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**United Nations Development Programme**  
**Country: Philippines**  
**Project Document**

<b>Project Title</b>	Fifth Operational Phase of the GEF Small Grants Program in the Philippines
<b>UNDAF Outcome(s):</b>	Adaptive capacities of vulnerable communities and ecosystems are strengthened to be resilient to threats, shocks, disasters, and climate change
<b>UNDAF Sub-Outcome:</b>	By 2018, capacities of national & local government officials and communities to conserve & sustainably manage the country's environment and natural resources, including biodiversity and sustainable energy sources are enhanced
<b>Expected CP Outcome(s):</b>	Increased capacities of key duty-bearers to provide an enabling environment for claimholders' improved access to an enhanced natural resources base, sustainable energy and a cleaner environment
<b>Implementing Agency:</b>	United Nations Development Programme (UNDP)
<b>Implementing Partner:</b>	Department of Environment and Natural Resources (DENR-PAWB)
<b>Responsible Party:</b>	Non-Governmental Organization (NGO)

**Brief Description**

The main objective of the project is to secure global environmental benefits through community-based biodiversity conservation initiatives and actions in selected priority sites in the Philippines. The project will pursue three components: (i) Community-based actions improve the sustainability of protected areas (PAs); (ii) Mainstreaming biodiversity conservation and sustainable use into production landscapes, seascapes and sectors (PLS); (iii) Cross-cutting capacity development and knowledge management. To contribute to the achievement of these components and their expected results GEF-SGP Philippines project will support local people's organizations, NGOs and CBOs in designing and implementing projects to contribute to global biodiversity conservation using the landscape approach and modeling and implementation of best practices.

Programme Period:	2013-2017	Total resources required:	\$ 9,686,240
Key Result Area (Strategic Plan):	_____	Total allocated resources:	\$ 4,583,333
Atlas Award ID:	00066837	○ GEF	\$ 4,583,333
Atlas Project ID:	00082868	Parallel funding:	
PIMS ID:	4517	○ National Government:	\$ 3,002,907
Start date:	01 June 2013	○ UNDP	\$ 1,000,000
End Date:	30 July 2017	○ Other In-kind	\$ 1,100,000
PAC Meeting Date	06 February 2013		
Management Arrangements	NIM		

## ACRONYMS

ADSP	Ancestral Domain Sustainable Plan
ADSDPP	Ancestral Domain Sustainable Development and Protection Plan
APR	Annual Project Review
AWP	Annual Work Plan
BD	Biodiversity
BTOR	Back to Office Report
CBD	Convention on Biological Diversity
CBFM	Community-Based Forest Management
CBO	Community-Based Organization
CD	Capacity Development
CLUPs	Comprehensive Land Use Plans
CO	Country Office
CP	Country Programme
CPAP	Country Programme Action Plan
CPD	Country Programme Document
CPM	Country Programme Manager
CPMT	Central Programme Management Team
COMPACT	Community Management of Protected Areas Conservation Programme
CSO	Civil Society Organization
DA	Department of Agriculture
DAR	Department of Agrarian Reform
DENR-PAWB	Department of Environment and Natural Resources
DILG	Department of Interior and Local Government
EDNSPAP	Expanding and Diversifying the National System of Terrestrial PA in the Philippines Project
ENRMP	Environment and Natural Resources Management Project
ERC	Evaluation Resource Centre
FPE	Foundation for the Philippine Environment
FPIC	Free and Prior Informed Consent
GEBs	Global Environmental Benefits
GEF	Global Environment Facility
IA	Implementing Agency
IP	Indigenous Peoples
IPRA	Indigenous Peoples Rights Act
KBAs	Key Biodiversity Areas
LGUs	Local Government Units
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
METT	Management Effectiveness Tracking Tool
MOU	Memorandum of Understanding
MRDP	Mindanao Rural Development Program
NBSAP	Philippines National Biodiversity Strategy and Action Plan
NCIP	National Commission on Indigenous Peoples
NEDA	National Economic and Development Authority
NGO	Non-Governmental Organization
NIM	National Implementation
NIPAS	National Integrated Protected Areas System
NSC	National Steering Committee
NTFPs	Non-Timber Forest Products
PA21	Philippines Agenda 21

PA	Protected Area
PAMB	Protected Area Management Boards
PBCAL	The Partnership for Biodiversity Conservation: Mainstreaming in Agricultural Landscape
PEI	Poverty-Environment Initiative
PHILCCAP	Philippine Climate Change Adaptation Project
PIR	Project Implementation Report
PIMS	Project Information Management System
PLS	Production Land and Seascapes / Protected Landscapes/Seascapes
PMU	Project Management Unit
PPR	Project Progress Report
PTRC	Project Technical Review Committee
QPR	Quarterly Progress Report
RCU	Regional Coordination Unit
RP	Responsible Party
RTA	Regional Technical Advisor
SGP	GEF Small Grants Programme
SBAA	Standard Basic Assistance Agreement
STA	Senior Technical Advisor
STREEM	Strengthening Coordination for Effective Environmental Management
TEV	Total Economic Value
TOR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization

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## I. SITUATION ANALYSIS

### A. CONTEXT AND GLOBAL SIGNIFICANCE

- 1) The Philippines is host to over 52,000 species of flora and fauna, with 13,500 plant species comprising 5% of the world's total flora. The country is ranked within the world's top ten in terms of the level of endemism of its faunal species, especially reptiles, amphibians, mammals and birds. Considering land area with respect to flora and faunal density, the Philippines may be considered the world's most mega diverse country. It is in fact one of seventeen megadiverse countries, which together host 70-80% of the world's life forms. The Philippines is believed to harbor more diversity of life than any other country on earth on a per hectare basis.<sup>1</sup> Its importance is also highlighted by the fact that it is one of two countries in the world – Madagascar being the other – which is both a megadiverse country and a biodiversity hotspot.<sup>2</sup> However, its species are considered to be among the most threatened in the world with the whole country being a hotspot or one of the most severely threatened of the mega diverse countries.
- 2) The project is directly relevant to, and consistent with Philippine's national priorities and policies related to global environmental issues and development priorities. It will specifically contribute to the Philippine Development Plan 2011-2016, in strengthening and enhancing the protection of vulnerable and ecologically fragile areas, especially watersheds and areas where biodiversity is highly threatened. These areas are home to many indigenous peoples, highland communities and other beneficiaries of the GEF-SGP mechanism. The project also responds to the Philippine Agenda 21 (PA21), which is the Philippines' road map to achieving sustainable development. PA21 serves as both guidelines for pursuing development and standards against which all development programs and policies are evaluated for their consistency to bring about sustainable development for the country.
- 3) PA21 sets two Action Agenda to move the Philippines toward sustainable development. The first is an Agenda Across Ecosystems. The second is an agendum for each major ecosystem in the country. The Action Agenda Across Ecosystems contain eighteen issues and concerns deemed relevant to achieving sustainable development in the Philippines. Of these, the project addresses the following: (1) Integrating sustainable development in governance; (2) Creating an enabling economic environment for sustainable development; (3) Employment, productivity, and income; (8) Land Use and (18) Biodiversity.
- 4) The Project also supports Millennium Development Goal 7 (MDG 7) – ensuring sustainability, particularly Target 10: implement national strategies for sustainable development by 2005, to reverse loss of environmental resources by 2015. Key thrusts for the medium term to achieve the targets under MDG 7 include sustainable utilization of natural resources and focus on and strengthening of the protection of vulnerable and ecologically fragile areas.
- 5) This project contributes to the Philippines commitment towards achieving the Aichi Biodiversity Targets specifically Target 1: By 2020, at the latest, people are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably. Target 5: By 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced; and Target 7: By 2020 areas under agriculture,

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<sup>1</sup> Heaney, as cited in Ong, P.S., L. E. Afuang, and R. G. Rosell Ambal (eds.) 2002. *Philippine Biodiversity Conservation Priorities: A Second Iteration of the National Biodiversity Strategy and Action Plan*. Department of Environment and Natural Resources-Protected Areas and Wildlife Bureau, Conservation International Philippines, Biodiversity Conservation Program-University of the Philippines Center for Integrative and Development Studies, and Foundation for the Philippine Environment, Quezon City, Philippines.

<sup>2</sup> Ong, P.S., L. E. Afuang, and R. G. Rosell Ambal (eds.) 2002. *Philippine Biodiversity Conservation Priorities: A Second Iteration of the National Biodiversity Strategy and Action Plan*. Department of Environment and Natural Resources-Protected Areas and Wildlife Bureau, Conservation International Philippines, Biodiversity Conservation Program-University of the Philippines Center for Integrative and Development Studies, and Foundation for the Philippine Environment, Quezon City, Philippines.

aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity;

- 6) The project will directly support the implementation of Philippine National Biodiversity Strategy and Action Plan (NBSAP), particularly Strategy 4 – Strengthening Capacities for Integrating and Institutionalizing Biodiversity Conservation and Management. The project will help to strengthen the capacities of Peoples’ Organizations, including Indigenous Peoples’ groups and other local-level stakeholders to manage and conserve their local biodiversity resources, and to better coordinate their conservation efforts with broader district, regional and national conservation programmes and strategies.
- 7) The project will support GEF-5 strategic objectives. Under the Biodiversity Focal Area, the project will support Strategic Objective (SO) BD-1: Improving the sustainability of protected area systems and BD-2: Mainstreaming biodiversity conservation and sustainable use into production landscapes, seascapes, and sectors. The project will generate global benefits by leveraging community-based efforts to conserve biodiversity through improving the effectiveness and sustainability of community Protected Areas (PAs), an important part of Philippines’s nationwide system of PAs.
- 8) A cross-cutting objective of the Country Programme will continue to be capacity development of local communities and their organizations consistent with outcomes and outputs of CD-2 and CD-5 for GEF-5. Consistent with outcomes and outputs of BD-1 and BD-2, the project’s CD work will also help to strengthen the capacities of civil society and community-based organizations, which is consistent with the GEF’s long-standing support for strengthening the role of civil society in conservation.
- 9) Global Environmental Benefits.

This project will generate global biodiversity benefits. Key indicators include:

- At least 10 community PAs or co-management models established or operational.
- At least 20 community-managed PAs established, encompassing at least 100,000 hectares.
- 40% increase in PAs management effectiveness as recorded by METT.
- 1,000 ha of mangrove rehabilitated or protected within one or more PA.
- 30 community-level policies/regulations for biodiversity-friendly agriculture, fisheries or forestry.
- 400,000 ha under improved community “mainstreamed” management within PLS, reducing threats to BD slash and burn farming; over-harvesting of timber, and destructive fishing.
- 40 community-based land use plans, community management instruments or Ancestral Domain plans that incorporate biodiversity conservation and ecosystem services valuations.
- At least 4000 community-level resource users/managers participate in peer-to-peer training by year 4.
- Replication of conservation and sustainable use approaches in at least 30 new grants by year 4.
- 50% increase in amount of long-term co-funding for Philippines GEF-SGP by end of year 3.
- Community-based partnership initiatives for GEF-SGP launched by at least 4 LGUs by the end of year 4.

## **B. BASELINE ANALYSIS, THREATS AND ROOT CAUSES**

- 1) The destruction of the Philippines’ original forest, freshwater and marine ecosystems have led to an unprecedented biodiversity crisis. The biodiversity crisis is a direct threat to the well-being of rural communities, and indigenous peoples. Biodiversity is a source of environmental services from shelter to food, fuel, water and even protection

from disasters or extreme weather events. Half of the 93 million Filipinos live in the countryside. Of this, 80% are considered as rural poor<sup>3</sup>. Agriculture is the primary and often the only source of income for this sector. Most of them depend on subsistence farming and fishing for livelihood. The fisher folks, the lowland and upland farmers, and the indigenous peoples directly rely on biodiversity for growth and development. The biologically-rich landscape and seascape are also a source of indirect services. Insects that pollinate crops, coral reefs and mangroves that protect coastlines, and birds and flower species that provide visual enjoyment to local and foreign tourists are only a few of the biodiversity aspects that bring livelihood to local communities.

- 2) For the country's 12 to 15 million indigenous peoples, ancestral domains are not only traditional habitat, but also spiritual centers where traditions persist through the generations. In the Philippines the link between indigenous peoples' ancestral domain and biodiversity conservation is strengthened by the participatory and rights-based approaches to biodiversity management found in the National Integrated Protected Areas System (NIPAS) Act of 1992 and the Indigenous Peoples Rights Act (IPRA) of 1997. The NIPAS Act integrates the participation of local communities in PA management through Protected Area Management Boards (PAMB) consisting of local government officials, NGOs, peoples' organizations, local communities and civil society representatives, private sector and other stakeholders. Likewise, the IPRA was designed to protect and promote the rights of indigenous communities and guarantee indigenous peoples' rights over ancestral land, resources, and culture.
- 3) NIPAS defines different types of specially managed areas, including: **Protected landscape/seascape (PLS)** and **Protected Area (PA)**. *PLS* are areas of significance characterized by harmonious interaction of man and land/seas while providing opportunities for public enjoyment through recreation (and tourism) within the normal lifestyle and economic activity of these areas. **Protected Area (PA)**: specific portions of land and water set aside for their unique physical and biological significance managed to enhance biological biodiversity and protect against harmful use. In PA, biodiversity is the main management objective. In PLS biodiversity is one of several management objectives, including cultural traditions or sustainable economic activities.
- 4) Three of the most important regions where biodiversity resources are inextricably linked to the livelihoods and well-being of local and indigenous communities are the Sierra Madre Mountains, Samar Island and Palawan Island. These have been selected by the GEF-SGP National Steering Committee as priority sites for this project on the basis of their global biodiversity significance (including the number of key biodiversity areas, protected areas and protected landscapes present therein), the presence of a strong network of community-based organizations active in conservation issues, and opportunities to catalyze convergence with complementary initiatives and partners. The Sierra Madre Mountain Range covers approximately 1.5 million hectares, spanning three administrative regions. The Sierra Madre forest is unrivalled in species diversity and structural complexity, containing the largest contiguous old growth tropical rainforests (400,000 hectares) in the Philippines. These forests provide habitat to 40% of known vertebrates in the country and 70% of those recorded in Luzon. The endemic species comprise 63% of Luzon's and 28% of the country's total number of endemic species. It is home to thousands of indigenous peoples, whose culture and livelihood depend on the forest and continued husbandry of forest products. The Agta people, or Dumagat are the original inhabitants of the Sierra Madre.
- 5) Samar is the third largest island in the Philippines archipelago. It contains one of the country's largest unfragmented tracts of lowland rainforest. The island is of high significance for its global biodiversity, harboring some 38 species of mammals (50% endemic), 215 species of birds (55% endemic), 51 species of reptiles (69% endemic), 26 species of amphibians (52% endemic) and over 1,000 species of plants (53%

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<sup>3</sup> Medium Term Philippine Development Plan (MTPDP) 2004-2010 <http://www.neda.gov.ph/ads/mtmdp/MTPDP2004-2010/PDF/MTPDP2004-2010.html>

endemic)<sup>4</sup>. For many years, civil unrest hampered the conservation of this rich biodiversity. Improvements in civil order in the 1990s provided an opportunity to address these threats by expanding and strengthening PA on the island.

- 6) Palawan is a UNESCO “Man and the Biosphere Reserve” and World Heritage Site (1991). Presidential Proclamation 2152 declared it as a “Mangrove Swamp and Forest Reserve”. More than 30% of the province is under the NIPAS. Palawan has the largest aggregate forests in the country. The total forest cover has decreased lately. Satellite data from 2005 indicate the forest to be about 666,000 hectares or 46% of the province’s land area. There are three major indigenous peoples groups in the province: Bataks, Tagbanuas, and Pala’wan<sup>5</sup>.
- 7) Despite the general recognition of the importance of biodiversity, however, threats to biodiversity continue to exist. The Philippine Medium-Term Development Plan 2004 – 2010 profiles the destruction of forest, freshwater and marine ecosystems and the resulting biodiversity crisis. With the loss of biodiversity comes a reduction in the natural capital (total economic value of ecosystem services) that local communities depend upon in the Philippines. The latest environmental indicators show that the various aspects of environmental sustainability are rated poor or low. Overall, the ability of the major ecosystems to provide and maintain a regular stream of economic goods and ecological services has been significantly affected due to declining stocks and reduced coverage and quality. This is in part is the result of the following ongoing **threats:**
  - 8) *Habitat destruction/ land use change.* Slash and burn farming and charcoal making continue to degrade natural forest habitats. Charcoal making is still a dominant industry even in key biodiversity hotspots. Slash and burn farming results in the growing of cash crops that increasingly rely upon fertilizer and pesticides, negatively affecting soil health and aquatic biodiversity and increasing GHG emissions. On Luzon Island, more than 150,000 ha of the fragile western slopes of the Sierra Madre have been converted to shifting cultivation by slash and burn farming or conversion to charcoal. Destructive methods of fishing degrade fish populations and destroy coral reefs and mangroves along the 550-km Luzon coastline from Sta. Ana, Cagayan to Gen. Nakar, Quezon. In the Cagayan region, many of the 31,000 subsistence fisher folk use destructive dynamite fishing and cyanide squirting.
  - 9) *Overexploitation of biodiversity:* Overexploitation of valuable species is still widespread. This includes unsustainable harvesting or gathering of hardwoods like carabao in Samar, Sierra Madre and Palawan. This also includes overharvesting of endangered animals and non-timber forest products like honey. In Palawan, over US\$1 million in poached timber for hardwood lumber and *narra* tiles was confiscated in 2001 alone<sup>6</sup>. In Sierra Madre, unregulated extraction of timber and other forest products is reducing watershed cover to levels below 30%.
  - 10) *Pollution:* destructive small-scale mining practices continue to destroy landscapes and poison water. In northern Palawan (Camago), uncontrolled small-scale mining activities are polluting an area covering 3,285 ha and affecting an increasing number of local streams.

### C. BARRIERS AND LONG-TERM SOLUTION

- 1) *Barrier 1:* Local communities and indigenous communities are hampered in their ability to form and manage community-based PA by inadequate organizational capacity. Communities have limited experience in forming associations and community organizing and have few formal communication skills. Overall, most communities lack

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<sup>4</sup> <http://www.samarislandnaturalpark.org/>

<sup>5</sup> Palawan Council for Sustainable Development (PCSD), Presentation by Ms. Josephine Matulac at the “Palawan Summit on Biodiversity and Climate Change”, Palawan, March 2-3 2010

<sup>6</sup> PCSD *ibid.*

the necessary knowledge of legal processes to take advantage of provisions in Philippine law that encourage community involvement in and the establishment of community PA. Such barriers prevent local communities from forming and taking ownership of local PA. Few community PA include marine and/or aquatic ecosystems. In rural areas, the restoration of degraded habitats will likely be a priority activity of any community PA, given that it is these kinds of habitats that are in most need of protection (coral reefs, forest watersheds). And yet, local communities lack the experience and “proof of concept” to guide them in restoring critical natural habitats successfully.

- 2) *Barrier 2.* Organizational knowledge, experience and market barriers constrain the adoption of sustainable land-use plans and practices across landscapes. Inexperience among local communities with mainstreaming mechanisms, such as inter-community collaboration councils and concepts and tools such as land-use planning is a significant barrier to establishing PLS. While PLS are a category under the NIPAS Act, how these PLS are managed and operated is not specified, providing an opportunity for innovation. Indigenous peoples’ uncertainty as to the strength and legitimacy of their legal rights to ancestral lands is another barrier to the establishment of PLS. Such uncertainty serves as a disincentive for creating sustainable use and conservation mosaics across target landscapes. Uncertain tenure and limited capacity to articulate their rights rob communities of a solid legal baseline upon which to build landscapes to sustain biological diversity. There are various barriers at the community level to farmers and other resource users adopting alternative “biodiversity friendly” methods of production in agriculture, fisheries and forestry. One barrier to adoption is a lack of information and knowledge about organic farming or non-destructive methods of fish capture. Farmers lack knowledge about the benefits of agroecology and how organic farming methods bolster the soil. Organic certification for community level and small-scale producers of biodiversity dependent products is virtually unknown, as is improved community-based resource use of non-timber forest products, and community level enforcement measures in near shore fisheries. In addition, there is a lack of knowledge and information on the importance of biodiversity to the communities’ well being as manifested by continuing unsustainable resource utilization and other destructive practices. Key economic arguments for sustainability, such as the total economic value (TEV) of healthy ecosystems, remain unfamiliar to most local communities in the Philippines, undermining the rationale for allocating scarce resources to PLS.
- 3) *Barrier 3.* Peer-to-peer training mechanisms and networks and partnership platforms for peer-to-peer capacity building are not well developed and there are few capacity building opportunities available to local rural and small urban communities. Local producer and community-based organizations are poorly developed with limited opportunities for training through a systematic capacity building program in sustainable resource management, even through cost-effective peer-to-peer approaches. For example, coastal artisanal fishermen receive no extension support or training in sustainable coral reef or mangrove management, and farmers receive no support in organic agricultural practices in surrounding hills. Few if any strategic capacity building partnership initiatives exist at the community level that are tied to communities seeking to create and maintain strategic PA/PLS landscape mosaics.

#### The Solution:

To contribute to overcoming the threats and barriers described above, the proposed GEF-SGP Philippines project will support local people’s organizations, NGOs and CBOs in designing and implementing projects to contribute to global biodiversity conservation using the landscape approach and modeling and implementation of best practices. There are a vast number of NGOs, CBOs, and peoples’ organizations in the Philippines, with widely varying levels of capacity and organizational strength. Organizations range from small, highly-local groups with limited literacy to prominent national organizations. There are also a number of NGO coalitions and movements, such as the *Nagkakaisang Tribu ng Palawan* (United Tribes of Palawan) and the “Save the Sierra Madre Movement” in Luzon. These coalitions can have as many as 3,000 member organizations and sub-networks across the country. However, the GEF-SGP Philippines project will focus mainly on

working with local NGOs, CBOs and indigenous people's groups in the three identified priority landscapes (Sierra Madre, Samar Island and Palawan). These local groups generally have limited capacities and experience, and thus capacity-building support will be a main feature of the proposed project. Individual small grant projects will contribute concrete outputs to the achievement of three inter-related components and their respective outcomes: I) Community-based actions improve the sustainability of protected areas (PAs); II) Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors (PLS); and; III) Cross Cutting Capacity Development and Knowledge Management. The majority of individual grants funded under this project will contribute to the achievement of the main project objective and targets included in the project results framework.

#### D. PROJECT STAKEHOLDERS

Stakeholders	Relevant Roles and Responsibilities in this Project
<b>Central Government Institutions and Agencies</b>	
Department of Environment and Natural Resources (DENR-PAWB)	The DENR-PAWB is the designated GEF Operational Focal Point for Philippines. The GEF Operational Focal Point is the Chair of the GEF Philippines National Steering Committee (NSC) and the project's national steering committee. The DENR-PAWB is the national agency mandated to protect, conserve and manage the environment and natural resources of the country. The DENR-PAWB and its concerned bureaus will be involved in the formulation of appropriate policy, guidelines and tools to improve and further enhance the implementation of its plans and programs including policies on biodiversity. The DENR-PAWB field offices will be strengthened to support and assist the LGUs to develop their capacities in applying these tools in order to promote mainstreaming of biodiversity in the production landscape plan of the LGUs.
National Economic Development Authority (NEDA)	NEDA is the agency overseeing the planning and monitoring of the UNDP Country Programme. NEDA will sit as member of the National Steering Committee. It will monitor and evaluate the implementation of the Project, as part of its inherent role in the management of the ODA portfolio.
Department of Agriculture (DA) / Dep't Agrarian Reform (DAR)	This is the agency in charge of agricultural development of the country. The DA/DAR will be a key partner in the implementation of the Project specifically in terms of policy support to the development of alternative biodiversity products from agriculture and fisheries.
Department of Interior and Local Government (DILG)	This agency provides administrative supervision over all LGUs in the country. DILG will be a member of the NSC and it will have a key role in the facilitating resolutions relevant to LGU participation in PA management.
National Commission on Indigenous Peoples (NCIP)	NCIP is the government agency responsible for the protection of IP's welfare. It will be a primary partner and will be a member of the NSC since most of the sites of the Project are ancestral domains. NCIP can help facilitate linkages with IP groups in the sites, support to policy development concerning IP management of PAs.
<b>II Local Government</b>	
Local Government Units (LGUs)	The LGUs have political jurisdictions in areas where the PAs/KBAs are located. They are mandated by law to spearhead the passing of local ordinances, develop and enforce regulations in their political jurisdictions. The LGUs can also provide logistical support to the projects in terms of technical expertise, facilities, or even vehicles when and if needed. They are responsible for comprehensive land use planning and in the formulation and implementation of local development plans. While the communities are the main target of capacity building activities in the Project, venues for discussions, collaborations and consensus building shall be included in the project. Mutual support and

Stakeholders	Relevant Roles and Responsibilities in this Project
	understanding between the LGUs and the local communities will increase the projects' chances of succeeding in protecting biodiversity corridors, and promoting sustainable management within and around PAs/KBAs.
Leagues of Cities, Municipalities	The Leagues ensure there is national level representation in the discussion of policies and programs that affect LGUs. They will be an important partner in disseminating lessons, and advocacy in strengthening the capacities of LGUs in biodiversity mainstreaming. It will support lessons sharing through its existing mechanisms.
<b>III. Civil Society Organizations and Private Sector</b>	
Private sector	The private sector is definitely included in the value chain of biodiversity conservation and its involvement includes translating environmental benefits into monetary terms. The sectors' practices affect utilization of natural resources. Fortunately, more and more private sector organizations are espousing corporate social responsibilities that can be potentially harnessed to support conservation efforts directly. The Project will engage actively with the private sector to influence their actions, and explore potential investment opportunities on biodiversity business and other production systems. Their resources will be harnessed to promote investments in sustainable use, and provide alternative income generating opportunities to communities to steer them away from destructive practices.
IP groups within the selected sites	IP groups are primary stakeholders in the Project. They stand to benefit from the Project, and suffer the consequences of inaction on biodiversity conservation. They have strong historical and cultural ties to their domains; which coincide with the boundaries of existing PAs. Their indigenous practices and knowledge systems are mainly consistent with conservation objectives. They will take an active role in the implementation of local actions to support integrated local development plans, in partnership with LGUs, local communities, DENR-PAWB field offices, and other local stakeholders, as appropriate. They will also be responsible for issuing the Free and Prior Informed Consent (FPIC) for the Project in selected areas. <sup>7</sup>
Local NGOs and CBOs	Local NGOs and CBOs are primary project beneficiaries. As the GEF-SGP grantees the GEF-SGP will work with them to finalize eligible proposals for funding under the project's three main components and seven outcomes.
Academic and Research Institutions	The academic and research institutions help provide scientific foundations for project initiatives through their research and other academic work in the regions/provinces where the Project sites are located. They will be involved in the conducting of research and other studies, and in sharing of scientific information on the sites especially so if the communities have contributed to the researches made. They will provide their expertise such as advisory support to selected Project activities.
Women and Youth	Women and youth will be given particular attention in the project so that their potential can be harnessed to contribute in improving sustainable management in the production landscapes.

<sup>7</sup> The Indigenous Peoples Rights Act (IPRA) requires that all development projects undertaken in areas with IP communities should have the FPIC

## II. STRATEGY

### A. PROJECT OBJECTIVE, OUTCOMES, OUTPUTS AND ACTIVITIES

**Project Objective:** Global environmental benefits secured through community-based biodiversity conservation initiatives and actions in selected priority sites in the Philippines.

#### COMPONENT I: COMMUNITY-BASED ACTIONS IMPROVE THE SUSTAINABILITY OF PROTECTED AREAS (PAs)

- 1) Work under this component will strengthen community-based actions to improve the management and sustainability of protected areas (PAs). This component will strengthen the capacity of communities to participate in PA management, enable local communities to explore new ways of PA management and strengthen governance systems that can support landscape-wide coordination under Component 2. In addition, this component will create at least ten community management or co-management models as demonstrations. The project will also support community efforts to rehabilitate and restore degraded habitats within PAs, under the umbrella of the National Greening Programme. The project will strengthen the capacity of local communities to effectively participate in the management of the PAs within their communities. By strengthening the reciprocal relationship between PAs and their stakeholder communities, the project will ensure that communities have a continuing voice in the management of their local environment, while strengthening the sustainability and effectiveness of the PA system.
- 2) Outputs and activities under this Component are structured to achieve one Outcome, as follows:  
**Outcome 1: Effective models for community-based governance of protected areas are demonstrated.**
- 3) Baseline: Protected Area management is currently structured primarily through the national NIPAS system, which oversees a network of Government-managed PAs covering key biodiversity areas in the Philippines. NIPAS provides for community involvement in the management of PAs through the Protected Area Management Boards (PAMBs), however it does not include provisions to recognize alternative governance structures such as community-managed PAs or indigenous people's conservation areas. As a result, community efforts to establish and manage smaller community-based PAs do not receive systematic technical or financial support from existing Government structures.
- 4) Alternative: This project will help to support the development and implementation of community-based protected area models as a complementary form of PA management to NIPAS. Working with initiatives such as New CAPP (The New Conservation Areas in the Philippines Project) this project will support communities to identify, establish and manage community conservation areas under a range of locally-relevant governance structures. These demonstration sites will provide examples and on-the-ground experience which will help inform the expansion of the national PA estate to include diverse and complementary forms of PA governance.
- 5) Achievement of this Outcome will be defined by five key indicators:
  - a) Effective models for community-based governance of protected areas demonstrated.
  - b) At least ten community management or co-management models established and operational.
  - c) At least twenty community Protected Areas established or enhanced encompassing at least 100,000 hectares.

- d) 40% increase in relevant dimensions of management effectiveness in target PAs, as measured by the METT.
  - e) 1,000ha of mangroves rehabilitated or protected within one or more PAs.
- 6) Outputs envisaged to achieve this outcome include:
- f) *Output 1.1: Model community management systems for PAs.* Activities funded under this output will focus upon either established existing larger protected areas for which a community or co-management component needs to be developed or smaller protected areas of global significance for which no management structure has yet developed. Key partners will be the regional offices of the Department of Environment and Natural Resources, and the Protected Area Management Boards of the respective PAs. The project will use rapid participatory assessment techniques to diagnose the status of each protected area in order to serve as a baseline for the elaboration of community-based management plans in these areas. The grants to conduct this management planning will be allocated to CBOs, communities and/or NGOs with demonstrated technical competence and a track record in participatory planning methods and local natural resource management.
  - g) *Output 1.2: New or enhanced community-based PAs.* Grantees will establish benchmarks, and be helped to conduct baseline surveys for generating inventories of local biodiversity. Activities funded under this output will focus on practical, simple measures to be taken to reduce pressure on priority species and/or conserve the critical habitat (re nesting, spawning, etc.) of priority species. Capacity-building efforts will promote the preservation and application of traditional and indigenous knowledge and practices relevant to the conservation and sustainable use of priority species and ecosystems and related biodiversity. Key partners of grantees will be the regional offices of DENR-PAWB and Local Government Units.
  - h) *Output 1.3: Degraded habitats within PA restored and rehabilitated by communities to promote the recovery of threatened species and ecosystem services.* In rural areas, the restoration of degraded habitats will likely be a priority activity of any community PA, given that it is these kinds of habitats that are in most need of protection (coral reefs, forest watersheds). Small grants funded under this output will enable local fishermen associations to restore the ecosystem services of targeted areas of mangrove systems to enhance local fishing resources. Other types of possible eligible activities under this output include providing expertise and seed funding for mangrove-dependent communities to increase mangrove forest cover in target areas. This would likely include capacity building of local communities in developing nurseries and sustaining and protecting mangrove areas. These kinds of projects will be aligned to support the effective implementation of appropriate forest law and regulation and to promote and strengthen community forest management practices. Such projects would work closely with local Forest Departments to complement the existing baseline projects in the area and to enhance community ownership over forest resources and their role in mangrove conservation. Other types of eligible activities under this activity will promote the sustainable use of existing mangrove forests and increase mangrove forest cover to protect mangrove biodiversity, and increase local community awareness as to the value of mangrove ecosystem services.

**COMPONENT 2: MAINSTREAM BIODIVERSITY CONSERVATION AND SUSTAINABLE USE INTO PRODUCTION LANDSCAPES, SEASCAPES AND SECTORS (PLS).**

- 7) Work under this component will enable communities to create protected land and seascapes (PLS) within which the mainstreaming of biodiversity conservation objectives into sustainable community-based production activities will take place. This component will support community initiatives in understanding and consequently integrating the principles, practices, and strategies of biodiversity conservation in the

community's economic production activities. Outputs under this component will strengthen the inclusion of biodiversity conservation objectives into community-based land and resource use plans such as the Ancestral Domain Sustainable Development and Protection Plan (ADSDPP) for indigenous communities, the Local Government Unit Comprehensive Land Use Plans (CLUPs), the Community-Based Forest Management (CBFM) system or other community-based natural resource management systems. Activities will also focus on removing barriers at the community level to farmers and other resource users adopting alternative "biodiversity friendly" methods of production in agriculture, fisheries and forestry. By strengthening the integration of biodiversity conservation into existing land- and resource-use plans such as ADSDPPs and CBFMs, the project will ensure that conservation objectives are mainstreamed into development planning on a sustainable basis. This mainstreaming at the planning level will be complemented by specific community enterprise-level interventions within production sectors such as agriculture, fisheries and forestry.

8) This component includes two Outcomes as follows:

**Outcome 2: Community-managed landscapes and seascapes explicitly integrate biodiversity conservation objectives.**

**Outcome 3: Alternative biodiversity friendly agriculture, fisheries and forestry products produced and marketed by 30 communities.**

9) Baseline: A variety of initiatives have been undertaken in the Philippines to strengthen sustainability and conservation approaches in economic production. These range from sustainable forest management and reduced impact logging in the forestry sector, to pilot initiatives by individual plantations and producers on reducing water use and agrochemical inputs in sugar cane, to initiatives for organic production of fruits and vegetables for sale in major cities such as Manila. However these initiatives have largely focused on production by large-scale commercial enterprises, such as commercial logging companies, the major sugar plantation companies, and fruits and vegetables sold through the main national supermarket chains. As a result, individual household producers and local community groups have had relatively limited access to the skills, tools and resources required to integrate sustainable production approaches into their local livelihood planning and production activities.

10) Alternative: The project will help to bring sustainable production approaches and resources down to local-level planning and production, to ensure that the broad, small-scale economic production activities undertaken by local communities and household groups also incorporate biodiversity conservation objectives to the extent possible. The project will strengthen communities' capacities to integrate biodiversity conservation and sustainable use into both local development planning (under Outcome 2) and in the actual production of agricultural, fisheries and forestry products (under Outcome 3) focusing particularly on the development and implementation of certified production schemes to provide access to premium markets.

11) Achievement of Outcome 2 will be defined by the following indicators:

- i) 400,000 ha under improved community "mainstreamed" management within PLS, reducing threats to BD from slash and burn farming; over-harvesting of timber, and destructive fishing.
- j) 40 community-based land use plans or Ancestral Domain plans incorporate biodiversity and ecosystem services valuations.
- k) Total Economic Valuation reports or similar ecosystem valuation approaches adopted by at least 20 communities and being used in the development of ADSPs or other community land-use plans by end of project.

12) Achievement of Outcome 3 will be defined by the following indicator:

- l) 30 community-level regulations or enactments for biodiversity-friendly production in key sectors.

- 13) Outputs envisaged under the two Outcomes in this Component include:
- m) *Output 2.1*: At least four new PLS established.
  - n) *Output 2.2*: At least 20 community mechanisms for landscape level biodiversity management and coordination operating across targeted landscapes.
  - o) *Output 2.3*: Ancestral Domain Sustainable Development and Protection Plans (ADSP) and/or community-level land-use plans integrate BD conservation objectives.
  - p) *Output 2.4*: Community-level total economic value (TEV) studies highlight value of ecosystem services.
  - q) *Output 3.1*: Strengthened community level capacity for certification.

**COMPONENT 3: CROSS CUTTING CAPACITY DEVELOPMENT AND KNOWLEDGE MANAGEMENT.**

- 14) CBOs in the Philippines are mostly self-help groups composed of community members who receive no remuneration for their work. The quality of project proposals is generally very poor at the start, even though the community may have interesting ideas. Also, their understanding of global environmental issues is lacking and they have no experience of results based management and participatory M&E. GEF-SGP policy in the Philippines is not to fund the same CBO more than once in a funding cycle. The reason for this is to ensure coverage of the maximum number of communities in the selected areas, and to instill among community members the need to use the opportunity wisely and not become dependent on GEF-SGP funding. Some 80% of GEF-SGP-financed CBOs have not received and managed a prior grant directly from an international organization or a bilateral donor.
- 15) This component supports capacity building initiatives that will equip project community partners such as CBOs with the skills, knowledge and competencies necessary to strengthen conservation and sustainability at the local level. It will also create a knowledge management platform that will facilitate linkages and cross-fertilization among grantees, promote information sharing, and provide access to knowledge resources that are relevant to their individual projects. Knowledge sharing and replication will ensure that the impacts of the project are sustained and expanded, generating additional environmental benefits in the longer-term.
- 16) The increased capacity of community-level stakeholders to generate, access and use information and knowledge created through this component is expected to strengthen the sustainability of the project activities beyond the life of the project. The platforms for information sharing, peer-to-peer training and knowledge exchange will strengthen existing community-level institutions such as CBOs, NGOs, and peoples' organizations. At the end of project implementation several members of the CBOs are expected to be able to develop adequate project proposals and to explain in an articulate manner what their project is about and what GEBs will be achieved. Also, some 70% of CBOs supported by GEF-SGP are expected to improve their governance and financial management systems, which is demonstrated by their capacity to continue operating and sustaining or upscaling project results.
- 17) And finally, Outcome 5 of this component will enhance the capacities of GEF-SGP grantees to monitor and evaluate their projects and broader environmental trends in their communities.
- 18) Baseline: The activities of the global GEF-SGP programme in the Philippines over the last fifteen years have helped to strengthen the capacities of a large number of CBOs, NGOs and peoples' organizations. This increase in capacity has been one of the most lasting impacts of the GEF-SGP programme, as was reflected in various evaluations and programme reviews (e.g. the Joint Evaluation of the GEF Small Grants Programme in 2007). However, efforts to systematically plan, track, capture and report on the growth in capacity have been limited, and thus the full scope of the impact achieved has not been adequately documented. At the same time, the portfolio-wide cumulative impacts of the GEF-SGP's efforts to strengthen conservation and protect

biodiversity have also not been adequately captured. While there is considerable anecdotal evidence of success in protecting biodiversity, promoting sustainable use and strengthening community capacities, this evidence has not been collated into portfolio-wide impact analyses as is done for regular GEF initiatives.

19) **Alternative:** Under this project, a more comprehensive and systematic mechanism will be established to plan, deliver and monitor the impact of capacity-building activities under the GEF-SGP system, as well as to track and report on the cumulative impact on conservation status and trends in grant locations. This mechanism will be developed in collaboration with, and implemented by, national NGO partners to be selected through transparent and competitive selection procedures. By instituting more systematic capacity development and impact assessment processes, the project will ensure that the longer-term impact of the GEF investment will be quantified. At the same time, the data generated by the systems will allow for improved adaptive management, including e.g. in refining the scope and selection criteria for grants to be awarded, in improving monitoring and reporting templates and procedures, and in targeting grant resources to areas and thematic activities which generate the greatest long-term value.

20) Activities under this component are designed to support achievement of two Outcomes:

**Outcome 4: Increased capacity of GEF-SGP stakeholders to diagnose and understand the complex and dynamic nature of global environmental problems and to develop local solutions.**

**Outcome 5: Enhanced capacities of GEF-SGP grantees to monitor and evaluate their projects and environmental trends.**

21) Achievement of Outcome 4 will be defined by the following indicators:

- r) At least 4000 community-level resource users and managers are trained to use the GEF-SGP knowledge networking and partnership platforms, and are actively using these tools.
- s) Replication of conservation and sustainable use approaches in at least 30 new grants by year 4.
- t) 50% increase in amount of long-term co-funding for Philippines GEF-SGP by year 3.
- u) Community-based partnership initiatives for GEF-SGP launched by at least 4 LGUs by end of year 4.

22) Achievement of Outcome 5 will be defined by the following indicator:

- v) Improvement in the quality and accuracy of project monitoring reports provided by grantees, as assessed by progress reports prepared for NSC meetings.

23) Outputs envisaged under the two Outcomes in this component include:

- w) *Output 4.1:* Training mechanisms developed for peer-to-peer learning.
- x) *Output 4.2:* Guidelines, best practice notes and improved biodiversity conservation approaches developed and demonstrated.
- y) *Output 4.3:* New knowledge networking and partnership platforms for inter-community knowledge sharing.
- z) *Output 4.4:* Strategic partnerships among community groups, private sector, and academia for long term sustainability planning.
- aa) *Output 5.1:* Training programme on identification and tracking of indicators, and project participatory monitoring.

24) In the event of requests for funding of community-led initiatives to support on-the-ground modest actions implemented in water quality, quantity, fisheries, and coastal habitat demonstrations, this project will make available up to 20% of its programming

resources, to finance activities that address these IW focal area outcomes and that are complementary with this project's primary focus on biodiversity conservation and sustainable use.

**B. RISKS AND ASSUMPTIONS, PROPOSED MEASURES TO ADDRESS THEM**

Description	Date Id'd	Type	Impact & Probability	Countermeasures / Management response
Grantees have varying levels of technical and management capacity and may fail to complete a project or to take advantage of opportunities for community participation in conservation initiatives.	03/2011	Strategic	Low	The project, building upon years of GEF-SGP-Philippines experience, will anticipate these risks during grant review and approval and when planning and providing grant support. Risks will be mitigated by consistent oversight and monitoring of the project portfolio by UNDP (e.g. helping grantees maintain appropriate rates of disbursement, link grantee partners to peer-to-peer learning groups, and work flexibly to respond to the strengths and comparable advantages of grantees). The project will also reduce risk by supporting replication of practices that deliver on GEF strategic priorities at the community level.
Government regulatory processes can outlast the typical lifespan of a grant (two years). An example is the Ancestral Domain Title process.	05/2011	Strategic	Medium	Wherever possible, the project will give granting priority to those processes that are already underway or completed.
Climate unpredictability may affect the level of success of the project's biodiversity conservation work such as habitat restoration and thereby constrain project achievements or affect their impact (+, -).	05/2011	Environmental	Medium	To the extent possible, grants will be made with climate risks in mind, and steps will be taken to minimize and adapt. The project's focus on strengthening a decentralized protected area approach (community based PA) in Philippines makes particular sense given the need to strengthen the resilience of our conservation tools in the face of climate change. Resilience is strengthened in part by ensuring a range of approaches and tools are used to conserve and sustainably utilize biodiversity. By working to develop capacities for more appropriate land uses, the project will enable local communities to reduce ecosystem pressure, increasing ecosystem resilience.

Baseline government funding for community-based initiatives may continue to be limited.	05/2011	Financial	Low	The project emphasizes enabling stakeholders to work with resources at hand and build effective conservation practice step-by-step by applying a multiple-level approach to conservation and monitoring work.
Grantees may not, in the end, meet their co-funding obligations under each small grant proposal.	05/2011	Financial	Low-Med	Small grant applicants will be required to provide credible evidence of the realistic nature of their co-funding in the form of financial audit statements or letters from primary co-funders. Grantees will also be encouraged to form partnerships with well established governmental and private sector entities with proven track records.

### C. PROJECT RATIONALE AND POLICY CONFORMITY

- 1) The proposed project responds directly to key elements of the UN system's Development Assistance Framework (UNDAF), specifically Outcome 4 on increasing "capacity of stakeholders to protect/enhance the quality of the environment and sustainably manage natural resources". The project also supports the on-going UNDP Country Programme in the areas of Empowerment of the Poor and Ensuring Environmental Sustainability. Component 1 of this project deals with ensuring environmental sustainability through community actions. It opens up opportunities for local communities to participate in the management of protected areas and landscapes as well as activities that capacitate local communities to assume such roles. Component 2 covers activities that further enrich production areas around protected areas, thereby assuring the communities a significant share in the economic benefits resulting from their conservation actions. The whole initiative also provides experiential references that will be used in developing protected area management options involving local communities, which are amongst the planned activities of the on-going Country Programme.
- 2) UNDP Philippines has an extensive track record in developing and implementing environmental management and conservation programmes, including a large portfolio of GEF-supported investments cumulatively totaling in excess of US\$40 million. The UNDP Philippines Country office has a total of 7 staff in a dedicated Energy and Environment Unit, out of a total staff complement of 35. Other staff, including in the Operations and Financial Management unit, also support project implementation, and oversight is provided by a senior management team including a Resident Representative, Country Director and Unit Managers. UNDP Philippines delivers approximately US\$15 million per year in overall development assistance, derived from a variety of sources including core UNDP programme funds, bilateral donors and multilateral mechanisms such as the GEF and the MDG Achievement Fund.

## D. COUNTRY OWNERSHIP AND COORDINATION WITH OTHER INITIATIVES

- 1) The Government of the Philippines is taking action to address biodiversity threats in partnership with local communities. One major element of the response, which forms the core of the baseline project, is the **National Greening Program**<sup>8</sup>. The NGP is a six-year programme initiated in February 2011, which aims to significantly enhance national reforestation and greening efforts, working primarily through Peoples' Organizations, NGOs and CBOs supported by a range of other stakeholders<sup>9</sup>. The NGP aims to enhance forest cover and conservation of 1.5 million hectares of land, including forestlands, mangroves, protected areas, ancestral domains, etc. It aims to support national sustainable development efforts in poverty reduction, food security, biodiversity conservation and climate change mitigation and adaptation<sup>10</sup>. The Greening Program will include both reforestation of protected areas (including mangrove areas) as well as agroforestry plantations in other forest lands such as Indigenous Peoples' ancestral domains. In the first year of implementation (2011) 60% of the reforestation activity will take place within community-managed areas, 20% within Protected Areas and 20% within ancestral domains<sup>11</sup>. The peoples organizations involved in reforestation activities will be given the primary responsibility for maintaining and protecting the reforested areas.
- 2) The NGP provides a broad framework through which a range of government support will be channeled, including the programmes of the Department of Environment and Natural Resources (DENR-PAWB), the Department of Agriculture (DA), the Department of Agrarian Reform (DAR), Local Government Units, the National Commission on Indigenous Peoples (NCIP) and others. Private sector and civil society support will also be harmonized with the NGP framework. The final cost estimates for the NGP are not yet completed, however at a conservative estimate of USD250 per hectare, the overall programme target of 1.5 million hectares will leverage at least USD375 million in Government resources for greening and forest management and rehabilitation efforts over the coming six years. The contributions being provided by NGOs, CBOs and Peoples' Organizations have not been thoroughly quantified, however at a conservative estimate of USD12.5 per hectare (5% of the Government investment), the support from NGOs and CBOs would amount to USD18.75 million across the country overall, and up to USD6.25 million in the PAs and forest landscapes being covered in the proposed GEF-SGP project.
- 3) The NGP is an ambitious initiative to reverse forest loss and ecosystem degradation in the Philippines while recognizing the crucial role to be played by local communities and peoples' organizations. It provides a strong platform from which to address global biodiversity conservation issues in partnership with local communities. Given the significant rural population in the Philippines, the role of local communities in conservation is vital in order to avoid the continued degradation of natural resources. However, this baseline project focuses primarily on the direct task of community-based reforestation and conservation (across multiple ecosystem types), rather than addressing the underlying capacity barriers that have pushed local communities to manage their landscapes and seascapes unsustainably.
- 4) A holistic and sustainable strategy to conserve the Philippines' ecosystems and natural resources needs to more effectively recognize the important role of local communities and community organizations in the management of their local environment. Providing local communities with the tools and resources (including financial resources) to exercise effective stewardship over their natural resources is a highly sustainable and cost-effective element of a comprehensive national conservation strategy<sup>12</sup>. A comprehensive community-based conservation and natural resource management system complements

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<sup>8</sup> <http://www.gov.ph/downloads/2011/02feb/20110224-EO-0026-BSA.pdf>

<sup>9</sup> Philippines Presidential Executive Order No. 26 of 2011, Section 3.1.2

<sup>10</sup> EO 26, Section 1.

<sup>11</sup> Department of Environment and Natural Resources.

<sup>12</sup> See for example a recent global assessment of community-based forest and PA management here: <http://www.cifor.org/nc/online-library/browse/view-publication/publication/3461.html>

other conservation strategies such as a national PA system (NIPAS in this case) and sustainable production/ environmental mainstreaming.

- 5) Therefore the proposed GEF project's long term solution is to provide communities with the capacities and enabling environment required to manage an integrated mosaic of land use and resource management practices across the rural landscape of the Philippines. This integrated approach will comprise PAs within larger production landscapes and seascapes (PLS) that generate sustainable livelihoods while helping the Philippines generate global benefits for biodiversity.
- 6) The project will complement and support the higher level policy, institutional and technical capacity work of existing GEF projects:
  - Strengthening Coordination for Effective Environmental Management (STREEM). The STREEM project aims to develop coordinating mechanisms, tools and incentive systems to ensure synergy and complementarity among the three Rio Conventions at the national level and local level pilot area. This will allow the project to focus on capacitating the communities on the tools and mechanisms provided by STREEM.
  - Expanding and Diversifying the National System of Terrestrial PA in the Philippines (EDNSPAP) is strengthening the policy framework where the project will enable community initiatives to take part in PA management. This project will provide trailblazing community initiatives for biodiversity conservation in the expanded PA system provided by EDNSPAP.
  - Philippine Climate Change Adaptation Project (PHILCCAP). PHILCCAP aims to demonstrate approaches that would enable targeted communities to adapt to the potential impacts of climate variability and change. This would be achieved by strengthening existing institutional frameworks for climate change adaptation, and by demonstrating cost-effective adaptation strategies in agriculture and natural resources management. The project is expected to increase communities' adaptive capacity principally by improving: (a) farm management capability under conditions of climate risk; (b) access to information on weather forecasting and climate patterns; and (c) access to risk management options such as weather index insurance. Its primary beneficiaries include poor farmers whose livelihoods are often impacted by climate-related losses, and other vulnerable groups who depend on natural resources for their livelihoods. In Mindanao, its sites are Siargao islands, and Bukidnon. This project will learn from the lessons of PHILCCAP in integrating climate change risk management into local community conservation and livelihood activities.
  - The Partnership for Biodiversity Conservation: Mainstreaming in Agricultural Landscape (PBCAL) project's main objective is to assist Local Government Units (LGU) to mainstream biodiversity conservation in their development planning systems. This project works one level down from LGU and will enable communities to integrate community planning into LGU plans.
  - The Poverty-Environment Initiative (PEI) supports LGU to build capacity for mainstreaming poverty-environment linkages into development planning. It will identify the policies and programmes to bring about better pro-poor environmental management and influence other planning processes like budgeting. PEI will serve as an ideal co-funding vehicle for this project's grantees in their efforts to identify livelihood options that support biodiversity conservation.
- 7) An initial analysis of six recent GEF-supported projects was conducted in order to assess lessons learned regarding community-based initiatives.<sup>13</sup> This analysis showed that GEF-supported projects engage with community-level conservation actions to varying degrees, ranging from limited engagement in the case of larger sectoral projects such as ENRMP

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<sup>13</sup> These projects were: WB/GEF Conservation of Priority Protected Areas in the Philippines, WB/GEF National Program Support for Environment and Natural Resources (ENRMP), WB/GEF Mindanao Rural Development Project, WB/GEF Philippine Climate Change Adaptation Project, UNDP/GEF STREEM and UNDP/GEF Expanding and Diversifying the National System of Terrestrial Protected Areas.

and MRDP to broader interactions in the case of the now-completed CPPA and EDNSTPAP. Key lessons that were derived included:

- A participatory approach involving local stakeholders in natural resource management can significantly contribute to slowing down forest degradation and, in some cases can also decrease hunting pressure.
- Support provided for institutional strengthening has enhanced good governance and transparency in decision-making involving natural resource management at the local level. Local populations of numerous species have benefited from project interventions in the form of improved local management and policy interventions. These interventions have, for example, resulted in a decrease in hunting or fishing and gathering of some threatened species. Likewise, they have slowed destruction of habitat and strengthened establishment of no-take zones and approval of local policies to protect some populations, and improvement of enforcement.

## **E. COST-EFFECTIVENESS**

- 1) Under the baseline scenario, resource management decisions at the community level will continue to be driven by unsustainable, short-term needs and priorities, resulting in the continuing degradation of the biodiversity resources of the Philippines, particularly in priority landscapes such as the Sierra Madre, Samar and Palawan as described above. Inadequate capacities (organizational, financial and technical) will force communities to continue unsustainable practices such as forest clearance, land conversion, overharvesting, wildlife poaching, charcoal production, etc., which directly threaten the globally-significant biodiversity resources of the Philippines.
- 2) With the proposed GEF project, the management of globally-significant biodiversity resources in the Philippines will be strengthened by the establishment of models for community-based management of both protected and non-protected landscapes, including management of community-based PAs as well as the integration of biodiversity conservation into the management of production (non-protected) landscapes. Communities will also be provided with tools and capacities to generate livelihoods in biodiversity-friendly ways, further reducing pressures on the biodiversity resource base. By providing local communities with the tools required to establish more biodiversity-friendly development pathways, the proposed project complements on-going GEF-supported initiatives which address policy, institutional and technical constraints at the national and local government levels.
- 3) The proposed project strategy of removing barriers to community implementation of national legislation is highly cost-effective because it will help create an enabling environment for all communities in the country beyond the areas of GEF-SGP direct intervention. The feedback on effectiveness of such policies to policy-makers and line ministries – to be provided through the NSC, the donor community, other practitioners working with GEF-SGP, and the media – may achieve a greater impact than alternative approaches that focus exclusively on up-stream policy work and that fail to bridge the gap between policy development and implementation on the ground.
- 4) The cost-effectiveness of the proposed approach is demonstrated also through the past performance of the GEF-SGP programme in the Philippines, where from 2003 to 2006 the programme was implemented with management cost overheads of 4-8% while demonstrating significant global environmental and local developmental benefits, as documented in the GEF country portfolio evaluation conducted in 2007. The additional resources leveraged from donors and partners also validated the cost-effectiveness of the GEF-SGP approach. Between 1992 and 2007 the GEF provided grants totaling US\$6.46 million, against which a total of US\$10.61 million in co-financing was mobilized, comprising US\$7.32 from other donors and programs, and US\$3.29 from grantees (of which US\$1.03 million was in cash).

## **F. SUSTAINABILITY, SOCIOECONOMIC BENEFITS AND GENDER DIMENSIONS**

1. Sustainability. This can be achieved by actively involving the local communities, indigenous groups, LGUs and others who have a direct stake in the improved management of the PAs and new conservation areas. Careful consideration will be given to their local needs and priorities through harmonization of PA/CA management plans with their local development plans. Gender concerns will be carefully taken into account through the development of gender mainstreaming policies and procedures in PA management.
2. Improved effectiveness in the management of existing PAs will help ensure the environmental sustainability of the Philippine terrestrial system, and contribute to reducing the threats to the biodiversity resources therein. Management planning for these areas will consider the protection of biodiversity, and in the effective maintenance and protection of these ecosystems to fulfill their environmental functions.
3. The Project will focus on existing institutions as direct recipients of support. This way, these stakeholders will imbibe the incremental capacities introduced through the Project, and utilize these for the benefit of improved PA/CA management, and in improving their own quality of life.
4. The project will deliver socioeconomic benefits primarily at the local level, through the implementation of grant-supported projects which promote sustainable livelihood activities in sectors such as ecotourism, sustainable use of NTFPs and harvesting and processing of wild plant resources. By promoting the care and management of marine protected areas, the project will help ensure the continued availability of marine resources (fish, prawns) that numerous communities depend on for livelihoods and food security. From a social dimension, communities and community-based organizations will gain increased capacities for science- and conservation-based sustainable utilization of their natural resources that will enhance their long-term well-being. GEF resources will be used mainly to generate global environmental benefits, however, based on past experience substantial livelihood benefits will also be generated, mainly through leveraged co-financing. The Joint Evaluation of GEF Small Grants Programme in 2007 noted the success of GEF-SGP resource mobilization for income generation in the Philippines. More than half of the GEF-SGP-funded projects have livelihood components funded by donor agencies other than the GEF (pilot phase: 46%; operational phase 1: 43%; operational phase 2: 58%; and operational phase 3: 68%). However specific data on income and employment generation were not collated from these past programmes, since this was not a major focus of the GEF-SGP.
5. The project design also recognizes women's roles as primary land and resource managers, and weighs the different ways women and men consider conservation incentives. Gender relations play a key role in the access to and use of biological resources, as well as their management in PA and PLS. For example, women and men often have different knowledge about, and preferences for, plants and animals. Creation of community PA will have to be balanced with the needs of daily tasks such as collecting wood and other non-timber products. The project will seek to maximize its effectiveness and efficiency by empowering women and vulnerable groups to participate as equal partners in information sharing and generation, education and training, technology transfer, organizational development, financial assistance, and policy development. Women will be empowered through the project with active group participation and democratic practices.

## **G. REPLICABILITY**

The project's design has strong elements for replication. The project intends to build capacity of communities on PA management and in biodiversity conservation in general. The community-based PA management can be replicated through the assistance of the government agencies represented in the National Steering Committee of the project. The broader adoption of this governance modality with policy support from the government will translate to more rapid establishment of new conservation areas that can be managed by

the communities. Essential for the replication of these initiatives under this Project would be the documentation of best practices on the ground.

## **H. GEF-SGP Experience**

The Philippines was one of the Pilot countries of the Small Grants Programme and was introduced by UNDP Manila to Philippine NGOs and CBOs in 1992. Since its inception, it had funded 293 projects amounting to USD 9,451,453. For more than 2 decades of operation its list of grantees alone comprises over 200 POs/NGOs/CBOs from all over the country whose concerns cover GEF's main focal themes.

From Pilot to Phase 4, around 70% of project portfolio is concentrated on biodiversity projects, 16% are Multi-focal area projects; 13% climate change projects, and 1% POPs. Hence evidently, the strength of project experience of SGP Philippines is geared toward the focal area Biodiversity Conservation which will be the focus for Phase 5.

In terms of resource mobilization, it had forged agreements with the Land Bank of the Philippines (LBP), the Grant Assistance for Grassroots Project (GAGRP)/Embassy of Japan, DANIDA/Danish Embassy, and the Foundation for the Philippine Environment (FPE). It had also implanted projects such as COMPACT (Phases I and II) as well as UNEP-SCS.

To give examples of what has been achieved so far by SGP Philippines, below are some of the common interventions it had supported:

- Supported local level management and policy interventions.
- Help address incidence of hunting/fishing and gathering of threatened species, slowed down habitat destruction, establishment of no-take zone, approval of local policies to protect some better protection or maintenance of a number of single species populations thru facilitation and of multi-stakeholder protection and some levels of law enforcement resulting to slow-down in forest degradation and decreases hunting pressure
- Supported traditional IP cultures to protect ancestral lands which harbour diverse endemic flora and fauna within biodiversity rich areas thereby contributing directly to maintaining forest cover.
- Assistance in securing Certificate of Ancestral Domain Title (CADT) for indigenous peoples.
- Supported the establishment or expansion of MPAs for food and security of often contains significant global biodiversity.
- Supported a range of renewable technology options, ie. micro-hydro-power energy, solar energy power, and piloted small-scale off-set of Green House Gas emissions of rice mills and other engines.
- Baseline studies for reference in planning and evaluation

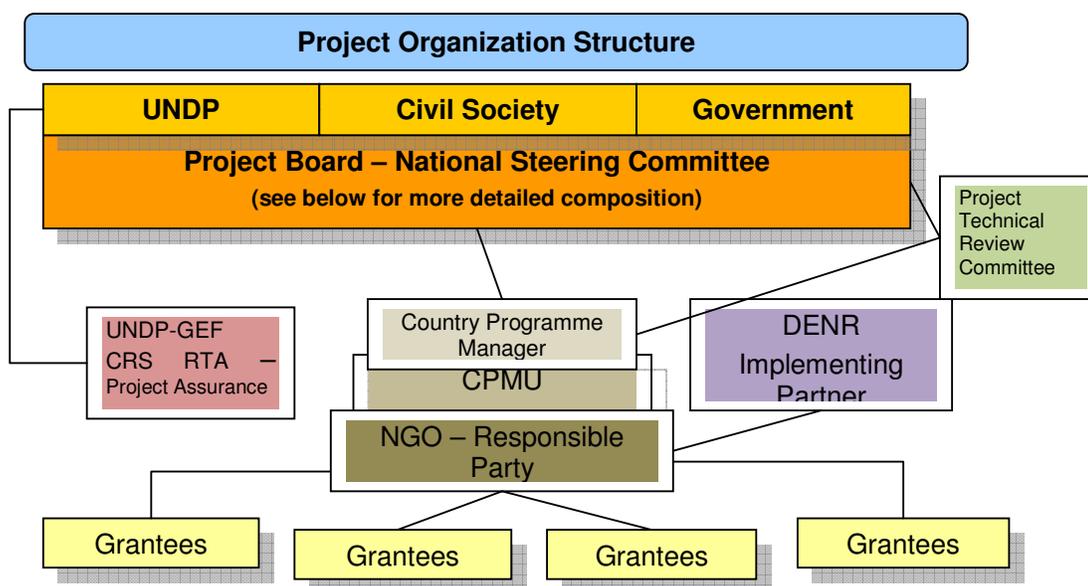
## J. ANNUAL WORK PLAN

YEAR: 2013 (1<sup>ST</sup> YEAR)

EXPECTED OUTCOMES <i>And baseline, associated indicators and annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount (in USD)
Outcome 1: Effective models for community-based governance of protected areas demonstrated <i>Baseline:</i> <i>Indicators:</i> <i>Targets:</i> <i>Related CP outcome:</i>	Consultation meetings and project development workshop-orientation					DENR-PAWB/ RP	GEF	Salaries Costs	4,124
	Development of basic data sets for the benchmarking activity of the sites								
	Rapid participatory assessment of the sites								
Outcome 2: Community-managed landscapes and seascapes explicitly integrate biodiversity conservation objectives <i>Baseline:</i> <i>Indicators:</i> <i>Targets:</i> <i>Related CP outcome:</i>	Consultation meetings and project development workshops					DENR-PAWB/ RP	GEF	Salaries Costs Travel	4,126 375
	Development of basic data sets for the benchmarking activity of the sites								
	Rapid participatory assessment of the sites								
Outcome 3. Increased capacity of GEF-SGP stakeholders to diagnose and understand the complex and dynamic nature of global environmental problems to develop local solutions <i>Baseline:</i> <i>Indicators:</i> <i>Targets:</i> <i>Related CP outcome:</i>	Consultation meetings					DENR-PAWB/ RP	GEF	Local Consultants Learning Costs Miscellaneous	2,500 10,000 500
	Orientation-briefing on the SGP-5 Programme Framework								
	Project development workshop								
Monitoring and Evaluation	No activities yet								
Project Management	Setting-up of Project Management Unit					DENR-PAWB/ UNDP	GEF	Salaries Costs Office facilities,	20,500 12,500
	Conduct of Inception Workshop								



### III. MANAGEMENT ARRANGEMENTS



1. As part of the preparation of this project, the Philippines GEF-SGP National Steering Committee (GEF-SGP NSC) has reviewed a range of implementation and execution arrangements for GEF-SGP to identify the most efficient and cost-effective mechanism. The aim for GEF-5 is to maintain execution costs at their current levels, while improving the rate of implementation and strengthening national ownership of the implementation process. The GEF-SGP NSC undertook an extensive series of consultations amongst its membership and other stakeholders to determine the most effective implementation structure from a range of options including UNOPS execution, NGO execution or national implementation. On the basis of these consultations and cost-benefit analyses of the various options, the GEF-SGP NSC has recommended<sup>14</sup> that the project be implemented under a national execution modality, with the Department of Natural Resources and Environment as the Implementing Partner. The DENR through the PAWB, on behalf of the GEF-SGP National Steering Committee, will be responsible and accountable for implementing and managing the project, including monitoring and evaluation of project interventions, achieving project outputs, and for the efficient use of resources.
2. The implementation of this GEF-SGP upgraded Country Programme will be undertaken in adherence to the GEF-SGP Operational Guidelines. It will be implemented in collaboration with a NGO partner as a Responsible Party (RP) under the UNDP's NIM. The RP will be selected based on a set of criteria to be set by the NSC following the UNDP procurement procedures. This NGO will facilitate the grant-making process (including human resources management, budgeting, accounting, grant disbursement, auditing, and procurement) as well as providing technical advisory services for grant monitoring and supervision, capacity-building, knowledge management, communications and advocacy. Selection of the NGO partner to undertake the above roles and functions will be undertaken through transparent and competitive processes supported by UNDP and overseen by the GEF-SGP NSC.
3. Guided by the GEF-SGP Operational Guidelines, the NSC will be comprised of a majority of civil society representatives. As such, the NSC will include representatives from indigenous groups, women's groups, academe or research institutions, the private sector, and NGOs who have on-ground experience and expertise on community-based natural resource management, as well as UNDP, NEDA, DENR, PAWB Department of

<sup>14</sup> GEF Philippines Small Grants Programme National Steering Committee meeting 18 April 2011. Minutes can be made available upon request.

- Agriculture (DA), Department of Interior and Local Government (DILG), Philippine Commission on Women (PCW) and the National Commission on Indigenous Peoples (NCIP). The NSC's responsibilities are to: a) provide overall guidance and policy direction to the implementation of the project, b); provide advice on appropriate strategies for project sustainability, c) approve grant proposals and participate in M&E, as necessary; d) evaluate performance of the grant making and make necessary recommendations to improve its performance; and e) ensure that documentation of best practices and lessons learned are prepared and made available for information and reference in developing future proposals for GEF-SGP funding.
4. GEF-SGP Grants will be selected from proposals submitted by CBOs and NGOs through calls for proposals in specific thematic and geographic areas relevant to the GEF-SGP strategy and will follow the GEF-SGP Operational Guidelines (see Annex). Although government organizations are not eligible to receive GEF-SGP grants, efforts will be made to ensure that proper coordination of the grant project with relevant national government agencies, decentralized institutions, universities and local government authorities will be undertaken. Said coordination is necessary to ensure government organizations support, create opportunities for co-financing, and provide feedback on policy implementation on the ground. Close collaboration and cooperation with the private sector partner will continue to be of high priority for the GEF-SGP since the private sector is given a slot in the membership of the NSC.
  5. The DENR-PAWB as the Implementing Partner will request UNDP to assist in hiring the Country Programme Manager and other staff, who will closely work with the NGO Partner in 1) ensuring compliance with the over-all GEF-SGP Results Framework and national environmental priorities; 2) preparing the GEF-SGP annual work programme and reports to UNDP and other donors; and 3) ensuring achievements of the national GEF-SGP targets. The National Steering Committee, through the Country Programme Manager, will build strategic partnerships with development partners, such as donors, foundations, private sector and civil society, to promote GEF-SGP and mobilize additional resources.
  6. The NGO serving as Responsible Party will be responsible for the day-to-day operations of the program. It will house the Country Programme Management Unit (CPMU), composed of the Country Programme Manager, a Programme Associate and an Admin and Finance Associate. The NGO, through the CPMU, shall support NSC strategic work and grant selection by developing technical papers, undertaking ex-ante technical reviews of project proposals; convening the Project Technical Review Committee; taking responsibility for monitoring the grant portfolio and providing regular updates to the NSC; providing technical assistance to grantees during project design and implementation; helping to mobilize cash and in-kind resources; preparing and submitting progress and financial reports for NSC and to the DENR-PAWB being the IP; working with DENR-PAWB and other key stakeholders in implementing a capacity development program for communities, CBOs and NGOs, and in implementing a communications and knowledge management strategy to ensure adequate visibility of GEF investments, and disseminating good practices and lessons learned.
  7. A Project Technical Review Committee (PTRC) will be formed to appraise project proposals as to their technical aptness and assess their alignment with the project's expected outcomes and outputs. The PTRC will be comprised of individuals with expertise in biodiversity conservation, PA management, community development, enterprise development, economics and other appropriate areas. Only those proposals reviewed by PTRC will be endorsed for approval by the NSC.
  8. UNDP will provide overall program oversight and be responsible for standard GEF project management services, including project monitoring, periodic evaluations, troubleshooting, and reporting to the GEF. UNDP will provide technical advisory support through the Technical Advisor of the Community Resilience and Sustainability Cluster of UNDP's Energy and Environment Group, who also provides advice and oversight to the global portfolio of upgraded GEF-SGP country programmes. GEF-SGP CPMT will support upgraded country programs to ensure compliance with GEF-SGP core policies and procedures.

9. The UNDP Country Office (CO) is the business unit for the SGP project and is responsible to ensure the project meets its objective and delivers on its targets. The project will be managed as part of the UNDP Philippines environment programme (including all other UNDP/GEF projects), under the overall responsibility of the Head of the Environment Unit. Activities under the SGP programme will be harmonized with complementary activities under other projects in the portfolio, to ensure that the impact and lessons learned from these community initiatives are integrated into broader environment policy-setting. The CO will also make available its expertise in other environment and development fields such as governance, support to indigenous peoples, poverty reduction, gender mainstreaming and disaster risk reduction. UNDP will be represented on the National Steering Committee (NSC) and will participate actively in grant monitoring activities as part of overall UNDP/GEF portfolio management.
10. In addition to the standard SGP grants, SGP country team activities will include strategic efforts in line with the Country Programme Strategy and GEF strategic priorities that will enable aggregation of community-driven impacts for global environmental benefits, local to global strategic portfolio learning and capacity development, dissemination of best practices, or linkage and network building for SGP portfolio grantees. This approach will support the SGP and GEF catalytic role by contributing to replication and up scaling of good practices.
11. Visibility of GEF financial support will be ensured by using the global GEF SGP branding in all electronic and printed materials, both by the SGP country program and by SGP grantees. SGP will also apply the following UNDP-GEF policy: *“The GEF logo should appear on all relevant project publications, including amongst others, project hardware and other purchases with GEF funds. Any citation in publications regarding projects funded by GEF should also acknowledge the GEF. Logos of the Implementing Agencies and the Executing Agency will also appear on all publications. Where other agencies and project partners have provided support (through co-financing) their logos may also appear on project publications”*.

#### IV. LEGAL CONTEXT

- 1) This document together with the CPAP signed by the Government and UNDP which is incorporated herein by reference, constitute together a Project Document as referred to in the Standard Basic Assistance Agreement (SBAA); as such all provisions of the CPAP apply to this document. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner”, as such term is defined and used in the CPAP and this document.
- 2) Consistent with the Article III of the Standard Basic Assistance Agreement (SBAA), the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
  - put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - assume all risks and liabilities related to the implementing partner’s security, and the full implementation of the security plan.
- 3) UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document [and the Project Cooperation Agreement between UNDP and the Implementing Partner]<sup>15</sup>.
- 4) The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via

<sup>15</sup> Use bracketed text only when IP is an NGO/IGO

<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document”.

## **V. MONITORING FRAMEWORK AND EVALUATION**

The project will be monitored through the following M&E activities. Portfolio of upgraded country programmes: The UNDP Communities Cluster will monitor the implementation of the portfolio of upgraded GEF-SGP countries and will promote and support cross-fertilization and learning among country programmes and with the global GEF-SGP. The GEF-SGP CPMT will monitor GEF-SGP upgraded country programmes for compliance with the GEF-SGP Global Operational Guidelines.

### **Country Programme Level:**

**Project start:** A Project Inception Workshop will be held within two months of project start with those with assigned roles in the project organization structure: the UNDP Regional Technical Advisor, the UNDP Country Office GEF-SGP Focal Point, National Steering Committee members, the Country Programme Manager, and the IP. The Inception Workshop is crucial to brief all participants on the new GEF-SGP requirements as a GEF Full-size Project and to building ownership for the project results. The Inception Workshop should address a number of key issues including:

- Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of the UNDP Communities Senior Technical Advisor (STA), Regional Technical Advisor (RTA), and Country Office (CO), and the National Steering Committee (NSC), the DENR-PAWB as Implementing Partner and the Responsible Party. Discuss the roles, functions and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms.
- Based on the project results framework finalize the first annual work plan and agree on a schedule for grant approval for the entire project life.
- Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements and roles. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
- Discuss financial reporting procedures and obligations, and audit arrangements.
- An Inception Workshop report is a key reference document and must be prepared by the Country Programme Manager and shared with participants to formalize various agreements and plans decided during the meeting.

### **Quarterly:**

- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on information recorded in ATLAS, UNDP will have access to updated financial information in an ongoing manner.
- Information on the grant portfolio shall be updated in the GEF-SGP Global Database.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high.
- Based on the information recorded in Atlas by the CO, Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Other ATLAS logs can be used to monitor issues, lessons learned etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

**Annually:**

Annual Project Review/Project Implementation Reports (APR/PIR): This key report is prepared to monitor progress made since project start and in particular for the previous reporting period (1 July to 30 June). The APR/PIR combines both UNDP and GEF reporting requirements. The CPM will prepare the PIR with inputs from the DENR-PAWB, UNDP CO, and the RTA.

The APR/PIR includes, but is not limited to, reporting on the following:

- Progress made toward project objective and project outcomes - with indicators, baseline data and end-of-project targets (cumulative).
- Project outputs delivered per project outcome (annual).
- Lessons learned/good practice.
- AWP and other expenditure reports.
- Risk and adaptive management.
- ATLAS QPR.
- Portfolio level indicators, in this case the global GEF-SGP tracking tool, should be used on an annual basis.

The RTA may conduct joint visits with the CPM to selected project sites as an input to PIR preparation. A Field Visit Report/BTOR will be circulated to the project team and other relevant project stakeholders, as appropriate, no less than one month after the visit.

**Mid-term of project cycle:**

The project will undergo an independent Mid-Term Evaluation at the mid-point of project implementation (approximately July 2015). The Mid-Term Evaluation will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the second half of the project's term. Ideally, the Mid-term evaluations should be conducted with similar terms of reference for all GEF-5 SGP upgraded country programmes and simultaneously. The objective is to facilitate comparing experiences between all upgraded countries and distilling common lessons to inform similar upgrading processes for other country programmes. The organization, terms of reference and timing of the mid-term evaluation will be decided in consultation with the GEF-SGP Central Programme Management Team, the UNDP-GEF Results Management Advisor, the Communities STA, the RTA, the CO and the CPM. The Terms of Reference for the Mid-term evaluation will be prepared by CPMT based on guidance from the GEF Evaluation Office and UNDP-GEF, and will be validated by the UNDP Evaluation Office. The management response and the evaluation will be uploaded to UNDP corporate systems, in particular the UNDP Evaluation Resource Center (ERC).

**End of Project:**

An independent Final Evaluation will take place three months prior to the project's expected end date (approximately April 2017). The final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction takes place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The UNDP STA, in consultation with GEF-SGP CPMT, will prepare the Terms of Reference for this evaluation. The TOR shall be validated by the UNDP Evaluation Office. Given the pilot nature of the first group of upgrading GEF-SGP Country Programmes, the final evaluation should also undertake an assessment of costs and benefits of the upgrading process, summarize lessons learned, and provide recommendations to the Global GEF-SGP concerning the upgrading of other Country Programmes. The final evaluation requires a management response, which should be uploaded to PIMS and to the UNDP Evaluation Office Evaluation Resource Centre (ERC).

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

**Learning and knowledge sharing:**

Particular attention will be paid to the GEF Focal Area "learning objectives" to ensure that experiences emerging from local level implementation of technologies, approaches and policies are fed back to the wider portfolio. Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects, in particular in other GEF-SGP upgrading countries. The project team will participate in at least one workshop with other GEF-SGP upgraded countries to share experiences. Ideally, this workshop should take place as part of the midterm evaluation. The detailed objective(s), venue, agenda, and timing of the workshop will be determined by the STA in consultation with the GEF-SGP country teams, the respective RTAs and the evaluation team.

Finally, there will be a two-way flow of information between this project, other GEF-SGP upgraded countries and the global GEF-SGP programme. Such flow of information should cover substantive and operational information, experiences and lessons.

**Project Audit Arrangements:** The project will be audited in accordance with UNDP Financial Regulations and Rules and applicable audit policies and guidelines.

**Individual grant M&E:** The following minimum standards shall be applied for individual grant M&E:

**Ex-ante Visits:** The project team should undertake ex-ante visits on a risk basis to grant-requesting organizations upon grant approval by the NSC and prior to the signature of the MOU between the Implementing Partner and the grantee.

**Field monitoring visits:** Every project should be visited at least twice in its lifetime, upon receipt of the first progress report from beneficiary organizations and during the following year. NSC members with relevant expertise in project-related technical areas may join the CPM during these visits as appropriate.

**Progress reports:** Beneficiary organizations should submit progress reports regularly to the CPM along with a financial report. A forecast of resources needed in the following period should be submitted by the grantee to the CPM as a requirement for disbursement of next instalment.

**Final report:** Beneficiary organizations should submit a final report summarizing global benefits and other results achieved, outputs produced, and lessons learned. The final report should also include a final financial statement.

**Final Evaluation:** A final evaluation will be done for each project. The CPM should validate the terms of reference for these evaluations and vet the evaluation consultant. The cost of evaluation will be part of the grant budget.

**Small Grants Audit:** The Country Programme Manager (CPM) will organize audits to selected grantee organization on a risk basis. The cost of these audits will be charged to the specific grant project budget.

### M&E work-plan and budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame	Budget
<b>Country Programme Level</b>				
Inception Workshop and Report	<ul style="list-style-type: none"> <li>▪ Country Programme Manager</li> <li>▪ NSC</li> <li>▪ NGO</li> <li>▪ UNDP RTA and CO</li> </ul>	Indicative cost to project: \$ 10,000 Workshops; Travel cost of RTA from IA fee  Other travel and field visit: \$ 5000	Within first two months of project start up	\$ 15,000
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> <li>▪ Oversight by Country Programme Manager. CPM will oversee the hiring of specific studies as relevant (e.g., development of local level BD impact indicators, adaptation of GEF tracking tools for community use)</li> </ul>	To be finalized in Inception Phase and Workshop. Indicative cost of M&E experts in Biodiversity \$22,000; Participatory workshops \$ 10,000. Travel: 10,000 \$ and design and implementation of web-based small grant monitoring tool. \$18,000. Consultant: \$7,000	Start, mid and end of project (during evaluation cycle) and annually when required.	\$ 67,000
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> <li>▪ Oversight by Country Programme Manager</li> </ul>	To be determined as part of the Annual Work Plan preparation. Travel: \$ 5,000. Other costs included above.	Annually prior to ARR/PIR and to the definition of annual work plans	\$ 5,000
ARR/PIR	<ul style="list-style-type: none"> <li>▪ Country Programme Manager</li> <li>▪ NGO as RP</li> <li>▪ UNDP RTA</li> </ul>	No cost to project budget Annual visit by RTA – Travel cost from IA fee	Annually	\$ -
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>▪ Country Programme Manager and the NGO as RP</li> </ul>	No cost to project budget	Quarterly	\$ -
GEF-SGP Global Database update	<ul style="list-style-type: none"> <li>▪ Country Programme Manager</li> <li>▪ Local consultant</li> </ul>	Indicative cost to project: \$5,200	Quarterly	\$ 5,200
Mid-term Evaluation	<ul style="list-style-type: none"> <li>▪ Country Programme Manager and the NGO as RP</li> </ul>	Indicative cost of evaluation: \$ 28,000	At the mid-point of project implementation.	
NC Experience exchange workshop with other countries	<ul style="list-style-type: none"> <li>▪ UNDP STA</li> <li>▪ GEF-SGP CPMT</li> </ul>	Indicative cost of workshop participation: \$15,000  Communications and publications: 5,000 \$		

	<ul style="list-style-type: none"> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>			
Final Evaluation	<ul style="list-style-type: none"> <li>▪ Country Programme Manager and the NGO as RP</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	Indicative cost: \$ 28,000	At least three months before the end of project implementation	\$ 28,000
Project Terminal Report	<ul style="list-style-type: none"> <li>▪ Country Programme Manager and the NGO as RP</li> <li>▪ UNDP CO</li> <li>▪ Local consultant</li> </ul>	Indicative cost: Local Expert \$10,000 and Communications and Publications: \$5000	At least three months before the end of the project	\$ 15,000
Audit	<ul style="list-style-type: none"> <li>Country Programme Manager and</li> <li>UNDP CO</li> <li>Audit Firm</li> </ul>	Indicative Cost: \$20,000		\$ 20,000
<b>SUB-TOTAL (Excluding project team staff time and UNDP staff and travel expenses ):</b>				<b>\$ 203,200</b>

<b>Individual grant level</b>				
<b>Type of M&amp;E activity</b>	<b>Responsible Parties</b>	<b>Budget US\$</b>	<b>Time frame</b>	<b>Budget</b>
Ex-ante visit	<ul style="list-style-type: none"> <li>▪ Country Programme Manager</li> <li>▪ NGO as RP</li> <li>▪ NSC members</li> </ul>	Indicative cost travel and field visits: \$14,700	Risk based (20% of total No. of grants)	\$ 14,700
Field monitoring visit	<ul style="list-style-type: none"> <li>▪ Country Programme Manager</li> <li>▪ NGO as RP</li> <li>▪ NSC members</li> </ul>	Indicative cost travel and field visits: \$11,100	At least twice in the lifetime of project; Additional visits on a risk basis	\$ 11,100
Monitoring of and technical support to community application of M&E methods, tools	<ul style="list-style-type: none"> <li>▪ Country Programme Manager</li> <li>▪ NGO as RP</li> <li>▪ National consultant</li> <li>▪ NSC members</li> </ul>	Indicative cost: M&E training \$21,000	Half-yearly	\$ 21,000
Progress reports	<ul style="list-style-type: none"> <li>▪ Beneficiary organization</li> <li>▪ Country Programme Manager</li> <li>▪ NGO as RP</li> </ul>	No cost	Half-yearly	\$ -
Final report	<ul style="list-style-type: none"> <li>▪ Beneficiary organization</li> <li>▪ Country Programme Manager</li> <li>▪ NGO as RP</li> </ul>	No cost	End of project	\$ -
Final evaluation	<ul style="list-style-type: none"> <li>▪ National consultant</li> </ul>	Included in project grant budget	End of project	\$ -
	<ul style="list-style-type: none"> <li>▪ Country Programme Manager</li> </ul>			

	<ul style="list-style-type: none"> <li>▪ NGO as RP</li> <li>▪ Beneficiary organization</li> </ul>			
Audit	<ul style="list-style-type: none"> <li>▪ UNDP-CO</li> <li>▪ Country Programme Manager</li> <li>▪ NGO as RP</li> <li>▪ Beneficiary organization</li> </ul>	Included in project grant budget	Risk based	\$ -
<b>SUB-TOTAL COST (Excluding project team staff time and costs included in project grant budget)</b>				<b>\$ 46,800</b>
<b>TOTAL indicative COST:</b>				<b>\$ 250,000</b>

## VI. PROJECT RESULTS FRAMEWORK

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
<b>Project Objective</b> Global environmental benefits secured through community-based biodiversity conservation initiatives and actions in selected priority sites in the Philippines	<p>1. Increase in area under protection in community-managed or community-supported protected areas</p> <p>2. Increase in area under certified or verified sustainable use by communities</p>	<p>1. None supported by the project</p> <p>2. None supported by the project.</p>	<p>1. At least 100,000ha of protected areas under community management/co-management by recipients of grants under this project.</p> <p>2. At least 400,000ha of community agricultural, fishing or forestry area under certified or verified sustainable use by communities that are recipients of grants under this project.</p>	<p>1. GEF-SGP portfolio reports/PIR reports and final evaluation</p> <p>2. GEF-SGP portfolio reports/PIR reports and final evaluation</p>	
<b>Outcome 1</b> Effective models for community-based governance of protected areas demonstrated	Number of community managed or co-managed PA models operational in project areas	No specific community co-management models identified in target areas.	At least 10 community management or co-management models established and operational.	Grantee progress reports and data from DENR-PAWB	Communities in the project areas have the interest and willingness to engage in the management or co-management of PAs.
	Number of hectares protected through community-PA	Individual small community protection initiatives in existence in some local communities, but no comprehensive data available	(1) At least 20 community PA established or enhanced; (2) encompassing 100,000 ha.	Grantee progress reports	Communities in the project areas have the interest and willingness to engage in the management or co-management of PAs.
	% increase in METT	Relevant METT indicators and baseline scores to be decided	40% increase on average in relevant dimensions of management effectiveness	METT scores reported in grantee	Improvement in the capacity of communities translates into significant

	<b>Indicator</b>	<b>Baseline</b>	<b>Targets End of Project</b>	<b>Source of verification</b>	<b>Risks and Assumptions</b>
		prior to each relevant grant inception.	of target PAs.	progress reports	increases in relevant dimensions of the METT framework during project lifetime.
	Number of ha of mangroves rehabilitated or protected.	None identified	1,000 ha of mangrove rehabilitated or protected within one or more PAs.	Grantee progress reports	Suitable mangrove areas are available with communities that are willing and able to protect them.
<b>Component 2</b>					
Outcome 2. Community-managed landscapes and seascapes explicitly integrate biodiversity conservation objectives	Number of ha under improved community “mainstreamed” management within PLS, reducing threats to BD from slash and burn farming; over-harvesting of timber, and destructive fishing.	Zero – no hectareage is under improved community-mainstreamed management.	400,000 ha under improved community “mainstreamed” management within PLS, reducing threats to BD from slash and burn farming; over-harvesting of timber, and destructive fishing.	Grantee reports and grant portfolio overview reports prepared by the GEF-SGP team	
	Number of community-based land use plans or Ancestral Domain plans that incorporate biodiversity and ecosystem services valuations.	None	40 community-based land use plans or Ancestral Domain plans incorporate biodiversity and ecosystem services valuations by end of project.	Copies of the plans as provided by grantees.	Ancestral Domain plan preparation processes are not unduly delayed by procedural requirements.
	Number of communities adopting TEV reports or similar ecosystem valuation	No community level TEV reports	TEV or similar ecosystem valuation reports being used by at least 20 communities in the development of ADSPs or other community land-use plans.	Copies of land-use plans with references to TEV or other ecosystem valuation approaches.	Communities do not recognize the value of ecosystem valuation approaches sufficiently to invest the effort required to learn and apply the

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
	approaches in development of ADSPs or other community land-use plans.				approach.
Outcome 3. Alternative biodiversity friendly agriculture, fisheries and forestry products produced and marketed by 30 communities	Number of community level regulations or enactments for biodiversity-friendly production in key sectors.	There are none so far enacted or promulgated.	30 community-level regulations or enactments for biodiversity-friendly production in key sectors.	Copies of relevant regulations or citations in grantee progress reports.	
<b>Component 3</b>					
<b>Outcome 4:</b> Increased capacity of GEF-SGP stakeholders to diagnose and understand the complex and dynamic nature of global environmental problems and to develop local solutions	# of community-level resource users and managers who are trained to use the GEF-SGP knowledge networking and partnership platforms, and are actively using these tools.	None amongst grantees to be selected (grants are generally awarded to grantees who have not previously benefitted from GEF-SGP capacity support)	At least 4000 community-level resource users and managers are trained to use the GEF-SGP knowledge networking and partnership platforms, and are actively using these tools.	Training records; APR; Interviews.	
	# of new grants that replicate approaches	None	Replication of conservation and sustainable use approaches in at least 30 new grants by year 4	Actual grant proposals themselves; APR reports.	
	% increase in amount of co-funding for the Philippines GEF-	Minimum of 1:1 co-funding for grants	50% increase in amount of co-funding for Philippines GEF-SGP by year 3	Co-funding agreements.	External financial factors do not inhibit availability of donor funding

	<b>Indicator</b>	<b>Baseline</b>	<b>Targets End of Project</b>	<b>Source of verification</b>	<b>Risks and Assumptions</b>
	SGP by year 3				
	Number of governors who launch community-based partnerships by year 4	Zero	Community-based partnership initiatives launched by at least 4 LGUs by end of year 4	Official declarations/ records/interviews	
<b>Outcome 5.</b> Enhanced capacities of GEF-SGP grantees to monitor and evaluate their projects and environmental trends	# of GEF-SGP grantees participating in monitoring and evaluation training; % increase in knowledge before/after training	Grantees not yet trained	At least 80 community groups grantees participate in training; Improvement of 30% in level of knowledge on fundamentals of M&E	Training records; Before/after quiz results.	GEF-SGP grantees will have the discipline and inclination to monitor their project's progress.

## **ANNEXES**

## ANNEX A. Risk Analysis

#	Description	Date Identified	Type	Impact & Probability	Counter-measures/ Management response	Owner	Submitted/ updated by	Last Update	Status
1	Grantees have varying levels of technical and management capacity and may fail to complete a project or to take advantage of opportunities for community participation in conservation initiatives	03/2011	Strategic	Probability – 1 (Low) Impact – 3	The project, building upon years of SGP-Philippines experience, will anticipate these risks during grant review and approval and when planning and providing grant support. Risks will be mitigated by consistent oversight and monitoring of the project portfolio by the IP, the RP and UNDP (e.g. helping grantees maintain appropriate rates of disbursement, link grantee partners to peer-to-peer learning groups, and work flexibly to respond to the strengths and comparable advantages of grantees). The project will also reduce risk by supporting replication of practices that deliver on GEF strategic priorities at the community level	CPM			No change
2	Government regulatory processes can outlast the typical lifespan of a grant (two years). An example is the Ancestral	05/ 2011	Strategic	Probability – 2 Impact - 3	Wherever possible, the project will give granting priority to those processes that are already underway or completed.	CPM			No change

#	Description	Date Identified	Type	Impact & Probability	Counter-measures/ Management response	Owner	Submitted/ updated by	Last Update	Status
	Domain Title process.								
3	Climate unpredictability may affect the level of success of the project's biodiversity conservation work such as habitat restoration and thereby constrain project achievements or affect their impact (+, -).	05/2011	Environmental	Probability – 2 Impact – 2	To the extent possible, grants will be made with climate risks in mind, and steps will be taken to minimize and adapt. If feasible, a simple risk assessment process may be incorporated in the proposal requirements. The project's focus on strengthening a decentralized protected area approach (community based PA) in Philippines makes particular sense given the need to strengthen the resilience of our conservation tools in the face of climate change. Resilience is strengthened in part by ensuring a range of approaches and tools are used to conserve and sustainably utilize biodiversity. By working to develop capacities for more appropriate land uses, the project will enable local communities to reduce ecosystem pressure, increasing ecosystem resilience.	CPM			
4	Baseline government funding for community-based initiatives may continue to	05/2011	Financial	Probability – 1 (Low) Impact – 1 (Low)	The project emphasizes enabling stakeholders to work with resources at hand and build effective conservation practice step-by-step by applying a multiple-level	CPM			

#	Description	Date Identified	Type	Impact & Probability	Counter-measures/ Management response	Owner	Submitted/ updated by	Last Update	Status
	be limited.				approach to conservation and monitoring work.				
5	Grantees may not, in the end, meet their co-funding obligations under each small grant proposal.	05/2011	Financial	Probability – 1-2 Impact – 1-2	Small grant applicants will be required to provide credible evidence of the realistic nature of their co-funding in the form of financial audit statements or letters from primary co-funders. Grantees will also be encouraged to form partnerships with well established governmental and private sector entities with proven track records.	CPM			

## ANNEX B: Quality Management for Project Activity Results

*Note: This table shall be further refined during the process "Initiating a Project".*

<b>OUTCOME 1: (Atlas: Output 1) Effective models for community-based governance of protected areas demonstrated.</b>		
<b>Activity Result 1 (Atlas Activity ID)</b>	Effective models of CB PA management	Start Date: 2013 End Date: 2017
<b>Purpose</b>	Demonstrate community-based modality of governing and managing protected areas	
<b>Description</b>	<ul style="list-style-type: none"> <li>• Design/re-design establishment of community-based PAs;</li> <li>• Document processes of community-based PA establishment and management;</li> <li>• Prepare and implement community-based PA management plans</li> <li>• Support policy advocacy for the recognition and protection of community-based PAs</li> </ul>	
<b>Quality Criteria</b>	<b>Quality Method</b>	<b>Date of Assessment</b>
At least 10 community management or co-management models established and operationalized	Grantee progress reports, Regular monitoring; documentation reports	
At least 20 community PA established or enhanced encompassing at least 100 has.	Grantee progress reports, regular monitoring	
40% increase on average in relevant dimensions of management effectiveness of target PAs	METT Scores reported in grantee Inception and Final reports	Start of the project; end of project
1,000 has. of mangrove rehabilitated or protected within one or more PAs	Grantee progress reports; field visit	

<b>OUTCOME 2 (Atlas: Output 2) Community-managed landscapes and seascapes explicitly integrate biodiversity conservation objectives</b>		
<b>Activity Result 1 (Atlas Activity ID)</b>	BD integration in the production landscapes	Start Date: 2013 End Date: 2017
<b>Purpose</b>	Mainstreaming BD conservation objectives into sustainable community-based production activities	
<b>Description</b>	<ul style="list-style-type: none"> <li>• Establishment of new PLS</li> <li>• Operation of community mechanisms for landscape level biodiversity management and coordination</li> <li>• Integration of BD conservation in community-level planning</li> <li>• Strengthening of community level for certification</li> </ul>	
<b>Quality Criteria</b>	<b>Quality Method</b>	<b>Date of Assessment</b>
400,000 has. under improved community management within PLS, reducing threats to BD from slash and burn farming; over harvesting of timber and destructive fishing;	Grantee reports and grant portfolio overview report prepared by SGP Team	
40 community-based land use plans or Ancestral Domain plans incorporate biodiversity and ecosystem services valuations by end of Project	Copies of the plans as provided by grantees	
TEV or similar ecosystem valuation reports being used by at least 20 communities in the development of	Copies of land-use plans with references to TEV or other ecosystem valuation approaches;	

community land use plans or ADSDPP;		
30 community-level regulations or enactments for biodiversity-friendly production in key sectors	Copies of relevant regulations or citations in grantee progress reports	

**OUTCOME 3 (Atlas: Output 3) Increased capacity of SGP stakeholders to diagnose and understand the complex and dynamic nature of global environmental problems and to develop local solutions**

<b>Activity Result 1 (Atlas Activity ID)</b>	Capacity building of SGP stakeholders	Start Date: 2013 End Date: 2017
<b>Purpose</b>	Supports capacity building initiatives that will equip project community partners with skills, knowledge and competencies necessary to strengthen conservation and sustainability at the local level	
<b>Description</b>	•	
<b>Quality Criteria</b>	<b>Quality Method</b>	<b>Date of Assessment</b>
At least 4,000 community-level resource users and managers are trained to use the SGP knowledge networking and partnership platforms, and are actively using these tools	Training records; APR; interviews	Annually
Replication of conservation and sustainable use approaches in at least 30 new grants in year 4	Actual grant proposals; APR reports	2017
50% increase in amount of co-funding for Philippine SGP by year 3	Co-funding agreements	2016
Community-based partnership initiatives launched by at least 4 LGUs by end of year 4	Official declarations/records/ interviews	2017
At least 80 community groups grantees participate in training; improvement of 30% in level of knowledge on fundamentals of M&E	Training reports; before and after training assessments/evaluation	Every after training; to be consolidated yearly

## **ANNEX C: Terms of Reference for key staff members**

### **Proposed Terms of Reference for the Country Programme Manager**

#### Managerial Functions

- Report to the Responsible Party – and through it to the Implementing Partner - on project management and implementation, to the Project Board (National Steering Committee) on programme strategy, project progress, and portfolio approvals.
- Supervise the national SGP team members and provide necessary guidance and coaching;
- Promote and maintain a suitable environment for teamwork within the SGP team, the National Steering Committee members, and with the UNDP CO team;
- Provide the Project Technical Review Committee with the proposals from communities for its review;
- Prepare annual workplan, including strategic and/or innovative initiatives to be undertaken/explored, and set delivery and co-financing targets;
- Set annual performance parameters and learning objectives for the SGP team, assess their performance and provide feedback;
- Build and maintain an effective relationship with key partners and stakeholders, and keep DENR-PAWB-PAWB, UNDP-GEF CRS RTA, and UNDP CO informed as appropriate.

#### Programme Development and Management

- Keep abreast of the national environmental concerns and priorities as well as the socio-economic conditions and trends as they relate to the GEF-SGP and its focal areas, and assess their impact on SGP's work and programme.
- Contribute to the formulation of the Country Programme Strategy (CPS) and its biennium review and update;
- Exercise quality control over the development of a portfolio of project ideas and concepts, and closely monitor the programme implementation progress and results;
- Organize periodic stakeholder workshops and project development sessions for NGOs, Community Based Organizations (CBO) and local communities, and other stakeholders to explain about SGP, and to assist potential applicants in making the link between local environmental problems and the global concerns of the GEF focal areas and operational programmes;
- Work closely with NGOs and CBOs in preparation of project concepts and proposals to ensure that individual projects fit the GEF-SGP Strategic Framework;
- Authorize and manage project planning grants as required.
- Conduct periodic programme monitoring field visits and provide technical and operational support and guidance to SGP grantees as required;
- Work closely and support the National Steering Committee and its deliberations during the process of project proposal selection and approval, especially the initial appraisal of proposals and assessment of eligibility.
- Foster operational and policy linkages between the GEF-SGP and the large or medium-sized GEF projects, planned or underway in the country, as well as those of other donors and development partners.
- Manage the annual SGP allocations (administrative and grants), maintain the financial integrity of the programme, ensure most effective use of SGP resources;
- Report periodically to DENR-PAWB-PAWB, UNDP-CO and CPMT on programme implementation status, including financial reporting, and update the relevant SGP databases.

### Resource Mobilization

- Establish and maintain close working relationships with stakeholders, advocate SGP policies, comparative advantages and initiatives, and ensure visibility.
- Assess programme interest and priorities of key donors and other development partners, develop SGP advocacy campaigns and develop/update the SGP Resource Mobilization Strategy;
- Identify opportunities and areas eligible for GEF-SGP support, and mobilize resources from the Government, donors and other partners to best leverage the GEF-SGP resources.

### Knowledge Management

- Assist in the preparation of SGP project/programme evaluation;
- Document lessons learned and best practices in SGP programme/project development, implementation, and oversight;
- Raise awareness of Programme Team on corporate strategic issues, plans and initiatives to maximize highest impact and effectiveness;
- Access UNDP's world-wide and regional knowledge, distill best practices and facilitate their dissemination within CO and to counterparts and partners;
- Document lessons learned and best practices in SGP programme development, implementation, and oversight;
- Access global best practices, share them with other local and international stakeholders and ensure their incorporation into the SGP portfolio and project design process

### Networking and Linkaging

- Coordinate and collaborate with similar or related initiatives at the national and local levels
- Identify and collaborate with potential partners to leverage SGP funds
- Establish linkage with other development partners and donors

## **Proposed Terms of Reference for Programme Associate**

### Support to Programme implementation

- Contribute to day-to-day support to programme/project implementation and ensuring conformity to expected results, outputs, objectives and work-plans;
- Assist the CPM in pre-screening project concepts and project proposals, and evaluate the financial part of the project proposals;
- Assist the CPM in development and amendment of application forms and other management tools, requirements of the programme and other SGP documents
- Advise potential grantees on technical project preparation issues, and Report to CPM and NSC on project development activities, as required;
- Provide day-to-day support to new and already approved projects and the grantees, as required;
- Organize SGP advocacy events, workshops, round-tables, missions for PM and other SGP events;
- Maintain working-level contacts with NGOs, governmental institutions, donors, other SGP stakeholders, and participate at events for SGP information dissemination purposes;
- Draft progress reports and other reporting material to the CPMT, DENR-PAWB-PAWB and UNDP CO, and assist CPM in preparation of semi-annual and bi-annual progress reports;
- Draft articles, publications, speeches, letters, memos and other documents on behalf of CPM, and respond to queries on SGP programme matter;
- Create and maintain SGP project database and SGP stakeholders database;

- Maintain and update the SGP website, SGP Global database and UNDP CO website with SGP information;
- Prepare background information and documentation, update data relevant to the programme areas and compile background material for the PM and NSC;
- Ensure flow of information and dissemination of materials with all concerned

#### Monitoring and Evaluation

- Review and provide feedbacks on the progress reports submitted by grantees;
- Endorse processing for the disbursement of grants to grantees;
- Review, in consultation with the Admin and Finance Assistant, financial reports submitted by grantees and advise the CPM as required
- Conduct site validation and visits as maybe required in the approval of project proposals and monitoring of project implementation

### **Proposed Terms of Reference for Admin and Finance Assistant**

#### Administrative Functions

- Focal point for all administrative concerns of the Programme
- Responsible for making travel arrangement, ensuring correct application of UNDP National Implementation Manual (NIM) relating to travel. This includes preparation of travel authorizations and itineraries, calculations of Daily Subsistence Allowance (DSA) and other entitlements, request for flight bookings, hotel reservations, airport drop-off and pick up;
- Establish a proper filing system and maintain files and documentation in good order;
- Responsible for obtaining quotations from travel agency and issuing purchase order;
- Prepares the Annual Procurement Plan for the Project, and monitors its implementation;
- Assists by providing logistical requirements during SGP sponsored events/activities such as launching, NSC meetings, planning workshop among others;
- Responds to inquiries and provides information and advice to grantees regarding financial and administrative concern as per UNDP NIM;

#### Financial Management

- Develop, in consultation with UNDP and PAWB, the Detailed Financial Operating Guidelines of the Project, as part of the SGP Operations Guidelines to guide grantees on fund management and project implementation;
- Ensure that the financial integrity of the Project is maintained and in accordance with PAWB and UNDP guidelines.
- Maintain accounting system and databases of the SGP operational and grant funds;
- Prepare and maintain the grant disbursement table and calendar;
- Ensures cost effectiveness and quality of accounting services through continuous process of improvement and automation;
- Prepare financial report to be submitted to PAWB and UNDP;
- Facilitate review and process payment/disbursements of the Project;
- Supervises accounts, records and file management functions e.g. review and identification of the integrity of monthly accounts, bank reconciliation reports, and ensures that issues are addressed and actions completed on time
- Serves as the focal person during the conduct of annual audit exercise and spot checks.
- Prepares draft documents for spot checks and external audit and responds to audit queries and observations;

#### Partner engagement

- 1) Conduct field/site visits as part of financial monitoring effort and partner interaction;

- 2) Participate in SGP events to maintain effective working relationship with grantees as well as other partners including government institutions, donors, and other SGP stakeholders.

#### ANNEX D. Selected Global GEF-SGP Project Indicators for GEF5

<b>GEF SGP OP5 results indicators</b>	
<b>Biodiversity (BD)</b>	
	<ul style="list-style-type: none"> <li>○ Hectares of indigenous and community conserved areas (ICCAs) influenced</li> <li>○ Hectares of protected areas influenced</li> <li>○ Hectares of significant ecosystems with improved conservation status</li> </ul>
	<ul style="list-style-type: none"> <li>○ Hectares of production landscapes / seascapes applying sustainable use practices</li> <li>○ Number of significant species with maintained or improved conservation status</li> <li>○ Total value of biodiversity products/ecosystem services produced (US dollar equivalent)</li> </ul>
<b>Climate Change (CC)</b>	
	<ul style="list-style-type: none"> <li>○ Tonnes of CO2 avoided by implementing low carbon technologies: <ul style="list-style-type: none"> <li>▪ Renewable energy measures (please specify)</li> <li>▪ Energy efficiency measures (please specify)</li> <li>▪ Other (please specify)</li> </ul> </li> <li>○ Number of community members demonstrating or deploying low-GHG technologies</li> <li>○ Total value of energy or technology services provided (US dollar equivalent)</li> </ul>
	<ul style="list-style-type: none"> <li>○ Tonnes of CO2 avoided by implementing low carbon technologies: <ul style="list-style-type: none"> <li>▪ Low carbon transport practices (please specify)</li> </ul> </li> <li>○ Total value of transport services provided (US dollar equivalent)</li> </ul>
	<ul style="list-style-type: none"> <li>○ Hectares of land under improved land use and climate proofing practices</li> <li>○ Tonnes of CO2 avoided through improved land use and climate proofing practices</li> </ul>
<b>Land degradation (LD) &amp; Sustainable Forest Management (SFM)</b>	
	<ul style="list-style-type: none"> <li>○ Hectares of land applying sustainable forest, agricultural and water management practices</li> <li>○ Hectares of degraded land restored and rehabilitated</li> </ul>
	<ul style="list-style-type: none"> <li>○ Number of communities demonstrating sustainable land and forest management practices</li> </ul>
<b>International Waters (IW)</b>	

<b>GEF SGP OP5 results indicators</b>	
	<ul style="list-style-type: none"> <li>○ Hectares of river/lake basins applying sustainable management practices and contributing to implementation of SAPs</li> <li>○ Hectares of marine/coastal areas or fishing grounds managed sustainably</li> <li>○ Tonnes of land-based pollution avoided</li> </ul>
<b>Chemicals (POPs)</b>	
	<ul style="list-style-type: none"> <li>○ Tons of solid waste prevented from burning by alternative disposal</li> <li>○ Kilograms of obsolete pesticides disposed of appropriately</li> <li>○ Kilograms of harmful chemicals avoided from utilization or release</li> </ul>
<b>Capacity Development, Policy and Innovation (all focal areas)</b>	
	<ul style="list-style-type: none"> <li>○ Number of consultative mechanisms established for Rio convention frameworks (please specify)</li> <li>○ Number of community-based monitoring systems demonstrated (please specify)</li> <li>○ Number of new technologies developed /applied (please specify)</li> <li>○ Number of local or regional policies influenced (level of influence 0 – 1 – 2 – 3 – 4 – 5)</li> <li>○ Number of national policies influenced (level of influence 0 – 1 – 2 – 3 – 4 – 5)</li> <li>○ Number of people trained on: project development, monitoring, evaluation etc. (to be specified according to type of training)</li> </ul>
<b>Livelihoods, Sustainable Development, and Empowerment (all focal areas)</b>	
	<p><b>Livelihoods &amp; Sustainable Development:</b></p> <ul style="list-style-type: none"> <li>○ Number of participating community members (gender disaggregated) (Note: mandatory for all projects)</li> <li>○ Number of days of food shortage reduced</li> <li>○ Number of increased student days participating in schools</li> <li>○ Number of households who get access to clean drinking water</li> <li>○ Increase in purchasing power by reduced spending, increased income, and/or other means (US dollar equivalent)</li> <li>○ Total value of investments (e.g. infrastructure, equipment, supplies) in US Dollars (Note: estimated economic impact of investments to be determined by multiplying infrastructure investments by 5, all others by 3).</li> </ul> <p><b>Empowerment:</b></p> <ul style="list-style-type: none"> <li>○ Number of NGOs/CBOs formed or registered</li> <li>○ Number of indigenous peoples directly supported</li> <li>○ Number of women-led projects supported</li> <li>○ Number of quality standards/labels achieved or innovative financial mechanisms put in place</li> </ul>