and was the first project to fully implement the NIPAS.
- the ongoing UNDP/GEF Samar Island Biodiversity Project, provided much of the perspective on the effectiveness of local community and LGU involvement in protected area management, and the benefit of a fully aware and sensitized stakeholder community in warding off major threats to biodiversity.

A linkage that has arisen as a follow up and as a result of some aspects of the Project is connecting with the UNDP Small Grants Programme (SGP). This linkage will deal specifically with financial issues as they relate to livelihood of local actors and of indigenous people in relation to natural resources in protected areas.

⁴ A risk identified by the midterm review as well by some stakeholders for this evaluation which was not included in the planning and formulation process of the Project deals with currency devaluation. As noted in several documents the US Dollar devaluated vis-a-vis the Philippine Peso between the project start and its mid – point. However, from the present evaluation this is not perceived as a design failure given that predicting currency value in volatile financial markets is not expectable from a project.

Although not incorporated in design, a linkage with other sort of protected areas has become evident. That is, the Project identified that terrestrial/mountain CB-LCAs are now more standard in the coastal and marine environments where community-established and managed marine protected areas are common. In some cases, the Project has built upon the relations between communities and local governments that were already working together in coastal and marine protected areas previously to NewCAPP.

PLANNED STAKEHOLDER PARTICIPATION

Due to the nature of the *Expanding and Diversifying the National System of Terrestrial Protected Areas in The Philippines Project (NewCAPP)*, a widespread participation by different stakeholders was planned. Not only from national level institutions but also from regional and local organizations (governmental and non – governmental, academic, technical, etc.).

A robust set of stakeholders were, therefore, identified at the design and project formulation stages. This identification not only included the mere identification of the institution(s) or interest group, but also what the roles and responsibilities of each identified institution or group is and what their potential involvement in the NewCAPP Project was to be. It is notable that, at the planning stage, there was a broad identification of stakeholders and partners in a wide-ranging thematic manner. That is, stakeholders identified for possible participation were not only those dealing strictly with protected areas but also dealing with indigenous peoples, the productive sector, and advocacy groups.

REPLICATION APPROACH

The very nature of the NewCAPP project had an imbedded replication approach. That is, the NewCAPP project with its aim to create and initiate new models of protected area management in The Philippines has a replication aim entrenched. Although the replication approach per se is not clearly delineated in the formulation documentation (that is, there is no specific planning on *how* the new models would or will be replicated) the approach itself is rooted in the planning documents. It is stated that the project will develop and test the wider applicability of ideas relating to financing and managing PAs in the country. Furthermore, it is indicated that lessons learned from the test-replication process would be distilled to adapt the policy and legal framework of protected areas nationwide.

UNDP COMPARATIVE ADVANTAGE

The design of the project contemplated UNDP's comparative advantage, in particular as it relates to GEF – funded projects. The design of the NewCAPP Project acknowledged UNDP's comparative advantage in the areas of capacity building, human resource development, and institutional strengthening.

UNDP's Country Office in The Philippines has a long standing association with several of the key stakeholders of the NewCAPP Project which has allowed the agency to develop strong relationships with diverse institutional actors that potentially could or would have participated in the Project. UNDP's capital of information, knowledge management capabilities as well as its regional and global positioning and development of similar projects was also pointed as a UNDP comparative advantage at the design level. Furthermore, UNDP's capacity to impulse innovation was also an asset and comparative advantage that has had a certain degree of bearing on the NewCAPP Project. Thematic comparative advantage in innovative natural resource management with regards to UNDP is also (in this case) linked to developmental issues in the sense of livelihood promotion and financial sustainability. That is, a comparative advantage of UNDP for the case of the NewCAPP Project is its emphasis on sustainable development as regards to natural resource management. A very keen comparative advantage, and particularly suitable in the view of different stakeholders from The Philippine government, is that UNDP works fittingly with national development priorities. Lastly a comparative advantage is the agency's main modality of implementation (such as the National Implementation Modality – NIM in this case) that allows national partners to take ownership of projects and mainstream with national sustainable development policies in the country.

MANAGEMENT ARRANGEMENTS

The management arrangements made explicit in the project formulation are indicative of a multi stakeholder nationally implemented project. First of all, an implementing partner is set (Protected Areas and Wildlife Bureau (PAWB) of the Department of Environment and Natural Resources at the time of the formulation now the Biodiversity Management Bureau of the Department of Environment and Natural Resources (DENR)). The PAWB (now BMB), together with NEDA, was set to be accountable to UNDP for the disbursement of funds and the achievement of the project objective and outcomes, according to approved work plans. PAWB was set to manage the project in close cooperation with relevant national, regional and local partners (such as the National Commission for Indigenous peoples (NCIP), Leagues of Provinces, Cities and Municipalities, national NGOs, research and academic institutions, local NGOs, indigenous peoples' organizations, local communities, and provincial Governors, Mayors and local legislative bodies).

The formulation established a Project Board (PB), and a Project Management Unit (PMU). It was also established that, at the project pilot sites, the implementing partner would enter into Memorandum of Agreements with selected NGOs and/or designate any of its regional offices, to implement selected activities, based on agreed work and financial plans. The Project Board was to be composed of the DENR, PAWB, NCIP, Leagues of Provinces, Cities and Municipalities, a representative from national NGOs, representatives from the IP community from the civil society

organizations, NEDA and UNDP. The objective of this board was to provide overall guidance for the project throughout implementation making management decisions by consensus; ensuring coordination among agencies and key sectors; provide guidance to implementation to ensure consistency with national policies and strategies; complementation of the project with other initiatives of government and NGOs; provide oversight to the work of the implementing units and organizations, monitoring progress; review financial management and annual financial reports; as well as monitor effectiveness of project implementation and structures.

The Project Management Unit (PMU) was to provide overall project administration and coordination with project sites. It was responsible for overall project management and monitoring according to UNDP rules on managing UNDP/GEF projects; facilitate communication and networking among key stakeholders at the national level; organize board meetings, and provide for the monitoring and supporting the activities of the site coordination units. At the local level similar structures were planned, including Local Responsible Partners (LRPs) where responsibilities set out and site – level coordination were to be driven by Local Site Committees.

3.2 PROJECT IMPLEMENTATION

ADAPTIVE MANAGEMENT (CHANGES TO THE PROJECT DESIGN AND PROJECT OUTPUTS DURING IMPLEMENTATION) AND FEEDBACK FROM MONITORING AND EVALUATION ACTIVITIES USED FOR ADAPTIVE MANAGEMENT

One of the key aspects of the NewCAPP Project’s success has been its management and the commitment of the management team. A gauge of this has been the adaptive management and inclusive adaptation that has been exercised throughout the Project, either explicitly through specific changes or implicitly through the adoption of significant managing and adaptive managing strategies.

For instance, and as a management response to the midterm review, the matter of expected new land coverage for protected areas that should have resulted from the Project, was reviewed. Although no specific change to project design and outputs was made, this indicator was re understood as an aim and not as a concrete goal due to its unfeasibility. Furthermore, the design addressed generally different innovative modalities in protected area management, since (at the time of design) many of these were being tested. For instance, some modalities mentioned (such as private protected areas) were not feasible to implement when taking into account The Philippine policy and social context at the time. Therefore, the management team concentrated upon and drove the adoption of new forms of management that while being innovative were feasible and pertinent within the country’s context (such as ICCAs and locally management schemes).

Also the management team adapted to national circumstances and privileged in many instances local over national activities when these were hindered for political or administrative reasons. Furthermore, the management team dealt with aforementioned devaluation issue, mentioned in the Assumptions and Risks section of this report, by diversifying funding sources to fill the gap the US Dollar currency devaluation presented. Furthermore, as will be seen in the section immediately following, management adapted to issues presented by partnership with stakeholders which (albeit planned for) did not develop as intended.

The midterm review generated nine recommendations, of which eight were specifically for the remaining period of project implementation after this review. The following section contains the recommendations of midterm evaluation and how they were addressed by the Project in the remaining period of implementation after the midterm evaluation.

RECOMMENDATIONS OF MIDTERM REVIEW AND PROJECT RESPONSES

1. *Recommendation: Focus on the qualitative gains of the Project.* PMU agreed with this recommendation given that, the Project had always maintained that the achievement indicator of 400,000 hectares as a total area of KBA pilots was unfeasible to meet. Therefore, the management response to this and subsequent work was to work on meeting more qualitative results than quantitative indicators, and to zero in on more targeted key biodiversity areas (the later through conducting biodiversity assessments and stakeholder consultations for the identification of KBAs).
2. *Recommendation: Chart the termination of project involvement in sites.* PMU charted and created a roadmap to conclude processes for establishing sites and modalities (ICCAs and LCAs). The Project also progressed at a faster rate of accomplishment in the second tranche of implementation after the midterm review.
3. *Recommendation: Help ensure community benefits for sustainability of conservation efforts.* The Project impelled some activities (PES, pilots, studies, etc.) that dealt with financial sustainability. Yet, it fell short in responding to this recommendation and the underlying issue of driving livelihoods and support for communities in order to provide incentives for sustainable management of PAs.
4. *Recommendation: Continue and strengthen policy work.* Project continued policy – related work. Some of the aspects of this recommendation were addressed and some were not. Albeit national policy mainstreaming was not achieved in the levels expected, Project continued cultivating work this area (with inputs, technical advice, etc.) yet lacking a clear strategy to promote the adoption of policies at the national level. Given this perceived gap early on, PMU strategically concentrated work at the local level where results were more tangible or achievable (such as work in the development of local ordinances and local management plans).
5. *Recommendation: Continue working on and with NCIP.* Project at all levels involved and engaged with NCIP in the second tranche of implementation. The results (due to this involvement and also due to changes within NCIP) resulted in an improved working relationship between NCIP, DENR, and the Project as a whole in the second implementation stage.
6. *Recommendation: Build on KAP Study and develop an Information, Education, Communication (IEC) Plan.* The Project addressed this recommendation by preparing a targeted detailed communications plan (which, at the time, was started in the context of an integrated Communications Plan of the newly named BMB).
7. *Recommendation: Ensure local co-management bodies to oversee and build on gains.* The Project promoted a very active role for sub national and local institutions, at times upheld by formal instruments such as memorandums of agreements and/or partnership agreements between relevant parties.
8. *Recommendation: Identify ForEx loss as risk in future projects.* This recommendation was for future projects, not for NewCAPP. Therefore, no action taken by the Project.
9. *Recommendation: Look forward to working on other modalities.*
The Project did not work in other modalities given that it was not feasible to do so for the second half of the implementation as there was no time to start demonstration of other modalities. It (suitably) concentrated in the LGU-LCAs and ICCAs modalities that were promoted from the beginning of the project.

PARTNERSHIP ARRANGEMENTS (WITH RELEVANT STAKEHOLDERS INVOLVED IN THE COUNTRY/REGION)

Partnership arrangements with relevant stakeholders were set out from design and formulation stages, for most cases. The arrangements worked very well in some instances (for example with IPs organizations, NGOs, with some institutional national partners such as the DOT, and at the local level interventions) while they did not work out easily with some partners at some stages of Project (such as with the NCIP at the national level).

In the instances that partnership worked well, it was found that this was the case due to the Project's drive for the concretion of products (specially the management unit drive) but also due to the flexibility used by the management team in recognizing issues and challenges of working at the local level. Furthermore, these successful partnership arrangements at the local level were aided by working directly with local actors or national institutions with presence and work in each of the locales where pilots took place. Other successful partnership arrangements entailed working on very concrete outputs and results together with partners (for instance, with DOT).

At the national level the Project had several issues in working with NCIP. Although the participation of NCIP in the Project (in particular in the Board) was stated in the formulation and project planning documents, the participation did not develop as expected, in particular in the early stages of implementation and at the national level. The BMB's relation with NCIP before the project, the lack of full joint work in similar projects before the inception of NewCAPP, as well as institutional constraints (such as high rotation of political personnel, lack of resources, unclear definition of roles, etc.) all hindered work in a partnership mode, especially at the beginning of the Project.

Throughout the implementation of the Project some stakeholders which were not fittingly included in the formulation were also involved. For instance, there was no planned coordination with the Housing Land Use Regulatory Board (HLRUB) in the formulation and early stages of implementation. This resulted in BMB working directly with local governments and local authorities without going through the proper institutional channels and at beginning stages ignoring the institutionally and policy present related to locally administered protected areas in The Philippines.

Therefore, partnership arrangements worked out in a mixed manner. With a greater degree of success and involvement at the local level and with non-State actors and with some difficulties and limitations with other actors.

PROJECT FINANCE / COFINANCE

The Project had a planned overall budget of 11 037 000 US Dollars. Of this total amount, the planned GEF financing at endorsement was 3 500 000 US Dollars, while the overall GEF financing at completion was 3 451 000 US Dollars (98.6 percent). The total planned co – financing was 7 537 000 US Dollars, while the actual co – financing was 5 627 000 US Dollars (that is, 74.6 percent of planned as co – financing). The following table includes the details of co – financial information of the NewCAPP Project with sources and type of co – financing. The total Project cost, therefore, was 9 078 000 US Dollars (82.2 percent of planned costs).

Table 2: Co – Financing of NewCAPP Project

Co-Financing Type/Source	UNDP Own Financing US \$		Government US \$		Partners (NGOs, LGUs and Communities) US \$		Total US \$	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants/Cash	939 000	530 000	1 233 000	768 000	1 313 000	304 000	3 485 000	1 602 000
In kind support	104 000	110 000	1 507 000	2 721 000	2 438 000	1 194 000	4 049 000	4 025 000
Totals	1 043 000	640 000	2 740 000	3 489 000	3 751 000	1 498 000	7 534 000	5 627 000

MONITORING AND EVALUATION: DESIGN AT ENTRY AND IMPLEMENTATION

Monitoring and evaluation at entry point (that is, as it was designed) followed standard guidelines for this sort of projects. It included directives on the types of mechanisms to be used for monitoring and evaluation: inception workshop, inception report, Project Implementation Reports (PIRs), periodic monitoring through site visits, mid – term review, and final evaluation. That is, planned project monitoring and evaluation was to be conducted in accordance with established UNDP and GEF procedures. The Project Results Framework provided baseline and performance / impact indicators for project implementation along with their analogous means of verification. The METT tool, Capacity Assessment Tool, and Financial Scorecard were planned to be used as instruments to monitor progress in PA management effectiveness and capacity to manage and finance the national PA system. As indicated in the pertinent section above, some of the baseline indicators were not measured/measurable, but –overall–the basis on which the project's monitoring and evaluation system was constructed was suitable. Therefore, given the above, the monitoring and evaluation design at entry is rated as S (*Satisfactory* (S): minor shortcomings).

The governance structures set up for the NewCAPP Project were also meant to fulfil monitoring roles. For instance, the Project Board was set to fulfill monitoring roles by providing oversight to the work of the implementing units and organizations, monitoring progress,

reviewing financial management and annual financial reports, as well as by monitoring effectiveness of project implementation.

At the implementation stage, these monitoring and evaluation guidelines and design were fairly closely followed. Progress reports were produced accurately, timely and responded to reporting requirements. Thorough reports on implementation were produced. However, the midterm review was carried out later than planned due to operational issues. Recommendations arising out of midterm review were tacitly incorporated in the management of the concluding implementation period, yet no formal change to log frame or indicators was established. Some members of the Board did fully take on monitoring capacities, however with sporadic participation from some other key partners that were part of this governance body.

Therefore, overall monitoring and evaluation at implementation is qualified as *moderately satisfactory*. Taking into account monitoring evaluation at entry/design and the implementation of the monitoring and evaluation system, the overall quality is rated as *satisfactory*.

UNDP AND IMPLEMENTING PARTNER IMPLEMENTATION / EXECUTION COORDINATION, AND OPERATIONAL ISSUES

UNDP and Implementing Partner implementation, execution, coordination, and operational issues worked positively between the institutions without major concerns. As UNDP has had a long working relationship with DENR, the Project built upon this work. As pointed out elsewhere in this report, many stakeholders have pointed out that the National Implementation Modality (NIM) used in this case allowed for the national implementing partner to take ownership of the Project therefore aiding execution, coordination and operational issues.

It is key to point out that the local and regional dimensions were very important in this project, also in matters of operational issues and implementation. The work with local authorities and indigenous peoples' organizations was a very significant component of the Project. Also, the NewCAPP Project included in its implementation processes Local Responsible Partners with seven national and five local non – governmental organizations in the environmental sector and protection of indigenous people's human rights. Albeit UNDP did not have a direct coordination role and operational issues at these levels, implementation, coordination and operational issues worked well overall also at these levels.

The overall quality of project implementation and execution has been *satisfactory*. This includes a *satisfactory* appraisal of the implementing agency's execution as well as a *satisfactory* rating of the Executing Agency's execution. As seen in the sections above, as well as other relevant sectors throughout the present report, this appraisal is based on the finding that only minor shortcomings were discerned and for the positive coordination between both agencies.

3.3 PROJECT RESULTS

OVERALL RESULTS (ATTAINMENT OF OBJECTIVES)

The NewCAPP Project obtained (at the product, process, effect, and at the outcome level) a very strong set of results. The major achievements and processes sustained are listed below and an analysis of the achievements follows after this sub section of the report.

- ✚ Project has worked on 14 sites in 10 KBAs, covering 439 485 hectares, by:
 - strengthening managing capacities in 102 433 hectares (23% of NewCAPP KBAs) of existing PAs (Mt. Kalatungan, Mts. Iglit Baco and BBNP)
 - working on establishment of 148 342 hectares to establish LCAs and ICCAs within these KBAs
 - registering of four ICCA sites (Mt. Kalatungan, Cabangon, Zambales and Mt Hilong hilong) at the Global ICCA Registry
 - establishment of LCAs in Polillo, Tawi tawi, Nug as and Mt. Nacolod have been established through local ordinances; and additional critical habitats in Mangatarem and Tapulao
- ✚ Two main innovative alternative approaches for expansion of the national PA system developed (LCA and ICCA), for this procedures were established and supportive policies drafted
- ✚ Executed Order recognizing other forms of governance prepared for endorsement to the DENR Secretary (submitted)
- ✚ Technical Bulletins on LCA and ICCAs reviewed by BMB Technical Review Committee
- ✚ DAO recognizing KBA list drafted for endorsement to the DENR Secretary
- ✚ LCAs and ancestral domains categorized as environmentally critical areas in the Revised Guidelines for Coverage Screening and Standardized Requirements for PEISS
- ✚ ICCA Bill approved at Committee levels at House and Senate
- ✚ Draft concept paper for the establishment of a Registry of CA prepared and submitted to UNEP/WCMC for technical assistance
- ✚ Support to BMB in PA System Master Plan preparation which incorporates new conservation areas - ICCAs and LCAs
- ✚ PTFCF and FPE adopted ICCA as program strategy
- ✚ PAME adopted ICCA and LCA processes in the establishment of 100 new “protected areas”
- ✚ Coordination with FMB to enhance FLUP Guidelines to systematically identify LCAs

- ✦ Coordination with NCIP to enhance ADSDPP procedures to systematically identify and protect ICCAs within ancestral domains
- ✦ Institutional strengthening of IPs through the establishment of the National ICCA Consortium - Bukluran ng mga Katutubo Para sa Pangangalaga ng Kalikasan ng Pilipinas (BUKLURAN) Inc.
- ✦ National ICCA Framework defined in Action Plan and Manila Declaration on ICCA enhanced thru the ICCA Consortium, a 2-year Action Plan of the Bukluran was developed
- ✦ National LCA Conference held in October 2014
- ✦ First and Second National ICCA Conferences held in March 2012 and October 2014
- ✦ LCA Guide published
- ✦ Draft ICCA Sourcebook prepared
- ✦ Community Conservation Plans (CCP) developed under ICCA process
- ✦ In Mt. Kalatungan, the CCP has been adopted and integrated in the PA GMP
- ✦ LCA Management Plans have been prepared in six sites
- ✦ In two sites LCA management plans incorporated the FLUPs in some municipalities (Palauig, Zambales; Argao, Cebu,) with efforts to integrate these plans in the CLUPs
- ✦ Final Draft of PAMB Ops Manual completed
- ✦ PAMB Orientation Materials completed and subjected to final review
- ✦ Review of BMS implementation completed; proposed DAO to improve the quantity and quality of information available to decision-makers in protected areas drafted and forwarded to BMB
- ✦ Forest monitoring plots established in ICCAs
- ✦ IP partners trained in GPS and monitoring techniques
- ✦ Draft of existing M and E of NIPAS PA Portfolio prepared
- ✦ Draft amendment to the SAPA Guidelines prepared and presented to DENR management
- ✦ PES mechanism for Mt. Kalatungan (MILALITTRA) developed
- ✦ PES Info Kit prepared and disseminated
- ✦ In partnership with DOT, Eco-tourism development is being pilot tested in Mt. Tapulao and Mt. Iglit Baco
- ✦ IPAF Handbook which lays-out step-by-step process of managing the Fund being updated based on JMC on RA 10629
- ✦ Technical Bulletins prepared in support of PA Financing
- ✦ PA Business Planning Guide from REECS to prepare Technical Bulletin in preparation.

Following is a chart of results against end-of-project achievement indicators. The chart also contains a discussion of assessment of results vis-à-vis end-of-project target level.

Figure 1: Results vis-à-vis end-of-project targets

Description of Indicator: Baseline Level	Target Level at end of project	Level of Achievement as reported in 2015 PIR	Assessment of Results
Objective: To expand and strengthen the terrestrial PA system in the Philippines by developing new PA models and building capacity for effective management of the system			
Expansion of the terrestrial PA estate: 59 terrestrial PAs covering 2.6 million hectares New PAs are established only through the NIPAS process No program for accelerated expansion of terrestrial PAs to cover new conservation areas	Additional 9 terrestrial PAs covering 400,000 hectares, bringing the total area of KBA under protection to 3 million hectares At least three new governance types IP, LGU and local community managed conservation areas recognized by Executive fiat as part of national PA system Program for accelerated expansion of terrestrial PA system to include new conservation areas within KBAs developed and ready for implementation	Partially Achieved	46 protected areas added to the Protected Area system. Furthermore, other qualitative indicators of further work emerge. Although these are not strictly indications of meeting with targeted levels per se, they point out that these achievements can be keystone in adding new protected areas and recognizing the types of PAs that the Project propelled (such as LCAs and IICAs). For instance, the national master plan for PAs that the Project spearheaded can provide further stimulus for this. The Project also drafted norms that were presented to government for strengthening protect areas in the country, yet they have not been adopted and current political setting (including foreseen changes in relation to upcoming elections) do not forebode immediate adoption of these norms.
Habitat range of 109 globally threatened species in 9 pilot sites protected: Expected to decrease by at least 10% per year	Increase by 200%	Achieved	Habitat declared as protected that encompass 186 globally threatened species.
Management Effectiveness in PAs and new conservation	Increase in METT scores in pilot sites by an average of at least 20% compared to	Achieved	METT Scores of NewCAPP sites increased by 31 points or 83% from the average baseline score of 37. This increase is strongly associated with the information now readily available as well (evidently) due to the recognition / establishment of the two main protection figures (ICCA and LCAs) as well

areas: Average of 35 in all nine sites (METT)	baseline levels METT scorecard applied in all PAs and new CAs as basis for supporting capacity development and implementing adaptive management		as to demarcation itself. However, the financial incentives and economic benefits of protected areas are not materializing for communities (as seen in other sections of this report). This has direct and indirect effect on METT scores (as will be seen in the financing indicators further below).
Financing of national PA system, including new conservation areas: Governance frameworks for sustainable PA financing 33.3% Business planning and other tools 19.6% Tools and systems for revenue generation and mobilization 17.54% TOTAL - 24.48%	Governance frameworks 79% Business planning and other tools 57% Tools and systems for revenue generation and mobilization 56% TOTAL - 65%	Partially Achieved	Target level was not fully achieved as indicated in PIR 2015 (which reports Governance framework for sustainable PA financing 52%, Business planning and other tools 46%, Tools and systems for revenue generation and mobilization 38%, TOTAL 46%). At the output level there was full accomplishment, yet the expected results were not fully realized (which is a key issue of bridging the gap from outputs to outcomes, a highly relevant issue in governance and financing components of the Project).
Capacity to manage national PA system: Systemic 43% Institutional 47% Individual 43%	Systemic 82% Institutional 73% Individual 71%	Partially Achieved	The 2015 PIR reports Scorecard marks as follows: Systemic 73%, Institutional 78%, Individual 86%, TOTAL - 81%. The achievements have been substantial according to the Scorecard tally in institutional and individual capacities. The underperformance is associated, again, in issues related to governance such as the formulation, adoption and implementation of plans with the capability to better manage protected areas in a systemic manner.
Outcome 1 PA system of the Philippines has been expanded under new and diverse management regimes (ancestral domain, local government and community managed areas) to cover an additional 400,000 hectares of Key Biodiversity Areas (KBAs) and with enhanced potential for further expansion			
Coverage of the national PA system in	Coverage of national PA system is expanded to include	Achieved	This is the most salient result of the Project and as an achieved target. The establishment of two new modalities (ICCA and LCAs) not only expanded areas under protection but also diversified management regimes.

terms of governance types: Limited to PAs established through the NIPAS process, managed by PAMBs only	new conservation areas under diverse governance types (IP, LGU and local community managed areas)		Additionally, the ICCA modality further recognizes indigenous peoples' human rights vis-à-vis natural resources. Areas have also been registered at UNEP-WCMC ICCA Registry or documentation submitted in order to be recognized. For LCAs, the Project has completed management plans, has received indications that funding for these is fore coming for initial implementation, and sites have secured policies to formalize the establishment of LCAs. Government (executive) at the national level is adapting to these new management regimes and incorporating in future management plans, therefore moving towards mainstreaming these new modalities in the future. As is pointed out in other areas of the report, governance issues as they relate to norms are still lacking, for instance bill on ICCAs (although it passed committee levels) has not been approved and due to political situation (including foreseen changes in relation to upcoming elections) do not forebode immediate adoption of this bill. Same situation is foreseen regarding bill that would legislate overall protected area system. Due to this, government has been adopting transient mechanisms, yet these are not a solid institutional framework.
Extent of the national terrestrial PA system in proportion to total area of the country: 0.08	0.1	Achieved	The target in hectares has been achieved increasing overall coverage.
Representation of KBAs in biogeographic zones and ecosystem types in the national PA system: Greater Luzon BZ 48% Mindoro BZ 49% Greater Negros Panay BZ 47% Greater Mindanao BZ 32% Sulu BZ 29%	Greater Luzon BZ 56% Mindoro BZ 81% Greater Negros Panay BZ 50% Greater Mindanao BZ 37% Sulu BZ 46%	Partially Achieved	In part due to new knowledge on key biodiversity areas that was harnessed throughout the development of the Project (through better knowledge, through biodiversity assessments and a landscape approach, as well as negotiations with local stakeholders) the extent and locations of zones to be declared as conservation areas increased from baseline result. Therefore, the areas placed under conservation status embody only a portion of the total area of pilot KBAs of NewCAPP. Nevertheless, the results were achieved to some degree.
None	Expansion and diversification of the	Achieved	Protected area system in the country expanded (quantitative coverage) and diversified (definition and demarcation of new modalities). It is expected

	national PA system is guided by a 5 year program		that these will be embraced by a master plan that recognizes the new modalities.
Outcome 2: Improved conservation effectiveness through enhanced systemic, institutional and individual capacities			
Formulate policies and plans: Systemic -- 4 of 6 Institutional -- 2 of 3	Formulate policies and plans: Systemic 6 of 6 Institutional 3 of 3	Partially Achieved	Policies and plans have been formulated, yet the Project identifies gaps in support for protected areas from different sectors (including some areas of government and the private sector).
Implement policies and plans Systemic -- 3 of 9 Institutional -- 12 of 27 Individual -- 5 of 12	Implement policies and plans: Systemic -- 6 of 9 Institutional -- 18 of 27 Individual -- 8 of 12	Achieved	Studies, reports, and partner activities identified the weaknesses in Protected Area management in the country as a starting point for the achievement of this expected output. The Project focused on identified policy weaknesses and this derived in the preparation of policies and plans to fill these gaps. Therefore, mainly at the output level (although not at the level expected for outcomes) there have been achievements in terms of institutional, systemic and individual policies and plans.
Engage and build consensus Systemic -- 3 of 6 Institutional 4 of 6 Individual 1 of 3	Engage and build consensus: Systemic 5 of 6 Institutional 6 of 6 Individual 2 of 3	Partially Achieved	Engagement with different sectors did take place at or above expected levels for some stakeholders (such as environmental NGOs and indigenous peoples' organizations). Nevertheless, engagement and consensus building with some sectors (for instance some divisions of government dealing with natural resources) has not been as strong as desirable.
Mobilize information and knowledge Systemic 1 of 3 Institutional 1 of 3 Individual 2 of 3	Mobilize information and knowledge: Systemic 2 of 3 Institutional 2 of 3 Individual 3 of 3	Achieved	The generation of tools and instruments for demarcation and management, as well as the setting up of new PA modalities have mobilized information at different levels (not only governmental, but also with different civil society groups).
Monitoring, evaluation, reporting and learning Systemic 2 of 6 Institutional 2 of 6 Individual - 1 of 3	Monitoring, evaluation, reporting and learning Systemic 4 of 6 Institutional 4 of 6 Individual - 2 of 3	Achieved	The Project has generated and catalyzed several products and process that aid in monitoring biodiversity in target areas (as well as, by extension, in national protected areas system).

Management effectiveness at nine pilot sites (as measured by METT scores in following sites): BBNP 64 ZMR 18 Mts. IglitBaco 60 Mt.Irid Angelo and Binuang 21 Mt.Nug as Lantoy 51 Mt.Hilonghilon g 15 Mt.Nacolod 10 Tawitawi 27 Polilio islands 47	BBNP 93 ZMR 79 Mts. IglitBaco 87 Mt.Irid Angelo and Binuang 76 Mt.Nug as Lantoy 95 Mt.Hilonghilon 79 Mt.Nacolod 78 Tawitawi 74 Polilio islands 90	Partially Achieved	Although an increase in METT scores has been tallied in a significant degree from baseline, indicators of management effectiveness in pilot sites were not fully achieved. As the Project and other reviews have indicated, this is partially due to overambitious indicators.
Isolated efforts only by a few PAMBs and NGO partners	ADSDPP 4 (BBNP, ZMR, Mts. Iglit Baco, Mts. Irid Angelo and Binuang) Resource management plans of local communities - 2 (Nug as Lantoy, Hilonghilon) LGU land use and development plans 3 (Tawi, Mt. Nacolod, and Polilio islands)	Achieved	Together with the declaration of new types of protected areas (LGUs and ICCAs) a series of products were developed to push forth management tools concurrently with these innovative modalities. Among these are resource inventories, habitat management plans, and resource management plans.
Inadequate for use by existing PAMBs; no Manual yet for local management bodies of new conservation areas	Operational Manual for local management bodies: Operational Manuals are implemented to strengthen capacities of local management bodies of existing PAs and new conservation areas	Achieved	At the product level this has been achieved, yet the Handbook for PAMB Operations and its accompanying training modules have not been fully implemented as of yet to discern effects.
Weak for existing PAs; no M and E	PAWB and local PA/CA Managers and staff have capacities to	Achieved	Biodiversity monitoring system implementation and monitoring and indicators for biodiversity assessments were reviewed with the intention of

protocols for new conservation areas	undertake M and E and use this information for adaptive management		having these issues incorporated in protected areas management plans in the future.
Limited awareness and support, as evidenced by: (i) only 10 legislations passed to date; (ii) limited amount of IPAF (US\$ 2.98 Million); (iii) high degree of threat of KBAs; (iv) high degree of threat of major biogeographic zones from infrastructure development	Increased awareness and support as evidenced by: (i) additional legislations passed to legalize establishment of more PAs and inclusion of CAs in the system; (ii) increased funding support from various sources; (iii) reduction in levels of destructive activities; and (iv) number of proposed development projects rejected for being incompatible with PA and CA management objectives	Achieved	Undeniably there is increased awareness regarding protected areas, new modalities, local governments' role in PA management, as well as indigenous human rights as it relates to ICCAs. However, some expected outcomes have been achieved and others have not within this area. For instance, although additional legislation to legalize establishment of PAs and new modalities have been proposed at the national level, these have not been approved and remain at the bill level. There is additional funding from cooperation sources (UNDP and GEF, as well as bilateral) and this (at least for UNDP and GEF) is in part attributable to the Project achievements. Regarding the reduction in levels of activities with a potentially high detrimental impact on PAs, there have been plans drawn that specify this. The LCA Management Plans and ICCA/CCPs specify that there will be no destructive activities that will be allowed in PAs and support policy for this has been enacted in some areas. In some areas IPs have resisted extractive industries that can potentially threaten their livelihoods, and legal cases have been filed when productive industries conflict with protected areas. The upscaling and fulfillment of reduction in level of destructive activities at large scales as well as the rejection of proposed projects that are rejected for being incompatible with PA management remains to be tested in a wider scale than the span of the Project.
Outcome 3 Enhanced financial sustainability of the terrestrial PA system			
Limited capacity by PAWB to manage financing for national PA system	PAWB has improved capacity to use new tools and mechanisms to sustainably manage financing of national terrestrial PA system to include new CAs	Achieved	Capacity has been enhanced in – country in order to be able to implement and use tools for financing the management of national terrestrial PAs in The Philippines. The Project has provided technical assistance to BMB, generated studies and technical briefs, carried out training, as well as driven debates to impel this matter with recommendations of different methodologies that could be adopted at the national levels (user fees, PSA, etc.). These inputs have been imbedded to a great degree in the PA System Master Plan that The Philippines is debating. PSA pilots were implemented. Therefore, although it cannot be said that there has been substantial enhanced financial sustainability of the terrestrial PA system in the country, the Project has piloted and delivered products and processes to improve capacity if in the Philippines financing features would be incorporated in future planning and management.
Legal and regulatory framework 33.3% Business planning 19.6% Tools for	Legal and regulatory framework 79% Business planning 57% Tools for revenue generation 56% Total 65%	Partially Achieved	Although target indicators were not achieved fully, there were advances in improving financing scores for PAs in The Philippines associated with the project. Several outputs have been achieved and pilots implemented, yet there is a need for upscaling and achieving the outcome at substantial levels.

revenue generation 17.54% Total 24.48%			
Nil	At least 3 new PA/CAs have capacities for site level financing, business planning and cost effective management	Achieved	At the product level the achievements have exceeded expected indicators. For instance, business planning was set for 18 selected PAs linking with other GEF – financed project. Demonstration and piloting processes have also taken place as part of this outcome.
Nil	Additional PAs/CAs benefit from use of learning manual, revised policies, and replication of sustainable financing tools and mechanisms for PA/CA management	Achieved	Technical assistance, preparation of business plans, training and other such products and processes have been produced or taken place as part of the Project.
IPAF annual allocations legislated through General Appropriations Act US \$ 2.98 Million	100% of IPAF collections automatically appropriated for PA management Increase in IPAF collections by 25% or to a level of US \$ 3.73 Million	Achieved	PA earnings are automatically retained within the PA to support implementation of its management plan, which represents a substantial increase in financial resources.

Figure 2: NewCAPP Sites



Project Site Summary Profile: 10 KBAs; 14 Sites, 6 LGU Managed, 8 IP-Managed (ICCA) (LGU-Managed: Mangatarem; Mt. Tapulao; Polillo Group of Islands; Mts. Nug-as and Lantoy; Mt. Nacolod; Tawi-tawi Island and ICCA: Banao Tribe, Kalinga; Balatoc Tribe, Kalinga; Cabangon, Zambales' San Felipe, Zambales; Mt. Irid Angelo; Mts. Iglit Baco National Park; Mt. Kalatungan; Mt. Hilong-hilong).

Source: NewCAPP Briefer, TTE, November 2015.

Table 3: List of Project Sites

Biogeographic Zone	KBA Name	Estimated Area of the KBA (hectares)	Location	NewCAPP Pilot Sites	Area of the Conservation Area (hectares) ⁵
Greater Luzon	Balbalan-Balbalasang National Park	20864	Cordillera Administrative Region Kalinga Province	1. ICCA of Banao tribe 2. ICCA of Balatoc tribe	23806 11000
	Zambales Mountains.	41137	Regions 1 and 3 Provinces of Zambales and Tarlac	3. ICCA of Cabangon, Zambales 4. ICCA of San Felipe, Masinloc 5. Local Conservation Area in Mt. Tapulao 6. Critical Habitat in Mangatarem, Pangasinan	3259 5000 13257 5743
	Mts. Irid Angelo and Binuang	115207	Region 4A Provinces of Rizal, Bulacan, Quezon	7. ICCA of Dumagat Remontados tribe	2625
	Polillo group of islands	20276	Region 4A Province of Quezon	8. Network of local conservation areas in Polillo, Bordeos and Panukulan 9. Additional LCAs in Jomalig and Patnanungan	7921 2408
Mindoro	Mts. Iglit Baco National Park	75445	Region 4B Provinces of Mindoro Oriental and Mindoro Occidental	10. ICCA of Tao Buid	16904
Greater Negros Panay	Nugas Lantoy	10457	Region 7 Cebu province	11. LGU LCA in Alcoy, Dalaguete and Argao	9649
Greater Mindanao	Mt. Nacolod	14000	Region 8 Southern Leyte province	12. LGU LCA in Mt. Nacolod KBA	40860
	Mt. Hilong – hilong	115000	Region 13 Provinces of Agusan del Norte, Surigao del Norte, Surigao del Sur and Agusan del Sur	13. ICCA of Mamanwa tribe – CADT 134	1,547
	Mt. Kalatungan	21248	Region 10 Bukidnon Province	14. ICCA of Menuvu tribe - Idsesenggelaha	4038
Sulu	Tawi tawi island	5851	ARMM, Tawi tawi	15. LGU LCA in Bongao, Tawi tawi	325

⁵ The area coverage of Balatoc IP community, Agta Dumagats in Irid Angelo and Aeta Abellen are still subject to confirmation.

Revisiting that the overall objective of the NewCAPP Project was *“to expand and strengthen the terrestrial PA system in the Philippines by developing new PA models and building capacity for effective management of the system. This will be supported by improved systemic (especially funding) and institutional (especially management effectiveness) capacities. The expanded PA system will have comprehensive risk ecological coverage and strengthened links to local communities and indigenous lands in the surrounding landscape, through the integration of new conservation areas”* it can be said that there has been a *satisfactory* achievement of overall results. This is apparent at several different levels such as products, outcomes, and effects. The main highpoints of these are:

- ✚ First, at the product level, the NewCAPP Project has brought about, produced and/or supported a series of knowledge management and functional products of high quality that have begun to be used to strengthen protected area management capabilities at different levels. These, with the correct follow – up, can be further utilized, disseminated, and implemented in order to improve management capacities in The Philippines for protected areas (not only for the new modes of PA management driven by the Project but also for other sorts of PAs). Throughout the evaluation, however, it has come to light that several of these products have not been published nor disseminated as of yet. There is, therefore, ample room for work for follow up (together with partners) to publish, disseminate, and carry out capacity building activities based on all the products generated via the NewCAPP Project. These products have also had the effect of providing bases for issuing local resolutions for the establishment/recognition of conservation areas.
- ✚ A major effect achieved by the NewCAPP Project has been through the work carried out with indigenous peoples’ organizations. The engagement with IP s has gone beyond achieving land coverage, it has also resulted in pertinent strengthened relation with these actors which are key to management of natural resources in the country. This has also enhanced the acknowledgment by State and non – State actors of indigenous peoples’ human rights regarding national resources, a straggling issue in The Philippines. The demarcation and recognition of areas where IPs and their organizations have specific human rights and a role to play in management is one of the main effects brought about by the Project. Furthermore, the work with IP s has also brought about best practices in peaceful conflict resolution between indigenous groups.
- ✚ The NewCAPP project has also formed and advanced a set of policy instruments that, if and when approved, can be keystone for sustainable and efficient

administration of new models of management in particular and of protected areas in general in The Philippines. The role of the Project in providing technical expertise and advice in the generation and enhancement of policy has created several conditions for the enhancement of protected areas management that if approved can be key to sustain management practices in PAs in The Philippines.

- ✚ METT scores have increased, attributable to the generation of information in the process of establishing LCAs, of documentation and recognition of ICCAs, as well as other improved conservation effectiveness through enhanced systemic, institutional and individual capacities. METT score increases can also be attributable to the effects that the generation of information in the process of establishing LCAs and of the documentation and recognition of ICCAs have had on PAs monitoring and improved planning process and identification.
- ✚ Another major achievement has been in piloting financing mechanisms. The successful piloting of some payment for environmental service mechanisms established by and through the NewCAPP Project also point to replicable and up scalable mechanisms in the future which, if they go beyond testing and piloting, can be positive for financial sustainability.

Overall, the Project has qualitatively achieved expected outcomes, although falling short of some quantitative indicators (which, in several cases and as indicated in the section on design was unrealistic to begin with) and in anchoring achievements in specific policy tools. The Project has successfully tested two new modalities for protected area management (IICA and LCAs). Therefore, in general, at the output and outcome level there have been several key achievements. A few breaches were identified, in particular when analyzing expectations, output and outcome indicators and actual results. First of all, although from this evaluation it is understood that a project as NewCAPP cannot –and should not be expected to– generate policy, implicitly and explicitly this was an expectation from several actors. When the Project, therefore, did not foster the achievement of policy which overall can aid in sustaining achievements, this is identified as a lack of continuous and sustainable success by many stakeholders. Second, and also linked to expectations, the matter of financial sustainability and more importantly livelihood promotion has been deemed as lacking. Although, again, it is understood by this evaluation that the Project would only have piloted financial aspects, many expectations were created for this anticipated result. When livelihoods, specially by indigenous peoples, are not substantially increased or enhanced, the expectations are not met and the possibility of sustaining financially protected areas while at the same time fostering development at the local level are hindered.

RELEVANCE

The relevance of a project within these sorts of evaluations is assessed based on the extent to which a project and its interventions and activities are suited to local and national development priorities and needs, as well as programmatic UN priorities. Within this area of analysis, the NewCAPP Project is relevant in several levels. First of all, it is consistent with the nation's development goals at the time of design and project approval, as articulated in The Philippines Medium Term Development plan (2004-2010) where it is expressed as an aim to fight poverty by building prosperity for the greatest number of Filipino people. It is understood that motivating this objective is the acknowledgement that mismanagement of The Philippines environment and natural resources is a major cause of poverty, particularly in rural areas. An expressed major support of the country's priorities for the medium term as it relates to its development goals is "strengthening the protection of vulnerable and ecologically fragile areas, especially watersheds and areas where biodiversity is highly threatened" aiming at to "Develop Protected Areas into viable management areas". Furthermore, the Project was aligned with the country's National Biodiversity Strategy and Action Plan (NBSAP).

Evaluations also include assessing project relevance within the programmatic needs as embodied in the UN Development Assistance Framework (UNDAF) and Country Programming documents. For the NewCAPP Project this relates to UNDAF Outcome(s)/Indicator(s): *By 2009, increased capacity of the stakeholders to protect/enhance the quality of the environment and sustainably manage natural resources.* At the Country Programming level, NewCAPP relates to the following expected outcome *"Key stakeholders are better able to manage environment and natural resources, develop and use sustainable energy sources, cope with the impacts of environmental emergencies and maintain sustainable development Number of inconsistent environment and natural resources policies harmonized/ standardized".*

Furthermore, the Project has been specifically aligned with GEF priority areas. The project supports GEF Focal Area and strategic priorities in different ways. For instance, by contributing to the achievement of GEF's Biodiversity Strategic Objective 1 on catalyzing sustainability of protected areas. Specifically, by dealing with what GEF's Focal Area Strategy defines as the three characteristics of sustainable protected area system (revenue/financing, representativeness of ecosystems, and capacity).

In broader more conceptual terms the Project has been pertinent in the sense that the overarching issue of loss of biodiversity and unsustainable use of natural resources (particularly as associated to land, mountainous regions, and forests) is still a pivotal problem in the country. Illegal logging, encroachment, mining are still threats present to natural resources in The Philippines, and the Project in its attempt to address the matter by asserting the creation of new models of PA management and piloting financial sustainability arrangements is relevant to the

problem. Therefore, given this fit with national as well as UN programmatic and developmental priorities it is considered that the NewCAPP Project was *relevant*.

EFFECTIVENESS AND EFFICIENCY

The effectiveness of a project is defined as the extent to which its objective has been achieved or how likely it is to be achieved. Effectiveness is the degree to which the development intervention's objectives were achieved. The valorization of effectiveness or efficacy is used as an aggregate for judgment of the merit or worth of an activity, (i.e. the extent to which an intervention has attained, or is expected to attain, its major relevant objectives proficiently in a sustainable fashion and with a positive institutional development impact). While efficiency (or efficacy, or furthermore, cost-effectiveness) is defined as the extent to which results have been delivered with the least costly resources possible. Efficiency is a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

Overall, the effectiveness is indicated by (as specified above in the section on results) the achievement of specific objectives and outputs including knowledge management products, processes aiding in policy formulation, expansion of new diverse management regimes, demarcation and recognition of new models of protected areas management, as well as piloting financial systems to support protected area management directly and / or indirectly. Efficiency is likewise manifested in that several outputs and effects have gone beyond what was expected of the NewCAPP Project in its inception.⁶

Effectiveness also refers as to how risks and risk mitigation were managed by the Project. The Project aptly managed several of the risks (foreseen and unforeseen) that presented themselves throughout the implementation process. Risk mitigation for instance was part of the explicit strategy to work at the subnational level that the Project implemented in order to further results when at the national level there was slow level of assimilation of NewCAPP's outputs. Furthermore, the Project had an effective approach in working directly with indigenous people's organizations and different tribes in order to promote IICAs, thus mitigating risks that could have arisen if new if this new PA modality would not have been accepted.

Regarding efficiency, the NewCAPP Project has used resources/inputs (funds, expertise, time, etc.) and converted results in an efficient manner. This is also pointed out by the devaluation of the US Dollar vis-à-vis the Philippine Peso which affected the net amount of funds available for implementing the Project, which the NewCAPP Project efficiently handled although it was not a risk identified *a priori*. Project was also efficient given that the systems in place for

⁶ The issues of sustainability and expected positive institutional development impact will be taken up in the pertinent sections of the report.

project management were effectual. This is key when considering the large number of sites, the very diverse stakeholders involved as well as the different levels and divisions of government that participated in different capacities.

Furthermore, partnership arrangements for the Project (regarding the broad extent that the NewCAPP project generated, encouraged and supported partnerships/linkages with and between institutions/organizations specially those working at site levels) was very effective and efficient. The Project efficiently utilized local capacity in implementation with effective collaboration between institutions responsible for implementing the project, particularly at the site and local levels. Therefore, it is valued that the NewCAPP Project effectiveness and efficiency have been *satisfactory* given that it has achieved a great number of its intended objectives and expected outputs with proficiency.

COUNTRY OWNERSHIP

Country ownership was persistently high during the course of the Project. Although at the inception and formulation phase there were some difficulties regarding ownership of the Project given that there were questionings to developing new Protect Areas in the country while the country has difficulties in managing, supporting, and maintaining the already declared PAs, these doubts were rectified throughout the implementation of the Project leading to a strong ownership level at the national (and very importantly in this project) at the local level. Country ownership, therefore, was not only manifested at the national level, but also at the local level, by indigenous peoples, and by non – governmental stakeholders, manifested by appropriation of processes, products, and results by institutions. Although in general this ownership was high, it was not so at all levels. This is the case with policy at the national level particularly. Although the Project aided and contributed to the generation and adoption of policy as well as clear institutional strengthening, this has not occurred at the national level in sufficient ways to manifest full country ownership.

MAINSTREAMING AND REPLICATION

Although the NewCAPP Project is clearly an intervention that seeks to develop, enact, and implement new modes of protected area management in the country, mainstreaming is an intrinsic characteristic of the Project. That is, notwithstanding the innovation(s) that the Project pursued, tools and policies were also sought in order to mainstream these innovative models and approaches for PAs management. As a result of the Project, therefore, serious attempts were made to mainstream these new modes of PA management. And, as will be more thoroughly indicated in the sustainability sector of this report, there has been a varied degree of success in achieving mainstreaming capabilities thus far. For several reasons, full mainstreaming into national policy of these new models has not been achieved. Yet at the local level (with local

government units as well as with indigenous peoples' organizations) several achievements have been reached (such as demarcation, ordinances, management plans adopted, etc.) that mainstream or have the potential to mainstream achievements.

Regarding replication, it is also likely that this would take place to some extent. Local Government Units as well as Indigenous Peoples organizations have indicated (expressly and tacitly) that other such organizations and institutions are keen to replicate the models of PA management innovatively established through the Project. A significant issue regarding replication, mainstreaming and follow up that could originate out of the recently approved GEF-financed project *“Strengthening National Systems to Improve Governance and Management of Indigenous Peoples and Local Communities Conserved Areas and Territories”* to be implemented by UNDP in The Philippines. This project builds upon the achievements of NewCAPP, explicitly and implicitly. The new project's aims are to strengthen the conservation, protection and management of key biodiversity sites in the Philippines by institutionalizing Indigenous Peoples and Local Communities Conserved Areas and Territories (ICCAs) as a sustainable addition to the national PA system. Not only replication but also mainstreaming is pivotal to this new project given that its aims are to be achieved through the strengthening of legal and regulatory frameworks and administrative procedures to effectively identify, map, recognize and support the governance and management of ICCAs. Although other sites than those of NewCAPP will be the locations where the new project will work, it is still a unique opportunity to continue to work on mainstreaming and of course to replicate NewCAPP's success.

Furthermore, the Project has to a great extent successfully mainstreamed with relevant UNDP priorities. The Project has converged mainly with UNDP priorities regarding governance as well as the support of human rights (particularly human rights as they pertain to indigenous peoples) as a cross – cutting issue. As regarding governance, the Project has contributed to generate capacity and tools to improve governance regarding Protected Areas in The Philippines and (by extension) regarding natural resources. The Project's outputs and processes aimed at improving governance at the national and subnational levels not only in governance in a strict sense (norms, management plans, etc.) but also impelled capacity building at the institutional level regarding financial sustainability of natural resource management. Regarding gender, although there has not been a thorough and comprehensive gender perspective nor a gender equality strategy fully incorporated in activities, processes, and other such matters related to the NewCAPP Project, some products have been developed that take into account gender issues. For instance, the development of a product that provides guidelines for gender responsive plans and strategies for local protected areas as well as including gender issues as a cross – cutting subject

in some other activities (training, conferences, etc.).⁷ Regarding the support of human rights (besides evidently gender rights as a human right), the Project promoted the recognition of indigenous people's rights with regard to natural resources as well as developmental rights.

SUSTAINABILITY

Terminal evaluations, when dealing with sustainability, assess "the likelihood of sustainability of outcomes at project termination". Sustainability is normally considered to be the prospect of continued benefits after the project ends. Consequently, the assessment of sustainability considers the risks that are likely to affect the continuation of outcomes. Guidelines for GEF – funded UNDP implemented project evaluations establish four areas for considering risks to sustainability: financial, socio – economic, institutional framework, and environmental.

Regarding financial risks, an evaluation ascertains if there are financial risks that may jeopardize the sustainability of project outcomes as well as the likelihood of financial and economic resources not being available once GEF / UNDP grant assistance ends. The NewCAPP Project had a strong financial sustainability anticipated effect imbedded in its design since one of its three expected outcomes specifically deals with this issue (Outcome 3: Enhanced financial sustainability of the terrestrial PA system, and its associated expected outputs: 3.1 - Economic valuation studies of three new conservation areas; 3.2 – Improved national-level sustainable financing tools and capacities; 3.3 – Site-level tools for resource mobilization developed at new CAs; 3.4 – Site-level tools for business planning and cost-effective management developed at new CAs; 3.5 – Lesson learning and replication of sustainable finance tools among pilot sites). Financial sustainability, therefore, should be an effect or result of the intervention. Some indications exist that financial issues have been up taken due to the Project. For instance, a pilot dealing with Payment for Environmental Services has been implemented and will seemingly continue in the near future (with a high degree of replication capacities if the pilot is up scaled and replicated). Also, local and regional authorities foresee in some cases increased possibilities of funding at this level for site management in the near future. However, not all achievements are deemed sustainable financially as of yet. As indicated above and in other sections of this report work needs to be carried out to leverage sustaining the piloted financial schemes and livelihood related to income generation (in particular with regard to IPs) associated to protected areas. Lastly, the financial scorecard indicators that measure (among other matters) financial

⁷ UNDP-GEF-BMB NewCAPP. 2015. *Capacity Building on Gender Mainstreaming in Local Conservation Area Planning and Management: Guide for Developing Gender Responsive Plans and Strategies*. United Nations Development Programme (UNDP) – Global Environmental Facility (GEF) – Biodiversity Management Bureau (BMB) – New Conservation Areas in the Philippines Project (NewCAPP), Quezon City, Philippines.

sustainability indicates that these have been partially achieved and although there has been an improvement in PA Financing scores more needs to be done to improve capacity for sustainable and sustained system-wide financing. Therefore, the sustainability ranking regarding financial resources is *moderately likely* taking into account that there are moderate risks that could potentially affect this dimension of sustainability.

The main environmental risk that the project's eventual implementation of its products faces is climate change and its impact on protected areas. These impacts should carefully be considered in the future, in particular adaptation issues (a sustainability factor specifically called for by local stakeholders, in particular by IPs). Nevertheless, although climate change's effects are a growing risk in general in the country, it is not deemed as a high risk regarding the achievements of the project and regarding the environmental dimension of sustainability. Therefore, the sustainability ranking regarding environmental issue is *likely* taking into account that environmental risks are few with regard to sustaining achievements.

Socio-economic risks are the social or political risks that may threaten the sustainability of project outcomes. They are linked to the level of stakeholder ownership (including ownership by governments and other key stakeholders) and their capacity to allow for the project outcomes/benefits to be sustained over time. Stakeholder ownership at different levels is quite high for the NewCAPP Project, especially evident in the latter stages of implementation where some results and effects began to be clear. Therefore, regarding this aspect the probabilities of sustainability due to social support and ownership is high when contending with Project stakeholders. Outside of project stakeholder institutions or sub areas of government involved in the Project, the social and economic risks of threats to environmental areas remain very high in The Philippines, and they continue to present threats to sustainable management of protected areas (already existing before the Project as well as new ones driven by NewCAPP), in particular threats by mining and illegal logging/deforestation. These can create risk situations for the achievements reached. Therefore, the sustainability ranking regarding socio – economic issues is *moderately likely* taking into account that there are moderate risks that could potentially affect this dimension of sustainability

Socio economic risks and sustainability possibilities are closely linked to political risks, as well governance risks associated to frameworks, policies, and governance structures and processes that may pose issues regarding sustainability. At the policy level some achievements, in particular at the local level, indicate possibilities of sustainability of several of the accomplishments. For instance, this is the case with local ordinances approved for the establishment of protected areas within local governments. Although institutions have also been strengthened and the capacities uplifted to some degree in order to promote management and financing of protected areas, in particular regarding the new models, there are still many gaps that can conceivably hinder full likelihood of sustainability of achievements in the medium and

long run. Policy that can or could anchor institutional gains is still missing in many cases (in general, such as in policy tools recognizing different forms of governance of PAs and ICCA bills for example) given that many policy tools dealing with particulars of PA management and financial sustainability have not been approved. For instance, this is the case regarding policy tools dealing with new financing mechanisms such as PES. Government structures dealing with protected areas (such as BMB within the DENR) continue to be weak within the overall policy and institutional make up of government, and therefore their capacity to impulse and sustain gains and achievements is at times doubtful. Furthermore, the whole political setting in The Philippines as it affects natural resource management (including protected areas) is fragmented, with high rotation of officials, persistent leadership changes, and fragile. Although it is understood that this matter is beyond a Project's jurisdiction, it is nevertheless useful to acknowledge given that the interplay of political tools / policy, governmental budgeting, and political setting in the country is significant regarding potential for sustainability of achievements. Therefore, the sustainability ranking regarding institutional framework is *moderately unlikely* taking into account that there is substantial risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on.

The composite ranking of overall likelihood of risks to sustainability is *moderately likely*. That is that there are moderate risks that could potentially affect sustainability, but that there is a good likelihood that some, if not all, of the achievements and benefits of the NewCAPP Project would continue to be accrued after its completion.

4. CONCLUSIONS, LESSONS LEARNED AND BEST PRACTICES, RECOMMENDATIONS

CONCLUSIONS

The *Expanding and Diversifying the National System of Terrestrial Protected Areas in The Philippines* (NewCAPP) Project in The Philippines has ended with a series of significant achievements. The Project provided key drivers in the country for innovative models and ways to sustainably manage protected areas while attempting to strengthen the national PA system as a whole. Therefore, the main objective of expanding and strengthening the terrestrial PA system in the Philippines by developing new PA models and building capacity for effective management of the system has mostly been achieved.

The design of the NewCAPP Project was strategic since it recognized the major hindrances to sustainable management of protected areas in the country. These limitations (biogeographical representativeness; limited capacity for PA management; and limited financial sustainability) were tactically linked to the Project's expected outcomes (1. PA system of the Philippines has been expanded under new and diverse management regimes (ancestral domain, local government and community managed areas) to cover an additional 400,000 hectares of Key Biodiversity Areas (KBAs) and with enhanced potential for further expansion; 2. improved conservation effectiveness through enhanced systemic, institutional and individual capacities; and 3. enhanced financial sustainability of the terrestrial PA system). This notwithstanding, the Project faced some design and formulation issues that had to be contended with throughout implementation. First of all, the rather standard way in which it was conceived and formulated ended up in a rigid design that did not address local circumstances fully, in particular political issues and national circumstances. Related to this were the expectations set with regard to policy adoption and implementation in a national context that is –generally–not conducive to these rapid changes as well as overlooking that the role of a project is to promote and aid policy setting but that adoption falls out of the realm of a project as this. Second, the rather high expectations (for example, the very sizeable new land coverage expected to be protected as a result of the NewCAPP Project) were unrealistic. Third, a general conceptual and formulation issue was the contrast (and at times contradiction) between anticipated innovation and results expectations. That is, this Project had a very strong innovation component and the results expected at times were not realistic since the time, resources, and change that an innovation requires are not commensurate with the time, resources and changes perceivable within a project's life span.

Notwithstanding these design issues (which were overcome with explicit and tacit adaptation and perseverance by management, as well as their exceptional capacity and willingness to work in partnership with local stakeholders) the NewCAPP project presents at its conclusion a series of expected and unexpected achievements. They were brought about,

produced and/or supported by a robust series of knowledge management and functional products and tools of high quality that have begun to be used to strengthen protected area management capabilities at different levels. These products have also had the effect of providing bases for issuing local resolutions for the establishment/recognition of conservation areas, a key effect of NewCAPP. A major effect achieved by the NewCAPP Project has been through the work carried out with indigenous peoples' organizations. The engagement with IPs has gone beyond achieving land coverage, it has also resulted in pertinent strengthened relation with these actors which are key to management of natural resources in the country. This has also enhanced the acknowledgment by State and non – State actors of indigenous peoples' human rights regarding national resources, a straggling issue in The Philippines. The demarcation and recognition of areas where IPs and their organizations have specific human rights and a key role to play in management is one of the main effects brought about by the Project. The NewCAPP project has also formed and advanced a set of national policy instruments that, if and when approved, could be keystone for sustainable and efficient administration of new models of management in particular and of protected areas in general in The Philippines together with the methodological tools developed within the Project's framework. Another major achievement has been in piloting financing mechanisms. The successful piloting of some of the payment for environmental service mechanisms established by and through the NewCAPP Project also point to replicable and up scalable mechanisms in the future, which if they are implemented beyond testing and piloting, can be a significant catalyst for sustainable financing of PAs.

The roles and responsibilities of various stakeholders have also been strategic in the Project's results. The Project's relations and mutual support with local authorities and civil society institutions (including indigenous peoples' organizations as well as non – governmental organizations) has been positive and reciprocally supportive. Furthermore, the project mainstreamed several UNDP programming principles such as institutional capacity building and human rights.

As seen, a strong assemblage of products and effects has been achieved through implementation of the Project. Yet, some doubts remain as to the sustainability of some the achievements. Without forceful institutionalization of achievements (which to date has not fully occurred) the task remains to strengthen the socio – economic, financial and governance sustainability factors to secure achievements in the medium and long term.

The NewCAPP Project ends with successes, lessons learned, and clear outcomes. This implies that there is ample room to commend its achievements while at the same time see to pending sustainability issues and replicate as well as upscale its successes.

LESSONS LEARNED

- ✦ Projects that deal with multiple issues (such as this one that has dealt with productive matters, protection of natural resources, indigenous peoples, and local governance) should involve thoroughly all stakeholders in a clear way with clearly delineated roles.
- ✦ Involvement in concrete terms in joint implementation of different aspects of a project is crucial in order to create true partnerships.
- ✦ At the national level the Project had several issues in working with NCIP, a key partner evidently when dealing with issues regarding indigenous people. A lesson learned in this regard is that working with significant partners should not be unsystematic and should be thoroughly promoted throughout the whole life span of a project (formulation, design, and implementation).
- ✦ Concentrating on extensive rather than in intensive targets is not the most accurate strategy for projects that seek innovation and new models of natural resource management.
- ✦ Policy attainment, although expected in these sort of projects, goes beyond what can be achieved with the implementation modalities in place. A project should realistically be set out with accurate expectations when dealing with policy work, since it is not sufficient to just provide technical advice in order to adopt policy. That being said, however, if policy is still expected, a project should have clear strategies to accompany or foster policy, such as working with parliaments, promote civil society pressure groups, etc.
- ✦ Projects create and foster expectations, and when these are not fulfilled (for instance, in this case as in the matter of livelihoods of local people associated to the sustainable management of protected areas) this can create disengagement with the communities.

BEST PRACTICES

- ✚ The work with indigenous communities that the Project carried out can be deemed as a best practice given that its results went beyond the demarcation of new models of protected areas to be managed by these communities. The work with indigenous peoples and their organizations have aided in recognizing human rights to their ancestral lands, recognize their management practices as viable and environmentally sustainable, end conflicts over natural resources between tribes, and overall generate engagement at various levels. This was achieved, correspondingly, by the Project's management esteem and recognition of these communities.
 - Within this best practice, a significant sub topic arises relating to the resolution, within the Project's sphere of work, of a long standing conflict over natural resources between the Balatoc and Banao tribes in the Baguio region. The long standing conflict between the tribes obstructed obtaining ancestral domain titles. In the course of activities facilitated through the Project the conflict was resolved and this has led to implementing the establishment of ICCA and prepare, accordingly, a community conservation plan for the communal conservation area, together with ceasing hostilities between the tribes.
- ✚ Work with local governments has also been a best practice, in particular regarding capacity building and the impulse for the creation of policy tools, acknowledging that these tools are a necessary condition for enhanced management of protected areas but that if LGUs are to establish and manage PAs their skill sets need to be enhanced.

RECOMMENDATIONS

Given that this terminal evaluation and the Project has, evidently, concluded nearly all recommendations are for future programming. These are recommendations for corrective actions in future programming in design and implementation. However, since it is understood by this evaluation that a sort of follow up for the NewCAPP project will be carried out with the implementation of the newly approved project “Strengthening National Systems to Improve Governance and Management of Indigenous Peoples and Local Communities Conserved Areas and Territories”. Since this new project builds upon the achievements of NewCAPP, explicitly and implicitly, it is also an opportunity for follow up actions of NewCAPP as well as to affix achievements further and to establish sustainability of NewCAPP’s accomplishments. Therefore, several of the following recommendations can be ascertained as proposals to follow up or reinforce initial benefits from NewCAPP within the new project which is just beginning to be implemented.

RECOMMENDATIONS AT THE DESIGN LEVEL

21. Formulation and designs of these sort of projects should be more realistic, less overly ambitious, and should acknowledge the limitations that implementing such an intervention can have.
22. Progress indicators of implementation and effect incorporated at the design level should also be realistic as a way to guide and gauge whether or not results are being generated, and not set aims so high that are not feasibly reachable within a project.
23. Monitoring should be linked to above, using monitoring and evaluation processes to update project implementation as needed with formal changes to log frame or indicators as necessary and with regular reviews to comprise changes and necessary adaptations in view of what is learned throughout the implementation process.
24. Formulation and design should include flexibility factors, not be so rigid that the design does not acknowledge local circumstances, and the prevailing national and local political and social circumstances.
25. If projects continue to comprise expectations regarding policy as an effect, then clear strategies that go beyond technical advice should be imbedded in the projects in order to promote policy adoption.
26. In projects that promote innovation there should be a balance between novelty and expected results, acknowledging that innovative projects need time, resources, and profound policy changes before results are evident.

27. The participation of key institutions should be clearly stated from the design and formulation levels onward, with specific responsibilities, not being left to unclear notions, and where at all possible including concrete joint work within the sphere of a project. This is particularly the case where manifold issues are embarked upon within a project.
28. Exit strategy and sustainability factors should be part of the design of a project. This should include a realistic framework for results to continue after external cooperation ends. This exit and sustainability strategy should include, among other aspects, the following:
 - a. include schemes for overarching accurate sustainable financial structures;
 - b. arrangements for impelling the adoption of policy to sustain achievements even after project concludes; these would be arrangements that ensure that policy tools needed to sustain achievements in the medium and long term are developed and enacted.

RECOMMENDATIONS AT THE IMPLEMENTATION LEVEL

29. Implementation management should work closely with all partners, respecting their characteristics and local capacities, reinforcing how the accomplishments of this project were made.
30. Implementation should always work in a joint manner and build partnerships with regional and local authorities, as well as with civil society (NGOs, IPs, etc.) especially in projects with a very strong site and local component.
31. A stronger emphasis on livelihoods should be imbedded in development projects that deal with natural resource management, creating incentives for the communities and their members to incorporate sustainable management practices in their productive patterns and assimilate the benefits of protected areas for their own development while managing resources.
32. Regular review of the Project logic to account for changes and shifts in socio-political circumstances should be carried out throughout the implementation stage.
33. Knowledge management inputs and outputs should be promoted throughout the implementation stage of a project, promoting learning not only from in – country experiences but also to and from regional experiences, and acknowledging that just creating products (tools, manuals, etc.) is a necessary but not sufficient condition for individual and institutional capacity building.

34. If policy is an expected project outcome then a clear strategy for this should be designed and implemented in alliance with relevant stakeholders and partners, going beyond technical assistance to policy makers and increasing policy adoption advocacy.

RECOMMENDATIONS AT THE FOLLOW UP LEVEL

35. Other models which were not sufficiently recognized within the project can be explored in the near future, such as for example private protected areas and privately managed protected areas, other models of community-based conservation areas, and in other ecosystems.
36. The group of all produced materials needs to be published and disseminated in a user friendly manner, making sure that materials (tools, publications, manuals, etc.), including those produced by the project but not yet published are printed and/or made available in different formats. A type of knowledge management exercise gathering all materials could also be undertaken in order to gather the materials, identify existing gaps if any, and disseminate the resources. This can also be done to strengthen local and regional capacity acknowledging the different needs for this to happen (for instance, training and capacity building exercises needed).
37. Together with the above, a comprehensive communication plan should be developed and implemented, taking into account the different target audiences (policy makers, local authorities, non-governmental organizations, indigenous peoples, the international community interested in the project's achievements).
38. If possible within follow up, gaps and unmet products and goals should be taken up and generated / implemented (for instance, formulation and implementation of PA business plans; further enhancement of management plans, and updating any management / financial instrument as needed).
39. Policy work should be followed up, trying to secure policy that would provide workable institutional and governance sustainability to the achievements attained and articulating / mainstreaming work already done.
40. Follow up on financial issues is necessary, upscaling and institutionalization successful pilots (such as PES) and ascertaining that financial support assured and allocated for the new management models is indeed effected.

5. ANNEXES

TERMS OF REFERENCE

TERMS OF REFERENCE

Terminal Evaluation

PIMS # 3530 / UNDP-GEF Project ID #00071662 - Expanding and Diversifying the National System of Terrestrial Protected Areas in the Philippines Project (now known as New Conservation Areas in the Philippines Project – NewCAPP)

BACKGROUND

The importance of the Philippines in the world terrestrial biodiversity map rests in it being one of the seventeen megadiverse countries which host 70-80% of the world's life forms. Because of its size, the country is regarded to harbor more diversity of life than any other country on earth on a per hectare basis. Yet, it is one of the only two countries in the world – Madagascar being the other, which are both a megadiverse country and a biodiversity hotspot. The country has more than 52,177 described species, of which more than half are found nowhere else on earth. Of these, 491 threatened species already are listed in the 2004 IUCN Red List. Of more than 1,130 terrestrial wildlife species recorded for the Philippines, almost half (49%) are endemic; 157 are threatened, and 128 are threatened endemic species. The country is ranked as 5th in the world in terms of the number of plant species.

The archipelago is also now recognized as one of the most important centers of amphibian and reptile diversity in Southeast Asia. An estimated total of 359 species of amphibians (101 species) and reptiles (258 species) are now known in the country. Of the 359 species, 246 (68%) are endemic – currently the highest known percentage endemism among vertebrates. The Philippines is home to 576 species of birds, of which 395 species are resident breeders. Of the resident breeders, 195 species are endemic, while 126 are restricted range species (range size estimated to be < 50,000 sq. km.). This record makes the Philippines the 4th country in the world terms of bird endemism. About 45 species are either extinct in the wild, critical, or endangered. Forty of the 45 are endemic birds, making the Philippines the number one country in the world in terms of threatened endemic species of bird.

The archipelago is also home to one of the greatest concentration of terrestrial mammalian diversity in the world and the greatest concentration of endemic mammals in the world on a per unit basis. The most recent inventory of land living mammals includes 174 indigenous species, 111 of which are endemic, or about 64%. Despite this, the mammal assemblage in the Philippines is the 8th most threatened in the world, with 50 threatened species. The diversity and endemism is believed to be much more than what is reported due to lack of

information and knowledge on many of the country's KBAs. The country has one of the highest discoveries in the world, with 36 new species discovered in the last 10 years.

As a middle income country, the Philippines faces major threats to the biodiversity of its terrestrial areas. These include: habitat degradation and land conversion due to logging and increasing population; inappropriate land use planning; overharvesting of resources; mining threats and infrastructure development. The country's National Integrated Protected Areas System (NIPAS) has been the main government response to place important biodiversity areas under effective management. To date, a total of 240 protected areas covering 5.4 million hectares have been established, but this represents only 35% of the identified key biodiversity areas (KBAs). In order to protect the remaining biodiversity resources and ensure their sustainable use, there is a need to address key capacity constraints. These are: (i) biogeographical representativeness; (ii) limited capacity for PA management; and (iii) limited financial sustainability.

The expansion of the national PA system to recognize new conservation areas such as those managed by indigenous peoples (IPs), local communities and local government units (LGUs) is seen as an opportunity to accelerate the coverage of the existing system, before continued degradation set in the important KBAs. In partnership with key organizations, local communities and other stakeholders, the Project will directly address key barriers and establish solid foundations for accelerated expansion of the terrestrial system in the Philippines, supported by strong management capacities, and sustainable financing. It is envisaged that such expansion can be achieved through recognition and/or establishment of new governance mechanisms for establishment of new conservation areas such as indigenous community conserved areas (ICCAs), and LGU managed local conservation areas (LCAs); and make these part or complementary to the national PA system. The expanded PA system will have comprehensive ecological coverage and strengthened links to local and indigenous communities and their domains, surrounding landscape, through the integration of new conservation areas.

The major outcomes envisaged by the Project are: (i) PA system of Philippines has been expanded under new and diverse management regimes (ancestral domain, local government and community managed areas) to cover an additional 400,000 ha. of Key Biodiversity Areas (KBAs) and with enhanced potential for further expansion; (ii) improved conservation effectiveness through enhanced systemic, institutional and individual capacities; and (iii) enhanced financial sustainability of the terrestrial PA system. A copy of the Project Document and GEF CEO Endorsement is available at the PAWB and in GEF website.

The Project is implemented over a period of five years starting September 2010, covering ten Key Biodiversity Areas as pilot sites. It is managed by the Protected Areas and Wildlife Bureau

(PAWB) which has established a Project Management Unit (PMU) to implement certain outputs and coordinate the work of partners in pilot sites. A mid-term evaluation was completed in May 2014, and became the basis for refocusing of project strategies for the remainder of implementation.

These terms of reference (TOR) sets out the expectations for the Terminal Evaluation (TE) of the NewCAPP.

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

Table 1. Project Summary Table				
Project Title : Expanding and Diversifying the National System of Terrestrial Protected Areas in the Philippines Project (otherwise known as New Conservation Areas in the Philippines Project – NewCAPP)				
PIMS No.:	3530		At Endorsement (US \$ M)	At Completion ⁸ (US \$ M)
UNDP Project ID:	00071662	GEF Financing:	3.500	To be updated
Country:	Philippines	UNDP	1.044	To be updated
Region:	Asia	Government:	2.741	To be updated
Focal Area:	Biodiversity Strategic Objective 1	Other (NGOs, LGUs, communities)	3.752	To be updated
Operational Program:	GEF-4 Strategic Program: BD-SP3	Total Co-financing:	7.537	To be updated
Executing Agency:	UNDP	Total Project Cost:	11.037	xx
Other Partners Involved:	NGOs, local government units, IP and local communities	ProDoc Signature: March 2010		
		Date Project began: August 2010 (Inception Workshop)		
		(Operational) Closing Date:	Proposed: September 2015	Actual: Estimated at July 2015

OBJECTIVE AND SCOPE

⁸ To be determined in September, 2015.

The objective of the Project is to expand and strengthen the terrestrial PA system in the Philippines by developing new PA models and building capacity for effective management of the system. This will be supported by improved systemic (especially funding) and institutional (especially management effectiveness) capacities. The expanded PA system will have comprehensive ecological coverage and strengthened links to local communities and indigenous lands in the surrounding landscape, through the integration of new conservation areas.

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

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

EVALUATION APPROACH AND METHOD

An overall approach and method²⁹ for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects](#). A set of questions covering each of these criteria have been drafted and are included with this TOR (*TOR Annex C*) The evaluator is expected to amend, complete and submit this matrix as part of an evaluation Inception Report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Manila and selected project sites ([Annex A](#)). Interviews will be held with the following organizations and individuals at a minimum:

- Biodiversity Management Bureau of the Department of Environment and Natural Resources (DENR);
- National Commission on Indigenous Peoples (NCIP);
- Philippine National ICCA Consortium (BUKLURAN)
- GEF National Operational Focal Point
- Partner NGOs
- Participating local government units representatives

- Participating Indigenous Peoples communities

The evaluation will also hold discussions with major donor organizations with on-going and planned activities in the sector, such as GIZ’s Protected Areas Management Enhancement (PAME) Project, and USAID’s Biodiversity and Watersheds Improved for Stronger Economy and Ecosystems Resilience Project (B+WISER). Other organizations, which became partners of the Project during the course of implementation, should also be interviewed. These include the Philippine Tropical Forest Conservation Foundation (PTFCF), the University of the Philippines College of Forestry and Natural Resources (UPLBCFNR), and others. These organizations will be finalized during the kick off meeting with the Implementing Partner (IP).

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

EVALUATION CRITERIA & RATINGS

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

Table 2. Rating of Project Performance

Rating Project Performance		
Criteria	Comments	
Monitoring and Evaluation: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall quality of M and E	(rate 6 pt. scale)	
M & E design at start up	(rate 6 pt. scale)	
M&E Plan Implementation	(rate 6 pt. scale)	

IA & EA Execution: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Implementation/Execution	(rate 6 pt. scale)	
Implementing Agency Execution	(rate 6 pt. scale)	
Executing Agency Execution	(rate 6 pt. scale)	
Outcomes Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Outcomes	(rate 6 point scale)	
Relevance: relevant (R) or not relevant (NR)	(rate 2 point scale)	
Effectiveness	(rate 6 point scale)	
Efficiency	(rate 6 point scale)	
Sustainability: Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U).		
Overall likelihood of risks to sustainability	(rate: 4 point scale)	
Financial Resources	(rate: 4 point scale)	
Socio-economic	(rate: 4 point scale)	
Institutional Framework and Governance	(rate: 4 point scale)	
Environmental	(rate: 4 point scale)	
Overall Project Results	(rate 6 point scale)	

PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration.

The evaluator will receive assistance from the Country Office (CO) and Project Team to

obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Table 3. Status of Co-Financing, NewCAPP, as of March 2015

Co Financing Type/Source	UNDP Financing Million US \$		Own Government Million US \$		Partners (NGOs, LGUs and Communities) Million US \$		Total Million US \$	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants/Cash	0.939		1.233		1.313		3.485	
Loans/Concessions								
In kind support	0.104		1.507		2.438		4.049	
Other								
Totals	1.043		2.740		3.751		7.534	

MAINSTREAMING

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

IMPACT

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

CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of conclusions, recommendations and lessons.

IMPLEMENTATION ARRANGEMENTS

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

The Project Team in consultation with UNDP CO will be responsible for logistical arrangements for the field visits including setting up meetings and organizing in country travel. The Project Team will be responsible for liaising with the evaluator to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

The evaluation will commence when formalities are completed by September 1, 2015. The evaluator will present preliminary findings to the Project Board planned in October 2015. A draft Terminal Evaluation Report for comments will be submitted to UNDP within 15 days following the de-briefing. UNDP will coordinate comments from partners and share consolidated written comments with the consultants within 10 days after receiving the draft TE report. A final TE report with comments from partners incorporated will be submitted to UNDP no later than end of October 30, 2015; for consideration in the preparation of the Terminal Project Review/Project Implementation Review by UNDP-GEF.

EVALUATION TIMEFRAME

The Evaluation is expected to start by September 1, 2015 and have an estimated total input of 32 working days. The final work plan will be agreed jointly by the evaluator and UNDP upon submission of a draft work plan and methodology for discussion.

Table 4. Timetable for NewCAPP TE Preparation

Activity	Timing	Indicative Dates ⁹
Preparation To include orientation to the assignment, initial document review, and preparation/discussion of the Evaluation Plan	2 days	September 1 -2, 2015
Evaluation Mission	10 days	September 3-16, 2015

⁹ Estimates only. These will be validated during Inception.

Activity	Timing	Indicative Dates ⁹
Detailed document review, interviews with key project personnel and partners, stakeholder consultations, visits to selected sites		
Draft Evaluation Report Analysis and preparation of draft evaluation report highlighting initial findings Debriefing Preparation of Draft Evaluation Report including comments provided during the debriefing meeting	10 days	September 17-30, 2015
Final Report Preparation of Final Evaluation Report, including addressing comments from stakeholders on the first draft	10 days	October 1-14, 2015
Travel (for International Consultant)	4 days	During the evaluation mission

EVALUATION DELIVERABLES

The Team Leader/ International Consultant is expected to deliver the following:

Table 5. TE Deliverables

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation Mission.	Evaluator submits to UNDP CO
1 st Draft of the Report	Report with initial findings and analysis	5 days after the end of actual data gathering and field visits	BMB, NewCAPP PMU and UNDP CO
Draft Final Report	Full report, (per annexed template) with annexes	10 working days after the presentation of the 1 st draft to the BMB	Sent to CO, reviewed by RTA, PCU, GEF OFPs
Final Report ¹⁰	Revised report	Within 3 weeks of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

EVALUATION TEAM COMPOSITION

The Evaluation Team will be constituted by an International and a National consultant.

¹⁰ When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

The NewCAP Project seeks to engage the services of an International Consultant to lead the conduct of the Terminal Evaluation of the Project. The consultant must have at least demonstrated experience in handling international UNDP-GEF Biodiversity Project Terminal Evaluations in the past five (10) years. The International consultant who will also perform the role of a Team Leader will have the following profile/competencies:

- An effective evaluation manager with demonstrated experience in conducting international development evaluations; prior experience in GEF Project evaluations would be an advantage;
- Advanced degree in Natural Resources Management or Environmental Science or equivalent work experience;
- Demonstrated strong knowledge and experience in the application of Monitoring and Evaluation methods for development projects; knowledge of UNDP's results-based management orientation and practices;
- Familiarity with biodiversity conservation issues globally and in other developing countries with similar attributes like the Philippines;
- Knowledge and experience in diversification of protected area governance regimes, including recognition of ICCAs, and strengthening the role of sub national governments in biodiversity conservation;
- Demonstrated experience with implementation and/or evaluation of capacity-building efforts in developing countries, in the area of biodiversity conservation and sustainable forest management.
- Fluency in the English language and excellent oral and written communication skills.

The team leader should have at least 10 years' experience in the implementation of protected area management, PA system wide planning and monitoring, capacity building for PA management, and PA financing sustainability.

The evaluators should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Team Leader will report to the UNDP Country Director through the Team Leader – Inclusive and Sustainable Development Unit (ISD). The ISD at UNDP CO will provide support to the development of the evaluation work plan in consultation with key project partners. The Project team (PMU) will serve as the reference group for the evaluation and ensure the monitoring of satisfactory completion of evaluation deliverables.

In consultation with the International Consultant and as requested, the PMU personnel will make available all relevant documentation and provide contact information to key project partners and stakeholders, and facilitate contact where needed. The PMU team will also assist in

organizing any briefing de-briefing meetings including coordination of stakeholders' input in the evaluation draft report.

EVALUATOR ETHICS

The evaluator will be held to the highest ethical standards and is required to sign a Code of Conduct (Annex F) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the UNEG '[Ethical Guidelines for Evaluations](#)'.

PAYMENT MODALITIES AND SPECIFICATIONS

The International consultant will be contracted by UNDP and remunerated according to the reviewed and accepted financial proposal. The contract will be output-based and payment issued only upon delivery of satisfactory outputs/milestones.

Table 6. Payment Schedule

%	Milestone
10%	At submission and approval of TE inception report
40%	Following submission and approval of the 1st draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

APPLICATION PROCESS

Applicants are requested to apply online (<http://www.undp.org.ph.jobs>) by _____ (date). Individual consultants are invited to submit applications together with their CV for these positions.

The application should contain a current and complete C.V. in English with indication of the e-mail and phone contact. Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (including daily fee, per diem and travel costs).

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

RATING SCALES

Rating scale for performance

Rating	Explanation
Highly satisfactory (HS)	No shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Satisfactory (S)	Minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Moderately Satisfactory (MS)	Moderate shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Moderately Unsatisfactory (MU)	significant shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Unsatisfactory (U)	Major shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Highly Unsatisfactory (HU)	Severe shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency

Rating Scale for Relevance

Rating
Relevant (R)
Not Relevant (NR)

Rating Scale for Sustainability

Rating	Explanation
Likely (L)	Negligible risks to sustainability, with key outcomes expected to continue into the foreseeable future
Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained
Moderately Unlikely (MU)	Substantial risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risk that project outcomes as well as key outputs will not be sustained
Highly Unlikely (HU)	Expectation that few if any outputs or activities will continue after project closure

MISSION AGENDA

Date	Particulars	Persons
01 January (Fri)	Departure Argentina	International Evaluator
03 January (Sun)	Arrival Philippines	International Evaluator
04 January (Mon)	Meeting with UNDP Country Director <i>Venue: UNDP Office in RCBC Building, Makati City</i>	Titon Mitra – UNDP Country Director
	Meeting/Interview with UNDP-ISD Team Leader, UNDP Philippines <i>Venue: UNDP Office in RCBC Building, Makati City</i>	Amelia B. Supetran – Team Leader, UNDP- ISD
	Meeting with Biodiversity Management Bureau Director <i>Venue: Ascott Hotel, Makati City</i>	Theresa Mundita S. Lim – Director, Biodiversity Management Bureau
05 January (Tues)	Meeting with the Local Responsible Partners <i>Venue: NWRRC Conference Room, BMB Quezon City</i> PAFID – Philippine Association for Intercultural Development, Inc. WWF – World Wildlife Fund NTFP – Non-Timber Forest Products Exchange Programme (NTFP-EP) for South and Southeast Asia PBCFI – Philippine Biodiversity Conservation Foundation, Inc. CBCFI – Cebu Biodiversity Conservation Foundation, Inc. Anthrowatch -	David Benjamin E. De Vera – Executive Director, PAFID Paul Saludar – Project Development Officer, WWF Ruth Canlas – Coordinator, NTFP Errol Gatumbato – Executive Director, PBCFI Renato de Rueda – President / Executive Director, CBCFI Ma. Teresa Guia-Padilla – Executive Director, Anthrowatch
	Meeting with GEF Operational Focal Point <i>Venue: DENR Central Office, Quezon City</i>	Analiza Teh – Undersecretary and Chief of Staff Elma Eleria – DMO II, FAPS
	Luncheon Meeting with Philippine Tropical Forest Conservation Foundation <i>Venue: Restaurant, Diliman, Quezon City</i>	Jose Andres Canivel – Executive Director, PTFCF
	Meeting with NewCAPP Project Manager	Floradema C. Eleazar – Project Manager/ Chief Technical Adviser, NewCAPP

	<i>Venue: FASPO Conf. Room, Quezon City</i>	
	Meeting with the DENR Foreign Assisted Special Projects Office <i>Venue: FASPO Conf. Room, Quezon City</i>	Edwin Domingo, Over-all Director, FAPS
06 January (Wed)		
	Meeting with NewCAPP Team in DENR Region X <i>Venue: CDD Conf. Room, DENR Regional Office</i>	Marilou Clarete – Chief, Conservation Development Division, Region X
	Meeting with Xavier University <i>Venue: Xavier University, Km 5, Saersolin, Cagayan de Oro</i>	Roel Ravanera – Dean, Xavier University Sustines Magallanes, Xavier Science Foundation
	Meeting with PES Stakeholders in CDO <i>Venue: RD's Conference Room, Cagayan de Oro City</i>	Marilou Clarete – DENR Raoul Geollegue – President, PWMC Sustines C. Magallanes – Xavier Science Foundation Lordelie Enjambre - MINDA
07 January (Thurs)		
	Meeting with CENRO Alima, PASU of Mt. Kalatungan <i>Venue: CENRO Office, Malaybalay, Bukidnon</i>	Ma. Theresa J. Allen – PENRO Malaybalay Vergilino P. Alima – CENRO Valencia
	FGD with IPs of Mt. Kalatungan Group 1 – ICCA Documentation (Menuvu Community) Group 2 – PES (Talaandig of Talakag) Group 3 – Livelihood Development (Menuvu and Talaandig of Portulin) <i>Venue: CENRO Conference Room, Malaybalay, Bukidnon</i>	Melchor Rasalan– PASU, Mt. Kalatungan Dominator Decano –Miarayon, Talakag Datu Rio D. Besto – Miarayon, Talakag Dexter A. Besto, Miarayon, Talakag Datu Alfonso Tumopas – Balmar, Pangantucan Bae Saturnina Daculay – Balmar, Pangantucan Datu Johnny B. Guina – Protulin, Pangantucan Richard Dawatan – Portulin, Pangantucan Hermino Guinto – Pangantucan Leonilo T. Bago – LGU Pangantucan
08 January (Fri)		
	Courtesy meeting with DENR Regional Director – Region 7 <i>Venue: DENR R-VII Office, Cebu City</i>	Isabelo R. Montejo D.M. CESO IV – Regional Director, DENR-R7
	Meeting with NewCAPP Team for Nugas (DENR and CBCFI) <i>Venue: DENR Regional Office, Sudlon, Cebu City</i>	Rhett Melchor Sarmago – PA Coordinator/NewCAPP Focal Person Vicente Rustico Calizar – NewCAPP Regional Coordinator

	Meeting with Municipal Environment and Natural Resources Officers of the LGUs of Dalaguete, Alcoy and Argao <i>Venue: DENR Regional Office, Sudlon, Cebu City</i>	Expedizitas S. Lenares – MANRO Dalaguete Wilfredo Abear – MENRO/MAO Argao For. Jonathan P. Alcaria – MENRO Alcoy
11 January (Mon)	Courtesy Call/Meeting with DENR Region 3 <i>Venue: DENR Regional Office, San Fernando</i> Meeting with NewCAPP Team for Mt. Tapulao <i>Venue: CDD Conf Room, San Fernando</i>	Francisco Milla, Jr. – Regional Director, Region 3 Minerva Martinez – CDD Chief, DENR-Region 3 Aceyork L. Cruz – CDD Staff, DENR-Region 3
12 January (Tues)	Courtesy Call to RD-DENR CAR	Ralph C. Pablo – Regional Director, DENR-CAR
	Meeting with NewCAPP Team for BBNP (DENR and CCAGG) <i>Venue: Conference Room DENR-CAR, Baguio City</i>	Linda Claire Pawid – NewCAPP Regional Coordinator / CDD Chief Isidoro Banggawan – PASU, Balbalasang Balbalan National Park, Kalinga Joel Behis – Chief, Enforcement Division Douglas Paganao – Community Facilitator, CCAGG Orlando Sotelo – Community Facilitator, CCAGG
	FGD with Banao Tribe <i>Venue: Conference Room DENR-CAR, Baguio City</i>	Abraham Aromin – Vice Mayor, Balbalan/PAMB Member Ellerton Gullayan – PAMB Member Royce Lingbawan – BBA Board Member Leslie Gumabay – Elder / Lupon Paul Dao-ayan – BBA Board Member Edwin B. Panagnao – LGU / SB Justin Managgay – BBA Member Aldrine Balangui – BBA Member
	FGD with Balatoc Tribe <i>Venue: Safari Lounge, Baguio City</i>	Victor Gumisa – President, BKT Wendy Gumisa – Project Leader, BKT Brainer Sambat – Admin Officer, BKT Albert Maiyao – Treasurer, BKT Herman Baging-at – Finance Officer, BKT
13 January (Wed)	Meeting with NCIP <i>Venue: OPPR Conf. Room, NCIP, Quezon City</i>	Masli Quilaman – Director, OPPR

	Meeting with HLURB <i>Venue: Conference Room, HLURB, Quezon City</i>	Linda Malenab-Hornilla – Commissioner, HLURB Nora Diaz – Director, Policy and Development Group Anabelle Guanzon – Housing and Homesite Regulation Officer
14 January (Thurs)	Meeting with DOT <i>Venue: Conference Room, DOT, Makati</i>	Warner Andrada – Chief, Tourism Operations, Product Research and Development
	Meeting with NEDA <i>Venue: Conference Room, NEDA, Ortigas Center, Pasig City</i>	Nheden Amiel D. Sarne, OIC-Div. Chief, Diane Llanto – Supervising EDS, Agri Staff
15 January (Fri)		
	Debriefing Presentation of Initial Findings <i>Venue: BMB Training Hall, NAPWC, Quezon City</i>	Reynaldo A. Dingal – Chief Admin Officer, NCIP Grace Tena – Programme Associate, UNDP Rolly Carbon – PEO, FASPS Elma M. Eleria – DMO II, FAPS Jekk Mickale Paredes - DMO II, FAPS Armida Andres – Chief EMS, Planning Staff-BMB Angelita Meniado – FASPs Coordinator, CMD-BMB Norma M. Molinyawe – Supervising EMS, NPD-BMB Teresita Blastique – Senior EMS, NPD-BMB Meriden E. Maranan – Chief, EMS-NPD-BMB Dely P. Rubio – Senior EMS, CAWED-BMB Juliana A. Balogo – Project Assistant, NewCAPP
16 January (Sat)	Departure Philippines	International Evaluator
18 January (Mon)	Arrival Argentina	International Evaluator

LOG FRAME¹¹

¹¹ Source: Project Document

Project Strategy	Objectively verifiable Indicators	Baseline	Target	Sources of Verification	Risks and Assumptions
Objective: To expand and strengthen the terrestrial PA system in the Philippines by developing new PA models and building capacity for effective management of the system	Expansion of the terrestrial PA estate: <ul style="list-style-type: none"> increased areas of KBAs under legal protection; new governance types in new conservation areas recognized as part of the national PA system; program for accelerated expansion of PA system 	59 terrestrial PAs covering 2.6 million hectares New PAs are established only through the NIPAS process No program for accelerated expansion of terrestrial PAs to cover new conservation areas	Additional 9 terrestrial PAs covering 400,000 hectares, bringing the total area of KBA under protection to 3 million hectares At least three new governance types – IP, LGU and local community managed conservation areas recognized by Executive fiat as part of national PA system Program for accelerated expansion of terrestrial PA system to include new conservation areas within KBAs developed and ready for implementation	Modified regulations; amended IRR of the NIPAS; or revised NIPAS law Copies of enabling instruments which set aside new conservation areas as part of national terrestrial PA system Program for nationwide recognition of new conservation areas as part of national PA system	Concerned parties will agree to the recognition of new conservation areas as part of the national PA system
	Habitat range of 109 globally threatened species in 9 pilot sites protected	Expected to decrease by at least 10% per year	Increase by 200%	BMS reports Baseline and end of project surveys	
	Management Effectiveness in PAs and new conservation areas	Average of 35 in all nine sites	Increase in METT scores in pilot sites by an average of at least 20% compared to baseline levels METT scorecard applied in all PAs and new CAs as basis for supporting capacity development and implementing adaptive management	METT scorecard reports	

	Financing of national PA system, including new conservation areas	Governance frameworks for sustainable PA financing – 33.3% Business planning and other tools – 19.6% Tools and systems for revenue generation and mobilization – 17.54% TOTAL – 24.48%	Governance frameworks – 79% Business planning and other tools – 57% Tools and systems for revenue generation and mobilization – 56% Total – 65%	Financing score card	
	Capacity to manage national PA system	Systemic – 43% Institutional – 47% Individual – 43%	Systemic – 82% Institutional – 73% Individual – 71%	Capacity assessment tool	
Outcome 1: PA system of the Philippines has been expanded under new and diverse management regimes (ancestral domain, local government and community managed areas) to cover an additional 400,000 hectares of Key Biodiversity Areas (KBAs) and with enhanced potential for further expansion	Coverage of the national PA system in terms of governance types	Limited to PAs established through the NIPAS process, managed by PAMBs only	Coverage of national PA system is expanded to include new conservation areas under diverse governance types (IP, LGU and local community managed areas)	Draft legislative proposals or new administrative regulations to designate new conservation areas as part of the national PA system	There will be no legal impediment to the incorporation of new conservation areas in the national PA system
	Extent of the national terrestrial PA system in proportion to total area of the country	8%	10%	Project reports; enabling orders establishing additional conservation areas under legal protection status	
	Representation of KBAs in biogeographic zones and ecosystem types in the national PA system	Greater Luzon BZ – 48% Mindoro BZ – 49% Greater Negros Panay BZ – 47% Greater Mindanao BZ – 32% Sulu BZ – 29%	Greater Luzon BZ – 56% Mindoro BZ – 81% Greater Negros Panay BZ – 50% Greater Mindanao BZ – 37% Sulu BZ – 46%	Project reports; enabling orders establishing additional conservation areas under legal protection status	

	Program for expansion and diversification of national PA system	None	Expansion and diversification of the national PA system is guided by a 5 year program	National program approved by the DENR	
Outcome 2 : Improved conservation effectiveness through enhanced systemic, institutional and individual capacities	Capacity of PAWB and regional offices to manage national PA system	<p>Capacity Assessment Results:</p> <p>Formulate policies and plans Systemic – 4 of 6 Institutional – 2 of 3</p> <p>Implement policies and plans Systemic – 3 of 9 Institutional – 12 of 27 Individual – 5 of 12</p> <p>Engage and build consensus Systemic – 3 of 6 Institutional – 4 of 6 Individual – 1 of 3</p> <p>Mobilize information and knowledge Systemic – 1 of 3 Institutional – 1 of 3 Individual – 2 of 3</p> <p>Monitoring, evaluation, reporting and learning Systemic – 2 of 6 Institutional – 2 of 6 Individual - 1 of 3</p>	<p>Capacity Assessment Results:</p> <p>Formulate policies and plans Systemic – 6 of 6 Institutional – 3 of 3</p> <p>Implement policies and plans Systemic – 6 of 9 Institutional – 18 of 27 Individual – 8 of 12</p> <p>Engage and build consensus Systemic – 5 of 6 Institutional – 6 of 6 Individual – 2 of 3</p> <p>Mobilize information and knowledge Systemic – 2 of 3 Institutional – 2 of 3 Individual – 3 of 3</p> <p>Monitoring, evaluation, reporting and learning Systemic – 4 of 6 Institutional – 4 of 6 Individual - 2 of 3</p>	Capacity Assessment tool	

	Management effectiveness at nine pilot sites	BBNP – 64 ZMR – 18 Mts. Iglit Baco – 60 Mt. Irid Angelo and Binuang – 21 Mt. Nug as Lantoy – 51 Mt. Hilong hilong – 15 Mt. Nacolod – 10 Tawi tawi – 27 Polilio islands – 47	BBNP – 93 ¹² ZMR – 79 Mts. Iglit Baco – 87 Mt. Irid Angelo and Binuang – 76 Mt. Nug as Lantoy – 95 Mt. Hilong hilong – 79 Mt. Nacolod – 78 Tawi tawi – 74 Polilio islands – 90	METT scorecard	
	Incorporation of BD conservation goals in local plans	Isolated efforts only by a few PAMBs and NGO partners	ADSDPP – 4 (BBNP, ZMR, Mts. Iglit – Baco, Mts. Irid Angelo and Binuang) Resource management plans of local communities - 2 (Nug as Lantoy, Hilong hilong) LGU land use and development plans – 3 (Tawi tawi, Mt. Nacolod, and Polilio islands)	Local development plans of LGUs ADSDPPs of IP groups Resource management plans of local communities	
	Operational Manual for local management bodies	Inadequate for use by existing PAMBs; no Manual yet for local management bodies of new conservation areas	Operational Manuals are implemented to strengthen capacities of local management bodies of existing PAs and new conservation areas	Regular project M and E reports	
	Capacities for M and E	Weak for existing PAs; no M and E protocols for new conservation areas	PAWB and local PA/CA Managers and staff have capacities to undertake M and E and use this information for adaptive management	Regular project M and E reports	

¹² These targets will be confirmed during Inception

	Awareness and support from stakeholders for national PA system	Limited awareness and support, as evidenced by: (i) only 10 legislations passed to date; (ii) limited amount of IPAF (US\$ 2.98 Million); (iii) high degree of threat of KBAs; (iv) high degree of threat of major biogeographic zones from infrastructure development	Increased awareness and support as evidenced by: (i) additional legislations passed to legalize establishment of more PAs and inclusion of CAs in the system; (ii) increased funding support from various sources; (iii) reduction in levels of destructive activities; and (iv) number of proposed development projects rejected for being incompatible with PA and CA management objectives	Legislations passed to support establishment of new PAs and CAs IPAF Annual Reports Monitoring and evaluation reports on extent of destructive activities in PAs/CAs Reports on reviews of development project proposals submitted to National Economic and Development Authority and Local Development Councils of LGUs	
Outcome 3: Enhanced financial sustainability of the terrestrial PA system	National level capacity to manage financing of the PA system	Limited capacity by PAWB to manage financing for national PA system	PAWB has improved capacity to use new tools and mechanisms to sustainably manage financing of national terrestrial PA system to include new CAs	Learning guides, policies and procedures on the use of sustainable financing tools and mechanisms	
	PA Financial Sustainability, as measured by Financing scorecard	Legal and regulatory framework – 33.3% Business planning – 19.6% Tools for revenue generation – 17.54% Total – 24.48%	Legal and regulatory framework – 79% ¹³ Business planning – 57% Tools for revenue generation – 56% Total – 65%	Financing Scorecard	

¹³ These targets will be confirmed during Inception

	Number of sites with capacities for financing, business planning and cost effective management	Nil	At least 3 new PA/CAs have capacities for site level financing, business planning and cost effective management	Financial performance reports	
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	Number of PAs/CAs using new tools and mechanisms for sustainable financing	Nil	Additional PAs/CAs benefit from use of learning manual, revised policies, and replication of sustainable financing tools and mechanisms for PA/CA management	Sustainable financing plans of additional PAs/CAs	
	Access to IPAF and levels of collection	IPAF annual allocations legislated through General Appropriations Act US \$ 2.98 Million	100% of IPAF collections automatically appropriated for PA management Increase in IPAF collections by 25% or to a level of US \$ 3.73 Million	IPAF reports	

Outcome 1: PA system of the Philippines has been expanded under new and diverse management regimes (ancestral domain, local government and community managed areas) to cover an additional 400,000 hectares of Key Biodiversity Areas (KBAs) and with enhanced potential for further expansion

- 1.1 – Modified PA regulations and/or laws to recognize new conservation areas as part of the national PA system:
- 1.2 – Nine ‘new-type’ PAs covering 400,000 ha are established within KBAs
- 1.3 – Programme for expansion of the national PA system

Outcome 2 : Improved conservation effectiveness through enhanced systemic, institutional and individual capacities

- 2.1 – Increased PAWB and DENR Regional Office capacities to provide technical assistance to PAMBs and other stakeholders in managing existing PAs and new conservation areas
- 2.2 – Negotiated agreements with indigenous groups and other local stakeholders at nine sites resulting in management plans that incorporate BD conservation goals and sustainable management of natural resources
- 2.3 – Enhanced management capacities in nine new-type PAs covering 400,000 ha
- 2.4 – Revised operational manual for national PAs and new manuals for ‘new-type’ conservation areas:
- 2.5 - Common protected area M&E frameworks and protocols
- 2.6 - Increased support from key stakeholders and decision-makers for the management and conservation of the national PA system, including new conservation areas

Outcome 3: Enhanced financial sustainability of the terrestrial PA system

3.1 - Economic valuation studies of three new conservation areas

3.2 – Improved national-level sustainable financing tools and capacities

3.3 – Site-level tools for resource mobilization developed at new CAs

3.4 – Site-level tools for business planning and cost-effective management developed at new CAs

3.5 – Lesson learning and replication of sustainable finance tools among pilot sites

LIST OF PERSONS CONSULTED

1. Titon Mitra – UNDP Country Director
2. Amelia B. Supetran – Team Leader, UNDP-ISD
3. Theresa Mundita S. Lim – Director, Biodiversity Management Bureau
4. David Benjamin E. De Vera – Executive Director, PAFID
5. Paul Saludar – Project Development Officer, WWF
6. Ruth Canlas – Coordinator, NTFP
7. Errol Gatumbato – Executive Director, PBCFI
8. Renato de Rueda – President / Executive Director, CBCFI
9. Ma. Teresa Guia-Padilla – Executive Director, Anthrowatch
10. Analiza Teh – Undersecretary and Chief of Staff
11. Elma Eleria – DMO II, FAPS
12. Jose Andres Canivel – Executive Director, PTFCF
13. Floradema C. Eleazar – Project Manager/ Chief Technical Adviser, NewCAPP
14. Edwin Domingo, Over-all Director, FAPS
15. Marilou Clarete – Chief, Conservation Development Division, Region X
16. Roel Ravanera – Dean, Xavier University
17. Sustines Magallanes, Xavier Science Foundation
18. Raoul Geollegue – President, PWMC
19. Sustines C. Magallanes – Xavier Science Foundation
20. Lordelie Enjambre - MINDA
21. Ma. Theresa J. Allen – PENRO Malaybalay
22. Vergilino P. Alima – CENRO Valencia
23. Melchor Rasalan– PASU, Mt. Kalatungan
24. Dominador Decano –Miarayon, Talakag
25. Datu Rio D. Besto – Miarayon, Talakag
26. Dexter A. Besto, Miarayon, Talakag
27. Datu Alfonso Tumopas – Balmar, Pangantucan
28. Bae Saturnina Daculay – Balmar, Pangantucan
29. Datu Johnny B. Guina – Protulin, Pangantucan
30. Richard Dawatan – Portulin, Pangantucan
31. Hermino Guinto – Pangantucan
32. Leonilo T. Bago – LGU Pangantucan
33. Isabelo R. Montejo D.M. CESO IV – Regional Director, DENR-R7
34. Rhett Melchor Sarmago – PA Coordinator/NewCAPP Focal Person
35. Vicente Rustico Calizar – NewCAPP Regional Coordinator
36. Expedizitas S. Lenares – MANRO Dalaguete
37. Wilfredo Abear – MENRO/MAO Argao
38. Jonathan P. Alcaria – MENRO Alcoy
39. Francisco Milla, Jr. – Regional Director, Region 3

40. Minerva Martinez – CDD Chief, DENR-Region 3
41. Aceyork L. Cruz – CDD Staff, DENR-Region 3
42. Ralph C. Pablo – Regional Director, DENR-CAR
43. Linda Claire Pawid – NewCAPP Regional Coordinator / CDD Chief
44. Isidoro Banggawan – PASU, Balbalasang Balbalan National Park, Kalinga
45. Joel Behis – Chief, Enforcement Division
46. Douglas Paganao – Community Facilitator, CCAGG
47. Orlando Sotelo – Community Facilitator, CCAGG
48. Abraham Aromin – Vice Mayor, Balbalan/PAMB Member
49. Ellerton Gullayan – PAMB Member
50. Royce Lingbawan – BBA Board Member
51. Leslie Gumabay – Elder / Lupon
52. Paul Dao-ayan – BBA Board Member
53. Edwin B. Panagnao – LGU / SB
54. Justin Managgay – BBA Member
55. Aldrine Balangui – BBA Member
56. Victor Gumisa – President, BKTl
57. Wendy Gumisa – Project Leader, BKTl
58. Brainer Sambat – Admin Officer, BKTl
59. Albert Maiyao – Treasurer, BKTl
60. Herman Baging-at – Finance Officer, BKTl
61. Masli Quilaman – Director, OPPR
62. Linda Malenab-Hornilla – Commissioner, HLURB
63. Nora Diaz – Director, Policy and Development Group
64. Anabelle Guanzon – Housing and Homesite Regulation Officer
65. Warner Andrada – Chief, Tourism Operations , Product Research and Development
66. Nheden Amiel D. Sarne, OIC-Div. Chief,
67. Diane Llanto – Supervising EDS, Agri Staff
68. Reynaldo A. Dingal – Chief Admin Officer, NCIP
69. Grace Tena – Programme Associate, UNDP
70. Rolly Carbon – PEO, FASPS
71. Elma M. Eleria – DMO II, FAPS
72. Jekk Mickale Paredes - DMO II, FAPS
73. Armida Andres – Chief EMS, Planning Staff-BMB
74. Angelita Meniado – FASPs Coordinator, CMD-BMB
75. Norma M. Molinyawe – Supervising EMS, NPD-BMB
76. Teresita Blastique – Senior EMS, NPD-BMB
77. Meriden E. Maranan – Chief, EMS-NPD-BMB
78. Dely P. Rubio – Senior EMS, CAWED-BMB

79. Juliana A. Balogo – Project Assistant, NewCAPP
80. Joseph D’Cruz -- Regional Team Leader, UNDP Regional Hub in Bangkok
81. Ruth Canlas, NTFP Coordinator, Non-Timber Forest Products Exchange Programme
82. Glaiza Tabanao, Area Coordinator for PAFID Mindanao

LIST OF DOCUMENTS REVIEWED

- “Nature Conservation in the Footsteps of Our Ancestors” Proceedings of the First National Conference on Indigenous Community Conserved Areas (ICCAs) in the Philippines. NCPAG Assembly Hall. University of the Philippines Diliman Quezon City, Philippines, 29-30 March 2012. Editors: Edna Estifania A. Co, DPA; J. Prospero E. de Vera III, DPA; Ma. Faina Lucero-Diola, DPA; Portia P. Silang.
- Annual Reports (2010 Annual cum Inception Report, 2011, 2012, 2013 and 2014)
- APRs/PIRs (2011, 2012, 2013, 2015)
- Case Stories on ICCAs and LCAs
- Communities in Nature: State of PA Management in the Philippines
- Draft ICCA Sourcebook
- GEF Tracking Tool: METT Scorecards, baseline (2012), midterm (2014) and terminal (2015)
- GEF Tracking Tool: Updated PA Financing Scorecard, baseline (2012), midterm (2014) and terminal (2015)
- Guide for LCA Establishment and Management Planning
- Guide to Local Conservation Area [LCA] Management Planning. NewCAPP. 2015.
- *Integrated Protected Areas Fund Handbook* (Draft 2015 v 1).
- Minutes of Project Board meetings
- NewCAPP Technical Bulletins
- Proceedings of National ICCA Conference, March 2012 and October 2014
- Proceedings of National LCA Conference, October 2014
- Project Document and CEO Endorsement – Expanding and Diversifying the National System of Terrestrial protected Areas in the Philippines
- Report on Capacity Assessment of PAW Sector
- Report on Legal Review of NIPAS and related laws
- Report on PA Financing Study by National Consultant
- Reports of Subnational ICCA Conferences, November 2011
- Reports on FLUP Workshops, July and September, 2012
- Reports on Knowledge, Attitudes and Practices Study
- Strategy Paper for Preparation of National PA System Master Plan
- UNDP-GEF-BMB NewCAPP. 2015. *Capacity Building on Gender Mainstreaming in Local Conservation Area Planning and Management: Guide for Developing Gender Responsive Plans and Strategies*. United Nations Development Programme (UNDP) – Global Environmental Facility (GEF) – Biodiversity Management Bureau (BMB) – New Conservation Areas in the Philippines Project (NewCAPP), Quezon City, Philippines.

EVALUATION MATRIX

Evaluation Questions Per Criteria	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development policies at the local, regional and national levels?			
How realistic were the project's intended outcomes?	How realistic were the project's intended outcomes?	Degree to which the project supports national environmental Objectives	Project documents Document analysis
Is the project relevant to UNCBD and other international convention objectives?	How does the project support the objectives of the UNCBD? Does the project support other international conventions, such as the UNFCCC and the UNDRIP?	UNCBD priorities and areas of work incorporated in project design Level of implementation of UNCBD in the Philippines, Program of Work on Protected Areas and contribution of the project Priorities and areas of work of other conventions incorporated in project design	Project documents National policies and strategies to implement the UNCBD, other international conventions, or related to environment more generally UNCBD and other international convention web sites Documents analyses Interviews with project team, UNDP and other partners
Is the project relevant the GEF biodiversity focal area?	How does the project support the GEF biodiversity focal area and strategic priorities	Existence of a clear relationship between the project objectives and GEF biodiversity focal area	Project documents GEF focal areas strategies and documents Documents analyses GEF website Interviews with UNDP and project team
Is the project relevant to the Philippine Development Plan and environment and sustainable development objectives?	How does the project support the environment and sustainable development objectives of the Philippines? How does the project support the National Biodiversity Strategy and Action Plan (NBSAP)? Is the project country-driven? What was the level of stakeholder participation in project design? What was the level of stakeholder ownership in implementation? Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?	Degree to which the project supports national environmental objectives Degree to which the project supports implementation of the NBSAP Degree of coherence between the project and national priorities, policies and strategies Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities Level of involvement of government officials and other partners in the project design process Coherence between needs expressed by national stakeholders and UNDP-GEF criteria	Project documents National policies and strategies NBSAP Key project partners Documents analyses Interviews with UNDP and project partners

Is the project addressing the needs of target beneficiaries at the local and regional levels?	How does the project support the needs of relevant stakeholders? Has the implementation of the project been inclusive of all relevant stakeholders? Were local beneficiaries and stakeholders adequately involved in project design and implementation?	Strength of the link between expected results from the project and the needs of relevant stakeholders Degree of involvement and inclusiveness of stakeholders in project design and implementation	Project partners and stakeholders Needs assessment studies Project documents	Document analysis Interviews with relevant stakeholders
Is the project internally coherent in its design?	Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources, etc.)? Is the length of the project sufficient to achieve project outcomes? Are the resources of the project sufficient to achieve project outcomes?	Level of coherence between project expected results and project design internal logic Level of coherence between project design and project implementation approach	Program and project documents Key project stakeholders	Document analysis Key interviews
How is the project relevant with respect to other donor-supported activities?	Does the GEF funding support activities and objectives not addressed by other donors? How do GEF-funds help to fill gaps (or give additional stimulus) that are necessary but are not covered by other donors? Is there coordination and complementarity between donors? How has the Project influenced other donor funded projects/funding organizations which were implemented after NewCAPP? How has the Project catalyzed the support of other donor funded projects and funding organizations/stakeholders active in BD to support major activities initiated under NewCAPP?	Degree to which program was coherent and complementary to other donor programming nationally and regionally	Documents from other donor supported activities Other donor representatives Project documents	Documents analyses Interviews with project partners and relevant stakeholders
Does the project provide relevant lessons and experiences for other similar projects in the future?	Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?		Data collected throughout evaluation	Data analysis

Are project activities relevant and appropriate to meet objectives and current development context?	How appropriate are the planned and implemented activities? (in the context of any changes that have occurred in the PAW/ENR sector in the Philippines, recent priorities and opportunities for policy change and program shifts)?		Data collected throughout evaluation Project reports, and new policies in the ENR sector	Data analysis Document review and KII
Were the project's objectives and components relevant, according to the social and political context?	Were the project's objectives and components relevant, according to the social and political context?	Degree of coherence between the project and national priorities, policies and strategies	Philippine Govt., Project Steering Committee, Project team, UNDP	Interviews
Were the project's objectives and components relevant, according to the social and political context?	Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?	Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities	Project partners and relevant stakeholders	Interviews
Are the stated assumptions and risks logical and robust? And did they help to determine activities and planned outputs?	Are the stated assumptions and risks logical and robust? And did they help to determine activities and planned outputs?	Coherence between needs expressed by national stakeholders and UNDP-GEF criteria	Extent to which the project is actually implemented in line with incremental cost argument	Document analysis
Is the project coherent with UNDP programming strategy? To what extent is the project in line with GEF operational programs?	Is the project coherent with UNDP programming strategy? To what extent is the project in line with GEF operational programs?	Coherence UNDP and GEF operational programming	UNDAF, CPD, UNDP/GEF Programming statements.	Document analysis
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?				
To what extent were project results achieved?	Achievement of project outcomes/results.	See indicators in the project document results framework and log frame. (Analysis of indicators (SMART analysis)	Project documents Interviews	Document analysis Questionnaires

In what ways are long-term emerging effects to the project foreseen?	In what ways are long-term emerging effects to the project foreseen?	Level of coherence between project expected results and project design internal logic	Project documents Interviews	Document analysis Questionnaires
Were the relevant representatives from government and civil society involved in project implementation, including as part of the project 's board?	Were the relevant representatives from government and civil society involved in project implementation, including as part of the project 's board?	Level of participation	Project partners and relevant stakeholders Philippine Govt., Project Steering Committee, Project team, UNDP	Interviews Documents
Has the project been effective in achieving the expected outcomes and objectives?	Has the project been effective in achieving its expected outcomes? 1. PA system of the Philippines has been expanded under new and diverse management regimes (ancestral domain, local government and community managed areas) to cover an additional 400,000 hectares of Key Biodiversity Areas (KBAs) and with enhanced potential for further expansion 2. Improved conservation effectiveness through enhanced systemic, institutional and individual capacities 3. Enhanced financial sustainability of the terrestrial PA system	See indicators in project document results framework and logframe	Project documents Project team and relevant stakeholders Data reported in project annual and quarterly reports	Documents analysis Interviews with project team Interviews with relevant stakeholders
How is risk and risk mitigation being managed?	How well are risks, assumptions and impact drivers being managed? What was the quality of risk mitigation strategies developed? Were these sufficient? Are there clear strategies for risk mitigation related with long-term sustainability of the project?	Completeness of risk identification and assumptions during project planning and design Quality of existing information systems in place to identify emerging risks and other issues Quality of risk mitigations Strategies developed and followed	Project documents UNDP, project team, and relevant stakeholders	Document analysis Interviews
What lessons can be drawn regarding effectiveness for other similar	What lessons have been learned from the project regarding achievement of outcomes? What changes could have been/should be made (if any) to the design		Data collected throughout evaluation	Data analysis

projects in the future?	of the project in order to improve the achievement of the project's expected results?			

Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?

<p>Was adaptive management used and if so, how did these modifications to the project contribute to obtaining the objectives?</p> <p>Has the project been able to adapt to any changing conditions thus far?</p> <p>To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?</p>	Quality of existing information systems in place to identify emerging risks and other issues	Quality of existing information systems in place to identify emerging risks and other issues	Project documents	Document analysis
How did institutional arrangements influence the project's achievement of results?	Risk analysis	Quality of risk mitigation strategies developed and followed	Government, Project team, UNDP	Interviews
Were the indicators provided in the Project Document effectively used for measuring progress and performance?	Indicators use	Occurrence of change in project design/ implementation approach (i.e. restructuring) when needed to improve project efficiency	Project documents Government, Project team, UNDP	Interviews
Were baseline conditions, methodology and roles and responsibilities well-articulated at project start-up?	Baseline conditions and indicators	Occurrence of change in project design/ implementation approach (i.e. restructuring) when needed to improve project efficiency	Project documents	Interviews

Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?

In what way may the benefits from the project be maintained or increased in the future?	In what way may the benefits from the project be maintained or increased in the future?	See indicators in project document results framework and log frame	Project documents and reports	Document analysis
Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?	Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?	Evidence that particular partnerships/linkages will be sustained	Philippine Govt., Project team, UNDP	Interviews
Which of the project's aspects deserve to be replicated in future initiatives?	Replication	Evidence that particular practices will be sustained	Philippine Govt., Project team, UNDP	Interviews
Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits	Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits	Evidence that Mainstreaming has taken place and concepts are integrated	Project documents	Document analysis
What are the major factors which influence sustainability of the project?	Are policies sufficient and in place to support the roll out of ICCA recognition and establishment of LGU managed conservation areas in other KBAs? Does the DENR provide adequate priority to BD conservation as a programme and the enhancement of capacities of its agency and staff? Is there sufficient support by key agencies (DBM, BTr, DoF, NEDA) to PA financing sustainability? Are there appropriate measures and policies to support these? Do the stakeholders have sufficient capacities, ownership and commitment to continue	Clear policies specifying procedures and mechanisms, including protection of and support to recognition of ICCAs and LGU managed conservation areas Program and budget levels allocated by DENR to PAW, its programs and continued capacity development Commitments, pronouncements, joint issuances between DENR/PAWB and partner agencies Capacity assessment results Estimates of financing required to continue innovations introduced by the project, and financing capacity assessment Requirements for implementation of conservation plans compared	Data collected throughout evaluation Community feedback Insights/perceptions from institutions and partners Site reports	Document review Community FGD and interviews KII with partners and representatives of key institutions/DENR Rapid field assessments in selected pilot sites

	<p>the innovations and enhanced systems developed under the project? Is there sufficient financing available or are there suitable fund sources to continue what have been initiated under the project? Will communities and local government units continue to implement the conservation plans developed/to be developed in the pilot sites? Were essential elements identified for a successful and sustainable roll out of new conservation areas in the Philippines, and have lessons been sufficiently documented? Do implementation arrangements support ownership of the project outcomes by government and stakeholders? Do project coordination mechanisms support sustainability of the project? How can the project better make ICCAs/LGU conservation areas more valuable to the participating communities and LGUs and support them in sustaining conservation areas as a better alternative than other land uses?</p>	<p>with current capacities and constraints Quality and levels of discussions on the requirements for roll out, quality of documentation made Evidences of uptake by stakeholders Effectiveness of coordination mechanisms, evidences of ownership Presence of incentives and support to continue conservation objectives Strength of commitment to conservation, as evidenced by clear choices made by communities/LGUs against alternative land uses</p>		
<p>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduction in threats to biodiversity in KBAs, and/or improved ecological status?</p>				
<p>Has the project made/or is likely to contribute to measurable difference to the conservation of terrestrial KBAs in the Philippines?</p>	<p>How will expansion of new conservation areas, which involve recognition of ICCAs and LGU managed LCAs, reduce environmental stress, improve ecological coverage, and protect important BD resources?</p>	<p>Status of habitats and important BD resources Extent of habitat fragmentation, unsustainable land use practices, and/or incompatible land uses within and around KBA pilot sites</p>	<p>Baseline BD assessment results BD monitoring reports in pilot sites Project reports Beneficiaries</p>	<p>Document review Rapid field assessment Community FGDs</p>

	What evidences have there been, to establish reduction of environmental stress, prevention of incompatible land uses in and around conservation areas, and improvement of ecological status?			
Are there verifiable reductions in stress on ecological systems?		Indicators in project document results framework and log frame	Project documents	Document Analysis
Is there demonstrated progress towards these impact achievements?		NBSAP	Project documents Questionnaire	Document Analysis Stakeholder Interviews

EVALUATION CONSULTANT AGREEMENT FORM

Evaluators:

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

Evaluation Consultant Agreement Form¹⁴

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

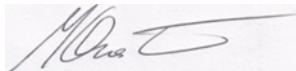
Name of Consultant: Maria ONESTINI

Name of Consultancy Organization (where relevant): _____

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

Signed at *Buenos Aires, Argentina* on *November 1st 2015*.

Signature:



¹⁴ www.undp.org/unegcodeofconduct