



ASSESSMENT OF DEVELOPMENT RESULTS EVALUATION OF UNDP CONTRIBUTION THE REPUBLIC OF THE PHILIPPINES

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ASSESSMENT OF DEVELOPMENT RESULTS: THE REPUBLIC OF THE PHILIPPINES

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FOREWORD

The Evaluation Office of the United Nations Development Programme (UNDP) conducts independent country-level evaluations called Assessments of Development Results (ADRs) that assess the relevance and strategic positioning of UNDP support and contributions to a country's development over a period of time. This report is the first independent assessment of UNDP programmes in the Philippines by the UNDP Evaluation Office, covering the Country Programme 2005-2009, the eighth programming cycle in the country, and the preceding Country Cooperation Framework 2002-2004. It examines UNDP interventions under the various thematic areas of the programmes, with the aim of providing forward-looking recommendations to assist the UNDP country office and its partners in the formulation and implementation of the next programme cycle.

The ADR notes that the Philippine UNDP programme broadly conforms to the UNDP global mandate, and is largely consistent with government priorities. The perceived neutrality of UNDP has permitted the organization to advocate several important issues, such as capacity building at municipal and community levels, and the human security approach in crisis prevention. The UNDP programme has achieved a lot, relative to the financial resources available, through activities with demonstrable results that are likely to be sustainable. The UNDP programme progressed through a broad range of partnership activities.

The ADR has identified some limitations in the way in which UNDP has implemented its programme. It has undertaken many small-scale projects, particularly where funding is most constrained, but it has not always found a means of replicating its successful activities. Synergies across programme areas are only just developing, and monitoring and evaluation of the

programme has not been systematic. While there are examples of good practices in gender mainstreaming and applying a rights-based approach, overall performance in these areas is uneven across the programme. In order to enhance UNDP contributions to results, UNDP needs to clearly define its niche, focus its efforts, and ensure systematic application of crosscutting issues in programming.

A number of people contributed to the evaluation. I would particularly like to thank Stephen Curry, team leader, Gabriela Byron, team member, and Azusa Kubota, team member and Evaluation Office task manager. Valeria Carou Jones, through her research, and Cecilia Corps, Kutisha Ebron, Thuy Hang To and Anish Pradhan, through their administrative support, provided valuable assistance. The preparation of the report also benefited from the external reviewers, Steven Tabor, international evaluation consultant and economist, and Patricia Rogers, professor of Public Sector Evaluation from Royal Melbourne Institute of Technology.

The excellent collaboration and openness of the staff of the UNDP office in the Philippines was invaluable. I would especially like to thank UNDP senior management in the office including UNDP Resident Representative Nileema Noble, UNDP Deputy Resident Representative Kyo Naka, and Renaud Meyer, his successor, for their commitment and support to the Evaluation Office and the team during conduct of the evaluation. Special thanks goes to Hiroyuki Takita, Corazon Urquico, Josefa Carandang and Nerissa Sy-Changco who provided support throughout the process and without whose help the evaluation process would not have been as efficient. I would also like to thank the UNDP Regional Bureau for Asia and the Pacific, especially Claire Van der Vaeren, B. Murali and Akiko Suzaki. This report was edited by Margo Alderton.

This report would not have been possible without the cooperation of numerous partners of UNDP in the Philippines. Special thanks goes to the government, civil society and community representatives in Manila, Mindanao, Mindoro and Eastern Samar. The team is also indebted to those representatives from national civil society organizations, international development partners and the United Nations country team, including those from international financial institutions, who generously gave their time and valuable information.

I hope that the findings and recommendations of this report will assist UNDP in responding to development challenges in the Philippines and provide lessons that may be relevant to UNDP corporately and its global partners in development.



Saraswathi Menon
Director, Evaluation Office

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ACRONYMS AND ABBREVIATIONS

ADR	Assessment of Development Results
ADB	Asian Development Bank
ADSDPP	Ancestral Domain Sustainable Development and Protection Plan
AUSAID	Australian Agency for International Development
AWP	Annual Work Plan
CARP	Comprehensive Agrarian Reform Programme
CBMS	Community-based Monitoring System
CCA	Common Country Assessment
CCF	Country Cooperation Framework
CEDAW	Convention on the Elimination of all Forms of Discrimination Against Women
CHRP	Commission on Human Rights of the Philippines
CPAP	Country Programme Action Plan
CPD	Country Programme Document
CPP-NPA	Communist Party of the Philippines-New People's Army
CPR	Crisis Prevention and Recovery
CSO	Civil Society Organization
DRM	Disaster Risk Management
E&E	Energy and Environment
GDP	Gross Domestic Product
GEF	Global Environment Facility
HDR	Human Development Report
LGU	Local Government Unit
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MILF	Moro Islamic Liberation Front
MNLF	Moro National Liberation Front
MTPDP	Medium-term Philippine Development Plan
NAPC	National Anti-Poverty Commission
NCIP	National Commission on Indigenous Peoples
NEDA	National Economic and Development Authority
NEX	National Execution
NGO	Non-governmental Organization
NIM	National Implementation Modality
NSCB	National Statistical Coordination Board
ODA	Official Development Assistance
OPAPP	Office of the Presidential Adviser on Peace Process
PDA	Peace and Development Advocates

PDC	Peace and Development Community
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PMO	Project Management Office
READY	Hazard Mapping and Assessment for Effective Community-Based Disaster Risk Management Project
RBA	Rights-based Approach
SARDIC	Support to Asset Reform through the CARP and Development of Indigenous Communities
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNIFEM	United Nations Development Fund for Women

EXECUTIVE SUMMARY

INTRODUCTION

This report presents the findings and recommendations of an Assessment of Development Results of the United Nations Development Programme (UNDP) in the Philippines. It was conducted in 2008 and covered the period 2002 to 2008 and two programmes. It is the first such country-level programme evaluation in the Philippines by the UNDP Evaluation Office. The evaluation addresses the effectiveness and the sustainability of results; relevance of UNDP activities; responsiveness, especially for vulnerable groups; and alignment and partnership with government and other agencies. The evaluation relied on programme and non-programme documents, interviews with more than 200 persons, selected field visits, and regular reports and evaluations.

CONTEXT AND UNDP PROGRAMME

The Philippines is a lower middle-income country, with per capita income rising slowly in recent decades. A mid-term Millennium Development Goal (MDG) report has shown that many targets are likely to be met by 2015. However some indicators, such as maternal mortality and secure tenure of slum households, are falling behind. After a period of improvement, poverty rose again in 2006. Development achievements are vulnerable to environmental challenges and frequent natural disasters, armed struggles that continue to threaten human security, and persistent inequality. The positive effects of an active form of representative democracy, a strong civil society movement, and a positive decentralization process are reduced by ongoing allegations of corruption and a political party system that has not been fully established. The ancestral lands of indigenous peoples, who make up 15 percent of the population, often coincide with the last remaining depositories of land-based natural resources for forestry and mining.

The Medium-term Philippine Development Plan 2004-2010 contains a broad framework for development. It includes productive use of natural resources and ecosystem protection, peace and order, and anti-corruption. Poverty reduction is sought by protecting the most vulnerable and encouraging participation of the poor in decision making. UNDP support during the 2002 to 2008 period was built around the following four practice areas: MDG achievement and poverty reduction (including responding to HIV/AIDS); fostering democratic governance; energy and environment (E&E) for sustainable development; and crisis prevention and recovery (CPR). Crosscutting themes included gender equality and a rights-based approach (RBA). The programme management structure is based around the practice areas. Core resources were reduced radically at the beginning of the evaluation period. The MDG and governance practice areas are largely confined to limited amounts of core resources whilst the environment and crisis-prevention practice areas have generated non-core resources. The year 2007 witnessed a significant decline in mobilization of non-core resources and in delivery on planned expenditures.

DEVELOPMENT RESULTS

MDG achievement and poverty reduction

There have been considerable achievements in advocacy for the MDGs and their incorporation into budgetary (including alternative budgetary) and statistical processes. Continual assistance in several fields has been provided to the National Statistical Coordination Board (NSCB) on a sustainable basis. Provincial-level poverty estimates are being used for the government's conditional cash transfer system. The community-based monitoring system, partly supported by UNDP, has seen buy in from local governments and has been replicated extensively, but it still needs wider application. The Philippine Human

Development Reports have been influential not only in forming national debates, but also, recently, in providing indicators for measuring human security.

An early intervention to strengthen the microfinance sector, now expanded by existing banks, was particularly successful and led to a strong growth in the client base for three institutions. Implementation of activities in support of indigenous peoples has enhanced the capabilities of the national commission responsible for indigenous peoples' affairs. However, it has been slow, failing to attract support for a development fund and encountering issues regarding the location of the commission within the government structure. Other activities to strengthen agrarian reform communities and to enhance paralegal expertise for alternative land dispute processes were one-off interventions without strong policy components. UNDP supported government policies to combat HIV/AIDS in 42 high-risk cities. Owing to insufficient data, the extent to which UNDP contributed to the continued low national prevalence rate is unclear.

Fostering democratic governance

Participation in the early stages of governance activities allowed UNDP to contribute to agenda setting in three areas of involvement (justice and human rights, public administration and political development). The programme, implemented through a national school of public administration and governance, involved a large number and variety of partners but had the smallest level of financial resources among practice areas. Programme achievements included: a medium-term action plan to improve access to justice for the poor and marginalized based on the five pillars of justice and accompanied by several small reforms; a national action plan for human rights as part of an RBA to development; and most significant, mobilization and support for the ratification of the United Nations Convention Against Corruption and for a related national action plan. Further achievements include introducing the MDGs incrementally and sustainably in city planning and enhancing

citizen participation, advocacy, and monitoring. UNDP support helped to automate the most recent elections in Mindanao, although automation at a national level remains largely at the blueprint stage. UNDP neutrality and expertise have been highly valued, although the governance practice area has not attracted much additional funding.

Despite many achievements, the governance portfolio attempted to take on too many themes, activities, and partners. In 2007, the programme focus narrowed to support for human rights agencies and mechanisms, with the Commission on Human Rights of the Philippines as the implementing partner. The new focus simplifies the portfolio, enhances government ownership of implementation, and includes the rights of disadvantaged women. As programme implementation was significantly delayed, there were few results to assess at the time of the Assessment of Development Results. However, the abrupt change from the previous focus left a number of successful initiatives without an exit strategy to ensure sustainability and reduced the productive involvement of civil society organizations (CSOs).

Energy and environment (E&E)

Results in the E&E practice area have been mixed. The practice area has the largest financial resources and a large number of projects. An increased focus on disaster risk management (DRM) and managing conflicts around mining have been added to the portfolio in the current programme period. Nevertheless, UNDP has contributed to many activities and achievements. A key contribution was the development of a framework to coordinate environmental policy with a series of strategies, actions and a legislative agenda that has already influenced government priorities and UNDP programme management. UNDP has also provided continual support for meeting the country's obligations under international environmental treaties. South-South cooperation in environmental management of East Asian seas has seen several policy achievements, including a sustainable development strategy and integrated coastal management at specific sites. Ecological

waste management, involving waste separation with educational and community activities, has been demonstrated to work and needs to be scaled up. To reduce dependence on imported energy sources and to mitigate climate change, UNDP supported government policies and activities to promote renewable energy and energy efficiency. There has been significant progress in both areas, despite implementation delays in 2007. UNDP support to land- and marine-protected areas has made progress at the project level. However, difficulties remain in financing protected areas and identifying appropriate alternative livelihoods for affected persons.

In general, gender approaches and RBAs are not built into the design of activities in the E&E practice area, and there is limited involvement of CSOs. A recent outcome evaluation for the practice area concluded that there had been progress in advocacy, public support and community-based models of environmental management, which are likely to result in a higher level of sustainability. However, there are insufficient numbers of expert staff in environmental agencies, insufficient revenues and unfunded mandates.

DRM has been able to attract non-core funding. Despite difficulties over completing a national action plan for DRM, there has been enhanced cooperation among technical agencies, formalization of early warning systems through local government resolutions to enhance ownership, and an accelerated rate of implementation. However, DRM requires a convergence of activities across practice areas, including support for a solid institutional and legal basis, and immediate and medium-term social protection measures. Given the wide and growing number of issues being addressed under E&E, coordination of DRM activities across practice areas could be considered under the crisis prevention practice area, with appropriate specialist expertise.

Crisis prevention and covery (CPR)

Since 1997, UNDP assistance to CPR in Mindanao has attracted major external funding,

has been extensively documented, and has been generally effective. The primary tools for adopting an RBA have been peace development communities supported by peace and development advocates drawn from ex-combatants. Many of the communities involved have developed significant processes that are likely to be sustainable and have been able to assist other displaced persons. Several local governments have established conflict transformation and peace-building structures, and others are following. The impact of these positive results is limited by the low coverage—currently, the total number of communities involved represents approximately 3 percent of all *barangays* in Mindanao. Income generating results have been inconclusive, and poverty is still a major source of exclusion. There are built-in obstacles to women's participation, including a strengthening of traditional decision making, and UNDP has only recently developed a gender strategy to address these issues.

UNDP has supported the extension of the CPR process to the whole country—an important and innovative step—and the introduction of a human security approach that recognizes multiple sources of conflict. UNDP has contributed amply to the national debate. However, the dynamics of conflict resolution have shifted, and UNDP contribution in Mindanao needs to be sustained to ensure the continued application of lessons learned.

CROSSCUTTING AND OPERATIONAL ISSUES

There is a very uneven application of gender issues across practice areas. There is now greater gender disaggregation of data in many programme activities, but gender issues are often not addressed at the analysis stage and not included in individual work plans. UNDP has demonstrated commitment and has invested in gender training but has not been entirely successful in incorporating mainstreaming into its management structures and processes. Addressing gender concerns depends largely on individual initiatives. Similarly, UNDP has promoted an RBA through a widely shared training manual from 2002. Although

the language of an RBA increasingly appears in programme documentation, application varies across practice areas. Capacity development, involving policy and institutional arrangements as well as individual capabilities, is pursued across the UNDP programme. Design and monitoring of the programme itself displays a high level of domestic capacity to enhance national ownership and outcomes. The UNDP programme produces a large number of knowledge products each year, which are useful for advocacy. To better achieve programme objectives, a more selective approach to production and dissemination of knowledge products around demonstrated results could be pursued. Although the country office continues to be involved in UNDP regional initiatives, with substantial results, there have been some missed opportunities for South-South cooperation, for example, in sharing experiences in the Human Development Report process and in conflict prevention and resolution.

The evaluation identified some issues relating to country programme management. Annual work plans often appear after the year has started. A change in the implementing partner was successfully accomplished in one practice area but has been prolonged in another. Hybrid arrangements have developed to facilitate the mainstreaming of project management offices, but such changes still need preparation time. Record keeping on programme activities has been poor. Recent efforts to improve monitoring and evaluation (M&E) capacity and systems have not yet addressed the quality of results frameworks. It is not clear that recent programme changes were informed by M&E data.

STRATEGIC POSITIONING

The Philippine programme largely conforms to the five areas of the UNDP global mandate (MDG achievement and poverty reduction, fostering democratic governance, E&E, CPR, and HIV/AIDS mitigation), and is largely consistent with government priorities. UNDP has supported government measures to promote the MDGs. It has been innovative in expanding

support for crisis prevention and peace-building to all parts of the country. A key advantage of UNDP is its perceived neutrality, which allows it to initiate dialogue in potentially sensitive areas. It has helped rationalize activities in the governance area, although the resulting human rights focus is not explicit in the Medium-term Philippine Development Plan. It has been responsive to country needs in E&E, although the programme could play a larger role in poverty reduction by paying more attention to combating land degradation to improve agricultural productivity. A further key advantage is the UNDP role in advocacy, which could be enhanced around a number of important issues, such as the human security approach in crisis prevention and successful experiences in building capacities at municipal and community levels.

Programme flexibility and innovation need to be matched by greater resource mobilization, especially in the MDG and governance practice areas. UNDP could further leverage its policy work through partnering around the recent trend for policy-based lending by multilateral institutions. However, a constraint is the difficulty of aligning the programme with a six-year presidential and three-year local government electoral cycle. UNDP involvement in the Philippine Development Forum and civil society participation in programming are examples of successful partnering. Promotion of civil society involvement needs to be maintained to enhance both national ownership and sustainability of results. The United Nations Country Team played an active role during the evaluation period. However, there have been some missed opportunities for joint programming and use of specialized agencies in the UNDP programme.

RECOMMENDATIONS

Despite its demonstrable results, UNDP has undertaken many activities where funding is constrained and has not always replicated successful activities or developed synergies across practice areas. Performance in crosscutting areas is uneven. Several lessons have been derived relating

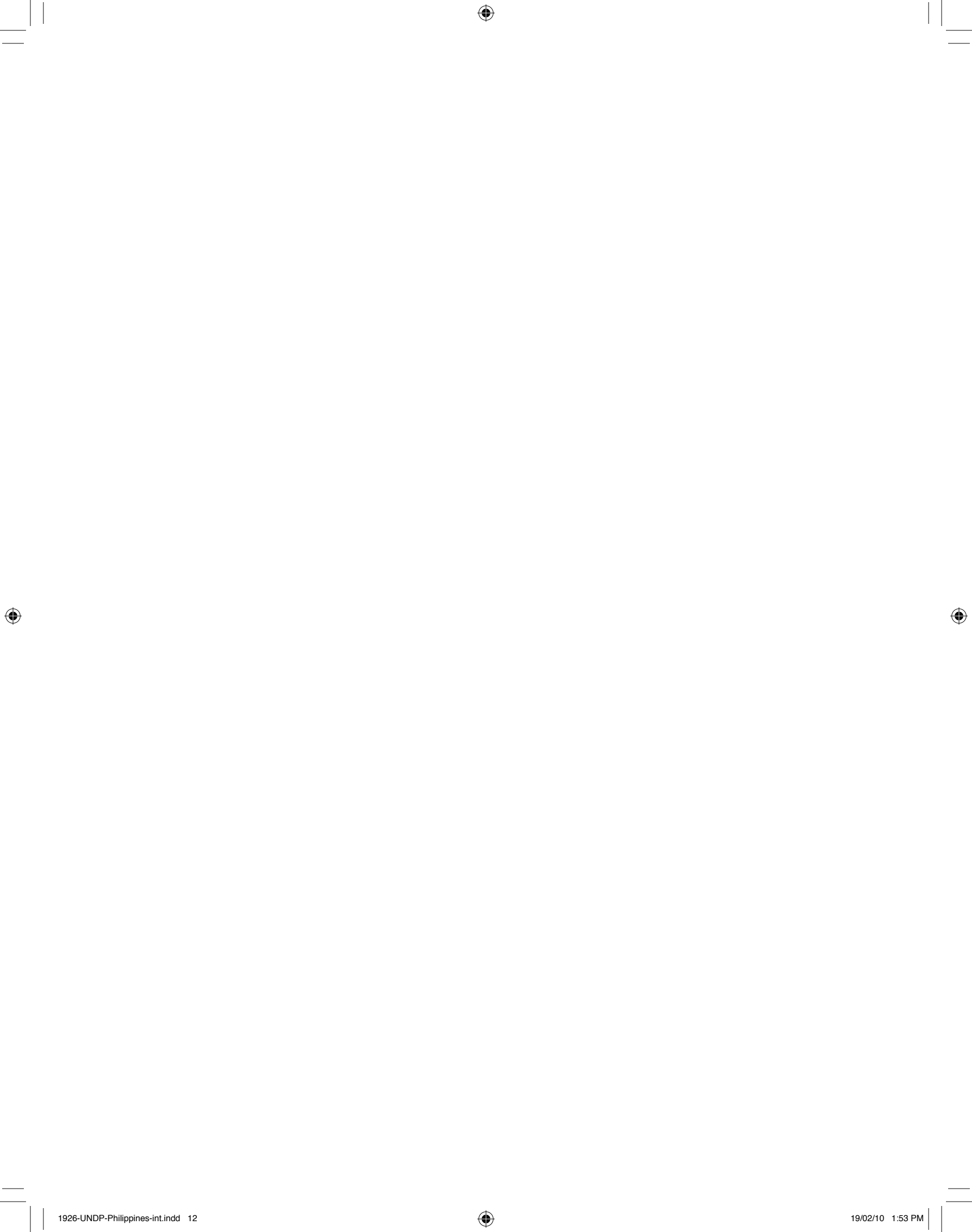
to capacity development at the local government level, synergies between practice areas, the role of CSOs in enhancing national ownership, and the requirements for South-South cooperation.

The following recommendations are made to enhance the results and positioning of the programme. UNDP should:

- Build on its achievements in institutionalizing the MDGs in government planning and budget systems
- Re-open dialogue with cluster areas in governance that were terminated when the focus of the practice area was changed and reconsider a role in supporting political reform that would allow greater participation of the poor
- Clearly define its priorities for E&E activities around the environment and natural resource policy framework; seek a greater convergence of activities across practice areas for DRM, with consideration of the coordination role

with a dedicated staff member being taken by the CPR practice area

- Maximize its contribution to peace-building in Mindanao and other conflict areas
- Establish mechanisms to generate and implement synergies across practice areas
- Learn from the role of private-public partnerships in programme development and implementation
- Maintain and strengthen the participation of CSOs in the country programme
- Be more systematic in its generation and use of knowledge products
- Enhance internal management structures to augment the impact of gender initiatives in its programme
- Continue to improve M&E systems to provide feedback for programme management, including for gender, RBAs, and capacity-building activities



CHAPTER 1

INTRODUCTION

1.1 PURPOSE

The Philippines is an archipelago of more than 7,000 islands bordering the Pacific Ocean, with a diverse population of approximately 88 million people, many living in remote and island communities. The World Bank classifies the Philippines as a lower middle-income country, based on its per capita income level and other characteristics. The country has a rich natural resource base but is faced by a number of environmental challenges relating to biodiversity, the use of natural resources, pollution and the effects of climate change, whilst being subject to a large number of natural disasters each year. A sustained effort has been made to establish and maintain peace in the light of actual and potential conflicts.

The current United Nations Development Programme (UNDP) country programme period, 2005 to 2009, is the eighth programming cycle in the country. Up to now, the programme as a whole has not been independently assessed by the UNDP Evaluation Office.¹ This report presents the findings, conclusions and recommendations of the Assessment of Development Results (ADR) undertaken by the UNDP Evaluation Office in 2008. The purpose is to provide an assessment of the UNDP contribution to development results at the country level.² This report also assesses the quality of alignment and partnering around government priorities and processes, and country needs.

1.2 METHODOLOGY

1.2.1 PROCESS AND QUALITY ASSURANCE

The conduct of the ADR in the Philippines was guided by the principles of transparency, independence and inclusiveness as stipulated in the UNDP Evaluation Policy and the UN Evaluation Group Norms and Standards. The evaluation was undertaken between May and October 2008.³ A one-week scoping mission to the Philippines took place in May, preceded by a briefing meeting at the UNDP regional centre in Bangkok, and was followed by another briefing at UNDP Headquarters in New York. The main mission for data collection took place during the last three weeks of August, and was concluded by separate debriefing meetings on preliminary findings for the UNDP country office and for main government partners. An inception report following the scoping mission and a draft final report following the main mission have been subject to the Evaluation Office's internal quality assurance mechanisms, including review by two external reviewers. In addition, the draft final report has been reviewed by the country office and the government for factual errors and omissions.

1.2.2 APPROACH AND CRITERIA

ADRs provide a strategic assessment of the UNDP programme as a whole. The overall approach of the evaluation reflects UNDP evaluation guidelines for ADRs. This is briefly

¹ The UNDP Evaluation Office is independent of UNDP management and reports directly to the Executive Board of UNDP.

² The terms of reference are in Annex 1.

³ The independent evaluation team comprised two international consultants and the Evaluation Office task manager. A researcher in the Evaluation Office carried out background research, identified key documents, and collected additional data prior to the main mission.

summarized in two questions: ‘Has UNDP done things right?’ and ‘Has UNDP done the right things?’⁴ These questions reflect the two main dimensions used for evaluating the country programme: development results and strategic positioning, which are broken down into some key evaluation criteria (Table 1). To evaluate results, the programme is assessed for its effectiveness; for factors that affect effectiveness, such as how well UNDP used its human and financial resources and generated synergies among its programme elements; and for the sustainability of achievements. To assess strategic positioning, the programme is examined for its relevance, its responsiveness to national and changing circumstances, whether it addresses the issues pertaining to vulnerable groups, and the quality of alignment with government and partnering with other stakeholders. The evaluation also assessed the degree to which crosscutting themes, gender mainstreaming, rights-based approach (RBA), capacity development and knowledge management have been addressed by the programme. These criteria and a set of related evaluation questions were used in the evaluation.⁵

Table 1. Key dimensions and evaluation criteria	
Development results	Strategic positioning
<ul style="list-style-type: none"> ▪ Effectiveness ▪ Factors affecting effectiveness ▪ Sustainability 	<ul style="list-style-type: none"> ▪ Relevance ▪ Responsiveness ▪ Inclusion and vulnerability ▪ Alignment and partnering

1.2.3 SCOPE, DATA COLLECTION AND ANALYSIS

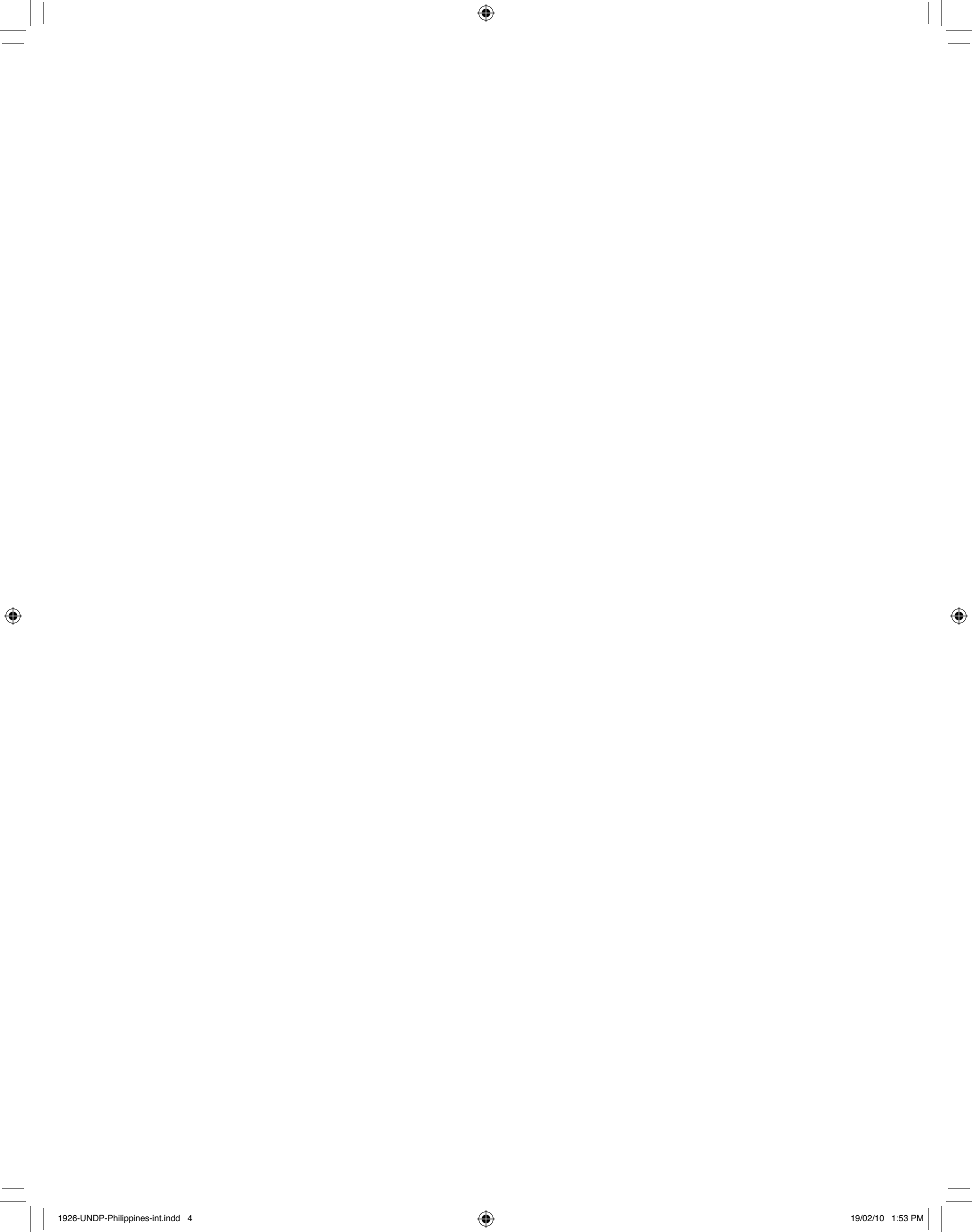
The evaluation assesses results and positioning over the seven-year period from 2002 to 2008. This includes two UNDP programme periods, 2002 to 2004 and 2005 to 2009. With some modifications, these two periods included the same practice areas (see section 2.2). Due to the availability of data and a results framework, the emphasis is on the most recent programme period.

The evaluation team collected a large amount of data for the evaluation and assessed and reviewed primary and secondary data sources. More than 200 persons were selected for semi-structured interviews, which were conducted with representatives of government agencies, bilateral and multilateral agencies in the Philippines, other UN organizations, civil society organizations (CSOs), and key informants, including political leaders, academics and CSOs that have expert knowledge of national issues the programme addresses but no direct links to the UNDP programme. Field visits to projects sites supplemented the data collection⁶ and facilitated the assessment of results from the viewpoint of beneficiaries. The selection of field visit sites was influenced by logistical constraints in the country⁷ and geographical representation and balance amongst practice areas. All data was cross-checked through multiple sources. As far as possible, meetings and interviews were attended by two evaluation team members to ensure consistency in the application of data collection methods. A list of the main documents reviewed is included in Annex 2, and the main persons consulted are listed in Annex 3.

⁴ UNDP, ‘Guidelines for an Assessment of Development Results (ADR)’, Evaluation Office, 2007.
⁵ Detailed evaluation questions corresponding to the evaluation criteria are listed in Table 4 of the Inception Report, available online at www.undp.org/eo.
⁶ Project sites visited included: Mindanao (Indigenous Peoples/Act for Peace), Mindoro (Indigenous Peoples and Peace-building), Eastern Samar (Community-based Monitoring System [CBMS]), Manila: Pasay City (Millennium Development Goals [MDGs] localization) and Metro Manila (Efficient Lighting Market Transformation Project).
⁷ The main mission took place in August in the middle of the rain and typhoon season, which made it impossible to visit a number of project sites due to inaccessibility and time constraints.

1.2.4 LIMITATIONS

This ADR faced a number of constraints. Preliminary data collection at the project level was delayed considerably due to the lack of central record-keeping systems in the country office. There were a limited number of evaluations conducted at the project and outcome levels prior to the desk review. There was a lack of baseline data and systematic reporting against selected indicators in the results framework. Where information on baseline and current indicator values was missing, the evaluation team mainly depended on qualitative reporting in regular progress reports, narrative description of results for corporate reporting purposes, and other national and global statistical data to assess trends.



CHAPTER 2

CONTEXT

2.1 COUNTRY CONTEXT

Since independence, the Philippines has passed through various phases of development. After a period of import substitution industrialization up to the 1980s, the services sector started to grow faster, and the agriculture sector shrank as a contributor to gross domestic product (GDP). Martial law, declared in 1972, was ended by the ‘EDSA Revolution’⁸ of 1986. Already, economic growth was falling behind other countries in the region. Real per capita growth was negative during the 1980s. A succession of crises—the eruption of Mount Pinatubo in 1992, power shortages in 1993, and the Asian financial crisis

of 1997—contributed to low per capita income growth in the 1990s. A key government change was the Local Government Code of 1991, which shifted many responsibilities to provinces and municipalities at a time of inadequate resources.

Further political upheaval in 2001 saw a new government and President emerge, and there has been a recent period of relatively high growth. However, high inequality in incomes and high levels of poverty remain. Conflicts in Mindanao in southern Philippines and with the Communist Party of the Philippines-New People’s Army (CPP-NPA) remain unresolved after 40 years.

Table 2. Key economic and social indicators, 2000-2007			
Indicator	Period or date	Unit	2006
GDP growth	2001-2006	Growth rate, %	4.6
Services GDP	2001-2006	Growth rate, %	6.1
Real per capita GDP	1981-1990 1991-2000 2001-2006	Growth rate, %	-0.6 0.9 2.7
Gross capital formation	2000 2006	Percentage of GDP	21 14
Tax effort	2007	Percentage of GDP	14.0
Per capita gross national income	2006	Current US\$	1,390
Poverty incidence	2006	National poverty line	32.9
Gini coefficient	2006	Ratio	0.46
Population	2007	Persons, millions	87.9
Population growth	2000-2006	Annualized rate, %	2.0
Fertility rate	2006	Births per woman	3.3
Life expectancy at birth	2006	Years	71

Sources: Asian Development Bank (ADB), ‘Philippines: Critical Development Constraints’, 2008; United Nations and the Government of the Philippines, ‘Common Country Assessment’, 2004; and World Bank, ‘Philippines Data Profile’, April 2008.

⁸ The name EDSA Revolution is given to the process, including mass demonstrations that ended the administration of Ferdinand Marcos.

2.1.1 ECONOMIC PROGRESS

Economic growth accelerated from 2002 and in 2007 rose to its highest level in three decades. Growth has been prompted by an expansion of domestic demand backed by remittances from overseas. Although exports expanded for some years, they have grown more slowly recently, and private investment has remained weak (Table 2).⁹ Lack of investment has meant not enough jobs have been created for the growing population. Economic growth, with tax reforms, has allowed some fiscal improvement. However, tax receipts are still below target, and a zero budget deficit requires privatization receipts and restraining capital expenditure. Debt levels and payments also restrained expenditure in the early 2000s.

The scale of remittances has a substantial social as well as economic impact. Remittances from permanent and temporary overseas workers have greatly increased—both in terms of numbers and due to a higher proportion of professional and technical workers—and now account for one-third of the total. With an improvement in bank transfer systems, recorded remittances reached US\$ 14.4 billion in 2007. However, reliance on remittances creates vulnerabilities for the economy and for the workers and their dependents left behind. These can be mitigated by government support services for the workers, whilst broadening the growth process to exports and especially to investment (see section 2.1.5).

Constraints

A recent study by the Asian Development Bank (ADB) identified key constraints to growth including lack of fiscal resources, inadequate infrastructure and lack of investor confidence.¹⁰ Current policies that address these constraints need to be strengthened, including: tax generation and expenditure management through budget reform; completing and enhancing the provisions

of the electric power industry restructuring act; investment in transport infrastructure, including by local government units (LGUs); and improved governance from tackling corruption and electoral reform. Constraints to poverty reduction have included insufficient employment generation, unequal access to economic opportunities, inadequate social protection for the vulnerable, and insufficient employment generation, partially resulting in further migration. Policy emphasis should include access to education, training and health services; better funded local development programmes, for example, rural infrastructure, agrarian reform and microfinance; and better targeting of social protection programmes, including for natural disasters.

Poverty and inequality

Poverty incidence was falling until 2003 but rose again 2006. There are a record number of poor people, including in urban areas.¹¹ Factors contributing to sustained poverty have been: high unemployment that mirrors the rise and fall of the agriculture sector and underemployment, at 6.8 percent and 17.5 percent of the labour force in 2008 respectively; and stagnant labour productivity.¹² The service sector has grown rapidly, now accounting for almost 50 percent of the employed labour force and constrained by a diminishing supply of qualified workers. However, agriculture still accounts for almost 36 percent of the employed labour force. Although the share of rural poverty has fallen slowly in the last 20 years—from 80 percent to 75 percent of total poverty—poverty remains predominantly rural. Poverty incidence in agricultural households is four times that of other households. There are also wide discrepancies across regions. Poverty incidence in the National Capital Region, with 13 percent of the population and 33 percent of GDP (from a concentration of manufacturing activity) was only 7 percent in 2006, whilst

⁹ World Bank, 'Accelerating Inclusive Growth and Deepening Fiscal Stability', draft for discussion, March 2008.

¹⁰ ADB, 'Philippines: Critical Development Constraints', Manila, 2007.

¹¹ National Statistical Coordination Board, 'Philippine Poverty Statistics', March 2008.

¹² Figures are from National Statistics Office, Labor Force Survey, 2008.

poverty incidence was highest in the Autonomous Region of Muslim Mindanao at 55 percent. The reduction in poverty was slower than in other countries in the region. One of the reasons is the high rate of inequality. The Gini coefficient for 2006 is higher than for Thailand, Viet Nam and Bangladesh. Of the four regions where poverty incidence continued to decline between 2003 and 2006, three were in Mindanao.

In part, resources created through sustained growth need to be directed to poorer households to raise agricultural productivity through access to land and assured tenure, for targeted expenditures and projects, for development of social protection mechanisms, and to provide improved service delivery. The economic backdrop in 2008 is more uncertain than in the earlier years of the evaluation period. Demand for Philippine labour, through services exports and migration, may reduce. Commodities prices are volatile, especially for rice and oil. The Philippines is the largest global importer of rice and is dependent on oil imports for both transport and power generation.¹³ At the same time, rural production based on natural resource systems finds itself in competition with forestry, biodiversity conservation and a new emphasis on mining. Policies to address poverty reduction, as incorporated in the Medium-term Philippine Development Plan (MTPDP) 2004-2010 (see section 2.1.5) will need to be sustained beyond the term of the President and current administration, which ends in 2010.

2.1.2 SOCIAL INDICATORS

Population growth and the fertility rate are both high relative to other countries in the region. A relatively high literacy rate does not translate into employment. Overall, the human development index *value* for the Philippines has risen to

0.771 in 2005, but the value for other South-East Asian countries has risen more (see Annex 4) meaning the Philippine human development index *ranking* has fallen.¹⁴

Millennium Development Goals

A mid-term assessment of progress towards achieving the MDGs showed that there was significant progress on some goals but shortfalls in others (Table 3). Achievements are at risk due to several factors including a fragile peace-and-order situation; climate change, including natural disasters; inequitable benefits of growth; and a lack of income-earning opportunities.

There are differences of achievement among the MDG targets across regions. For some targets, achievement is unlikely across nearly all regions, suggesting structural weaknesses that need to be addressed at national policy and local implementation levels. There are others where still more than half the regions are unlikely to achieve the targets. This suggests a problem of economic opportunities and resource availability in some regions.¹⁵ Overall, clear gains were made from the 1990 baseline in: reducing extreme poverty and infant deaths, net elementary enrolment rates for girls, access to safe water and sanitary facilities, and other indicators such as the number of protected areas proclaimed. A number of indicators that are falling behind their target levels—including women's share in wage employment and national parliament, access to reproductive health care, and maternal mortality—are particularly relevant to the well-being of women.

Gender

In many ways, the Philippines is very advanced in gender equality issues. The 1987 Constitution “recognizes the role of women in nation-building and shall ensure the fundamental equality before

¹³ In August 2008, the headline annual inflation rate was 12.5 percent, much higher than recent years. Source: NSCB, 2008.

¹⁴ Human Development Network, ‘Philippine Human Development Report’, 2005.

¹⁵ In addition, there are two indicators—HIV/AIDS prevalence and malaria morbidity—where proxy indicators had to be used because of insufficient direct data, so conclusions are more tentative.

Table 3. Selected Millennium Development Goal indicators

Indicator	Baseline (1990 or closest year)	Current level (2005/2006 or closest year)	Target for 2015	Probability of achievement
Families below the poverty threshold, %	39.9	24.4	19.95	High
Population below the poverty threshold, %	45.3	30.0	22.65	High
Households below dietary intake requirement, %	69.4	56.9	34.7	High
Children underweight, %	34.5	24.6	17.25	High
Elementary participation rate, %	85.1	84.4	100	Low
Elementary completion rate, %	66.5	68.0	81.0	Low
Girls to boys in primary school, ratio	1.0	0.9	1.0	Medium
Women's share of wage employment, %	40.6	41.2	50.0	Low
Women's share in national parliament, %	11.3	17.6	50.0	Low
Maternal mortality rate, per 100,000 live births	209	162	52.2	Low
Couples practicing responsible parenthood, %	40.0	50.6	80	Low
Under five mortality rate	80.0	32.0	26.7	High
Infant mortality rate, per 1,000 live births	57.0	24.0	19.0	High
HIV prevalence, %	<1	<1	0	High
Malaria morbidity rate, per 100,000	123.0	59.0	24.0	High
Forested land area, %	20.5	23.9	Increasing	High
Protected to diversity area, ratio	8.5	12.7	Increasing	High
Access to safe drinking water, %	73.7	80.2	86.8	High
Sanitary toilet facility, %	67.6	86.2	83.8	High
Secure tenure, slum households, %	91.0	81.0	Increasing	Low

Sources: NEDA/UNDP, 'Philippines Midterm Progress Report on the Millennium Development Goals', Manila, 2007; and ADB, 'Philippine Country Assistance Programme Evaluation', Manila, 2008.

the law of women and men" (article II). A number of laws have been passed against sexual harassment, rape, trafficking in persons, and violence against women and their children. A Magna Carta on women's equality is under consideration in the legislature.¹⁶ All government agencies are required to dedicate at least 5 percent of their budgets to gender issues, and external agencies are required to dedicate 5 percent to 30 percent.¹⁷

Women outnumber men in college enrollment, although according to the MTPDP, women still earn only 59 percent of what men earn. Only 17 percent of the legislature is made up of women. While a strong and vibrant women's movement supports progressive measures of government, its alternate Shadow Report to the Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW) maintains that patriarchal views, values and

¹⁶ The bill has been described by women's advocates as 'CEDAW++', although the main drawback is that while the issues are listed, it does not address reproductive rights and choice, abortion and divorce.

¹⁷ Monitored respectively by the National Commission on the Role of Filipino Women and the National Economic and Development Authority.

practices are still the norm. One of the key areas of contention is reproductive rights and health, where the government did not meet its 1994 commitments under the Population and Development Summit.¹⁸ It is estimated there are almost 500,000 (illegal) abortions each year with a high rate of complications and 800 deaths annually.¹⁹

The economic development strategy of the government has not adequately supported poor women. Underfunding of health, education and other social services affects women adversely, and the gender division of labour leaves them responsible for filling in the gaps in public services. For women, employment is increasingly informal, contractual, overseas or otherwise ‘flexible’. Poverty as well as displacement due to conflict have contributed to prostitution as a means of survival. In the extreme, there are increasing cases of *palit bigas* prostitution—sex for rice—among rural women. The World Health Organization reports that “Although likely underreported, anecdotal evidence suggests that gender-based violence against women is widespread and accepted by both men and women as the norm.”²⁰

Indigenous peoples

There are approximately 110 groups and 15 percent of the population regarded as indigenous peoples. International definitions of indigenous peoples refer both to a process of intrusion and settlement by other peoples and to a continuity of populations and cultures.

Indigenous peoples, generally self-identified, are non-dominant politically and have to deal with the structures of an imposed state.²¹ International conventions support the assertion of rights of indigenous peoples, their claims on land and resources, and their distinctive cultural traits. The primary legislation relating to indigenous peoples, the Indigenous Peoples Rights Act of 1997, seeks to establish the rights of indigenous peoples and their development. It established the National Commission on Indigenous Peoples (NCIP) to develop policies, plans and programmes to support indigenous peoples in pursuing their rights and well-being, and to ensure participation and incorporation of indigenous knowledge in decision making.²²

Indigenous peoples’ ancestral lands often coincide with the last remaining depositories of land-based natural resources, inviting competition with forestry and mining. The Indigenous Peoples Rights Act itself was subject (unsuccessfully) to constitutional challenges on the grounds that it deprives the state of the right to own and control natural resources and deprives individuals of private property.²³ The special Rapporteur on Human Rights noted in 2003 that indigenous peoples have resisted what he calls “development aggression”—encroachment on their ancestral lands, resources and culture—and for this have been accused of rebellion or terrorism. In the context of armed conflict, indigenous communities and organizations are often victimized and their human rights seriously abused.²⁴

¹⁸ These include providing universal access to sexual and reproductive health, and implementing Article 16 of CEDAW, which guarantees the right “to freely decide on the number and spacing of children and to have access to information, education and means to enable (men and women) to exercise these rights.”

¹⁹ Singh, S, et al., ‘Unintended Pregnancies and Induced Abortions in the Philippines: Causes and Consequences’, Guttmacher Institute, 2006, p. 5.

²⁰ World Health Organization, ‘Country Profile: Philippines’, available online at www.who.int/countries/phl.

²¹ UN Economic and Social Committee and UN Commission on Human Rights, 1982, and International Labour Organisation, Indigenous and Tribal Peoples Convention, 1989.

²² The NCIP comprises seven commissioners from different ethnographic areas: two must be women and two must be accredited lawyers.

²³ Gaerlan, K, ‘Touching Lives: CIDA’s Encounters with Indigenous People in the Philippines’, Manila, 2005, p. 17.

²⁴ Report of the Special Rapporteur on the situation of human rights and fundamental freedoms of indigenous people, Mr. Rodolfo Stavenhagen, ‘Mission to the Philippines: Executive Summary’, E/CN.4/2003/90/Add.3 5, March 2003.

2.1.3 ENVIRONMENTAL CHALLENGES

The Philippine Agenda 21 of 1994 outlined the main risks to ecosystems and resources. Means to address these risks were embodied in the Philippine Council for Sustainable Development and associated networks. The Philippines is one of the 20 most biologically diverse countries in the world and one of the most endangered. This diversity means that interventions are needed in each of the country's regions and ecosystems. Therefore generating payments for environmental services is difficult. While farmlands are being converted into residential, commercial and industrial sites, two thirds of the population remains dependent on natural resources. Urban populations, especially the poor, are at risk of air and water pollution. Environmental degradation increases vulnerability to natural disasters.

Achievements and challenges

The Philippines has already met the 2015 MDG target for improved sanitation and is likely to meet the target for safe water supply. For these indicators, the MTPDP 2004-2010 has set higher targets than the 2015 MDG targets.²⁵ There also has been improvement in some natural resource indicators including: a small recent increase in forested area after a long and substantial decline; an increase in the number of proclaimed protected areas; a substantial decline in ozone-depleting chlorofluorocarbons; and a reduction in households using solid fuels. There has also been an active legislative programme—with acts on clean air, clean water and ecological solid waste management—and environmental policies or action plans on climate change, integrated coastal management and biodiversity, amongst others. These achievements have been made at the same time as the Philippines has acted to

meet its obligations under several multilateral environment agreements, which have global as well as national impacts.

Despite these achievements, environmental challenges persist and require urgent attention. They include: watershed withdrawals; a decline in fishery resources and coral reefs, on which many of the poor rely; threats to biodiversity, where conservation and development can impose a significant cost; persistent pollutant threats to humans and ecosystems; the effects of natural disasters, which can be prepared for if not prevented²⁶; and the threats of climate change. Recently, there has been a substantial increase in applications for mining licenses in many parts of the country, backed by national legislation.²⁷ Mining can cause pollution, compete with biodiversity areas and undermine the rights of local populations. A further challenge is the capacity of the government and other stakeholders to develop and implement appropriate policies and institutional arrangements.

2.1.4 POLITICAL CONTEXT

The Philippines has enjoyed an open and active form of representative democracy since the end of the Marcos government. However, it still suffers significant governability issues. Government credibility and capacity to enforce fiscal reforms are reduced by ongoing allegations of corruption. The United Nations Development Assistance Framework (UNDAF), for example, noted that in 2001 an estimated 13 percent of the national budget may have been lost to corruption. For this reason, the recent ratification of the United Nations Convention Against Corruption is highly significant. In addition, a credible political party system, representing distinct political processes

²⁵ NEDA/UNDP, 'Philippines Midterm Progress Report on the Millennium Development Goals', Manila, 2007, p. 38. Data on the 'current level' for these two indicators is from the Annual Poverty Indicators Survey, National Statistics Office, 2004. The higher MTPDP targets are 92 percent to 96 percent for safe drinking water and 86 percent to 91 percent for sanitary facilities.

²⁶ The Philippines is one of the most natural disaster-prone countries in the world. Annual averages are 20 to 22 typhoons making landfall, and a total loss to typhoons and floods of Pesos 15 billion—approximately 4 percent of GDP.

²⁷ Mining Act of 1995.

and governed by transparency and accountability, has not been fully established. Measures to improve representativity have not been entirely successful: the partylist system, for example, established to provide access to marginalized groups, has not met expectations.²⁸

Governance is also affected by a strong decentralization process devolving responsibility to LGUs at the province, municipality and *barangay* levels. This is significant for moving decision making to the most relevant level. However, it runs the risk of highly uneven distribution of resources and reforms in the absence of strong national guidelines and resource transfers. An important element of Philippine democracy is a strong CSO movement, which has generally been viewed positively by Philippine governments since the mid 1980s. The broadest estimate of the number of CSOs is 500,000, although there are only approximately 3,000 to 5,000 development-oriented non-governmental organizations (NGOs). The ADB recently noted: “The ability of the country’s CSOs to promote social accountability has become one of their defining features.”²⁹

The Philippines has suffered ideological and territorial conflicts for the past 40 years, particularly from the Moro separatist movement in southern Philippines (Mindanao) and the CPP-NPA communist insurgency more generalized throughout the country. Negotiations were successfully completed with the Moro National Liberation Front (MNLF) in 1996, and peace processes are well underway. However, the more radical and separatist Moro Islamic Liberation Front (MILF), representing some of the same

population and geographic locations, has still not concluded an agreement. A Memorandum of Agreement, expected to be signed in August 2008, was stalled by a Supreme Court case brought by some members of the Senate, who argued the territorial settlement was unconstitutional. The lost opportunity has sparked a new round of violent conflict in central Mindanao, underway during the ADR mission and demonstrated the fragility of peace. Meanwhile, no agreements have been reached with the CPP-NPA or other smaller groups.

During the past 20 years, there have been different strategies both between governments and within governments. In the Philippine context, they have been described as: pacification and demobilization—negotiating concessions necessary for a cessation of hostilities and demobilization of combatants; military victory—military defeat of the MILF and CPP-NPA and political marginalization of the MNLF; and institutional peace-building—construction of policies and institutions for peace in economic, social, political and cultural spheres through participatory and consultative means.³⁰ The current government strategy (Chapter 14 of the MTPDP 2004-2010) emphasizes a peace development approach rather than a military solution.

The National Unification Commission, established in 1992, identified wide ranging development and governability issues at the heart of the insurgencies. The government recognizes the need to address these structural issues and to negotiate with insurgents, although over the years it has often sent conflicting hard-line signals. For example, recent

²⁸ The ‘partylist’ is a Philippine form of proportional representation whereby everyone gets two votes: one for district representative and one from a partylist of under-represented national, regional or sectoral parties, or organizations or coalitions. Parliament reserves 20 percent of seats for representation from the partylist. Any organization with 2 percent or more of the partylist vote gets a seat (up to a maximum of three seats). There are procedures for registering for this list. However, there are also technical problems. Of 52 seats, at least one will remain empty because each representative requires 2 percent of the seats. The maximum number of seats per party is three, so any party with more than 6 percent of the votes is underrepresented and seats for others are not available. There is no clear definition of which groups are eligible.

²⁹ ADB, ‘Civil Society Briefs, Overview of NGOs and Civil Society’, Philippines, 2007.

³⁰ ‘Philippine Human Development Report’, 2005, p.75.

legislation is criticized as containing “an overly broad definition of terrorism, and overly harsh mandatory penalties applicable even to minor violations of the law.”³¹

The Philippines’ commitment to human rights is indicated through its status as a signatory to a substantial number of international human rights conventions and treaties.³² However, it continues to face threats to human security in addition to the effects of armed struggle. In early 2007, a UN Special Rapporteur visited the Philippines and made a number of recommendations based on his observations and on the recommendations of the independent Melo Commission established by the President. He noted that extrajudicial killings had the effect of intimidating a vast number of legitimate civil society actors, narrowing the country’s political discourse.³³ The Special Rapporteur also noted that the Commission on Human Rights of the Philippines (CHRP)³⁴ stands out as an oversight mechanism that has safeguarded its independence and mandate but was in need of more resources to ensure its effectiveness.³⁵

2.1.5 COUNTRY PRIORITIES

The MTPDP 2004-2010 is broader in scope than its predecessor and contains a broad

framework for development priorities as well as some specific targets for the country.³⁶ The plan opted for a new growth strategy, with four key elements at the macroeconomic level:

- Stability would be provided by working towards a balanced budget by 2010.
- Consumption and remittances to stimulate growth would be substituted by investment and exports.
- Job creation would come through encouraging entrepreneurs and an agribusiness approach to raise agricultural productivity, including two million hectares of new agribusiness lands.
- Competitiveness of manufacturing and services for encouraging investment and exports would be enhanced through infrastructure investments to improve logistics and education, reduce electricity costs and tackle corruption

The MTPDP also included many features beyond broad economic development issues that would contribute to poverty reduction. Although the first thrust of the environment and natural resources strategy was to enhance productive use of natural resources, it also included protecting fragile ecosystems and creating a healthier

³¹ Human Rights Watch, ‘Philippines: New Terrorism Law Puts Rights at Risk’, 17 July 2007, available online at www.hrw.org.

³² These include, with the national body responsible for ensuring their implementation: International Convention on the Elimination of All Forms of Racial Discrimination–NCIP; UN Declaration on the Rights of the Indigenous Peoples; International Covenant on Economic, Social and Political Rights–NEDA; Convention on Civil and Political Rights–Department of Justice; CEDAW–National Commission on the Role of Filipino Women; United Nations Convention Against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment–Department of Interior and Local Government; Convention on the Rights of the Child–Department of Social Welfare; International Convention for the Protection of the Rights of All Migrant Workers and Members of their Families–Department of Labor and Employment.

³³ Alston, P, Special Rapporteur on extrajudicial, summary or arbitrary executions, ‘Promotion and Protection of all Human Rights, Civil, Political, Economic, Social and Cultural Rights, Including the Right to Development’, Report on the Mission to Philippines, 2007.

³⁴ The CHRP was created by executive order 163 in 1987 in order to *inter alia* investigate human rights violations, recommend to Congress measures to promote human rights, monitor government compliance with international treaty obligations on human rights, and provide protection and compensation to victims of human rights violations.

³⁵ Cited in Project Document, ‘Strengthening the Human Rights Infrastructure in the Philippines’, project period 2008–2009, p. 5.

³⁶ A review of the draft MTPDP was undertaken by Professor Jeffrey Sachs, Special Adviser to the UN Secretary General on the MDGs.

environment for the population.³⁷ The MTPDP included chapters on peace and order as a basic need, anti-corruption and poverty reduction. The government's poverty reduction strategy, already under implementation in the previous MTPDP period, whilst highlighting delivery of services, was multifaceted. It also included entrepreneurship and microfinance development, agrarian reform and titling of ancestral domains, protection of the most vulnerable and participation of the poor in decision making.

The MTPDP summarized a number of targets—for livelihoods and job creation, education, fiscal strength, decentralized development (meaning mostly national infrastructure plans), and national harmony—that would be the legacy of the administration. These were publicized in a 10-point agenda, 'Beat the Odds'³⁸, towards which the government continues to work.

2.1.6 DEVELOPMENT ASSISTANCE IN THE PHILIPPINES

The Philippines mainly relies on loan assistance and carries a high level of debt. An annual assessment is made of development assistance in the Philippines.³⁹ In 2007, the overall loan portfolio was US\$ 9.75 billion. Japan has remained the main source of Official Development Assistance (ODA), accounting for 37 percent of the accumulated lending, followed by the ADB and the World Bank. There are approximately 15 other sources of lending from countries or international institutions. A recent feature is borrowing from China, which has quickly grown to 11 percent of the portfolio. Since 2005, there has been access to programme loans in the

form of policy-based lending, which provides generalized budget support and allows for quick disbursement. The portfolio in 2007 included an accumulated 11 programme loans, 8 percent by total number of loans but 22 percent by total loan amount. In 2007 there was a significant increase in borrowing for governance and institutional development, rising to 7 percent of the portfolio through four new governance operations implemented by the Department of Finance and revenue agencies.

The same annual assessment reviewed 89 grant-assisted projects, totaling US\$ 723 million (plus some in-kind components) in 2007 and showed that 40 percent were directed at social reform and community development, followed by infrastructure, and agriculture and environmental resources. Governance and institutional development projects had grown and accounted for 6 percent or US\$ 40 million, but 23 percent by number of projects. Grant assistance in 2007 came from 18 partners.

2.2 UN AND UNDP CONTEXT

Recent emphasis of the UN system in the Philippines has been placed on operating with enhanced coherence, efficiency and effectiveness. Dialogue with the government is conducted by the UN Country Team (UNCT), representing 18 agencies, through the UN Resident Coordinator.⁴⁰ The Resident Representative of UNDP also serves as the UN Resident Coordinator for the UN system as a whole at the country level.

³⁷ Chapter 3 also highlighted responsible mining and mitigation of natural disasters.

³⁸ Balanced budget, Education for all, Automated polls, Transportation to connect the whole country, Termination of hostilities with the New People's Army, MILF, Healing the wounds of EDSA, Electricity and water for the whole country, Opportunities for 10 million jobs, Decongest Manila, and Development of Subic and Clark.

³⁹ NEDA, 'Outcome of the 16th ODA Portfolio Review', Project Monitoring Staff, June 2008.

⁴⁰ They are ADB, Food and Agriculture Organization, International Finance Committee, International Labour Organisation, International Monetary Fund, International Maritime Organization, International Organization for Migration, UN Joint Programme on HIV/AIDS, UN Economic and Social Committee, UNDP, UN Population Fund, UN-HABITAT, UN Children's Fund, UN High Commissioner for Refugees, United Nations Information Centres, World Bank, World Health Organization and World Food Programme (www.un.org.ph/uncountryteam.html).

2.2.1 UNITED NATIONS DEVELOPMENT ASSISTANCE FRAMEWORK (UNDAF)

After extensive consultations in 2003, a common country assessment (CCA) was prepared around the MDGs and how they could be achieved to inform priorities for the UN system as a whole in the Philippines.⁴¹ It also drew attention to the international conventions to which the Philippines is a party; the special focus of the UN system on vulnerable groups, including those suffering from natural disasters and conflicts; the principle of an RBA to development; and the particular perspective of the United Nations on poverty that stresses empowerment. It also drew on the perceived comparative advantage of the UN system in promoting participation, advocacy and community-based initiatives.

The CCA analysis informed the UNDAF as a common strategic framework for UN development activities in the country. The UNDAF 2005-2009 identified five areas of cooperation: macroeconomic stability with broad-based and equitable development, basic social services, good governance, environmental sustainability, and conflict prevention and peace-building. These areas were consistent with country needs, the comparative advantage and capabilities of the UN system, and making progress toward the MDGs. For measurable progress, expected outcomes and outputs were defined for each area for the year 2009. The UNDP programme (explained in more detail in section 2.2.2) was based on and is consistent with the overall framework.

UNCT activities for preparing the CCA and UNDAF were institutionalized in a series of thematic groups. These have sustained a focus on specific issues during UNDAF implementation.

From 2007, UNDP has played a critical role in bringing civil society into UNCT activities through a civil society advisory committee.

2.2.2 UNDP STRATEGIES AND PROGRAMME FINANCING

Programme frameworks

UNDP support during the ADR period, 2002 to 2008, was outlined in the second country cooperation framework (CCF2) 2002-2004 and the country programme document (CPD) 2005-2009. These documents were guided by national development priorities, as stated in the MTPDPs 2001-2004 and 2004-2010, the CCA/UNDAF, and lessons from the preceding CCF1.⁴² CCF2 was designed for three years to harmonize programmes through the CCA process and the formulation of the second UNDAF 2005-2009. It expanded the concept of a programme approach to development results, using a strategic results framework. Poverty alleviation was the core goal of the programme, and governance interventions were the main means for achievement. The four areas of activities were: creating an enabling environment for sustainable human development, empowering the poor, ensuring environmental sustainability, and establishing the foundations for peace and development.

The four practice areas of CCF2 were also incorporated in the CPD for 2005-2009, with some changes in emphasis. They were explicitly described as interrelated. They were re-expressed in the associated country programme action plan (CPAP) as: achieving the MDGs and reducing human poverty (MDG); fostering democratic governance (governance); energy and environment for sustainable development (E&E); and crisis prevention and recovery (CPR) (Table 4).⁴³

⁴¹ UNDP/Government of the Philippines, 'A Common View, a Common Journey, a Common Country Assessment of the Philippines 2004', Manila, 2004.

⁴² UNDP, 'First Country Cooperation Framework for the Philippines (1997-2001)', June 1997; UNDP, 'Second Country Cooperation Framework for the Philippines (2002-2004)', November 2001; UNDP, 'UNDP Country Programme for the Philippines (2005-2009)', 2005.

⁴³ UNDP, 'Country Programme Action Plan Between the Government of the Philippines and the United Nations Development Programme 2005-2009', April 2005.

They were broadly consistent with the UNDAF for 2005-2009 and with UNDP corporate strategy. Gender equality and RBA were stated as crosscutting themes. RBA responded to changes in the corporate strategy of UNDP and to government concerns over reducing poverty, especially for the poorest and vulnerable groups such as indigenous peoples. It provided a focus for activities in the governance practice area but was applicable across all areas. Four of the UNDAF outcomes were taken into the CPAP, together with relevant indicators. These expected outcomes are referred to for each practice area in Chapter 3. The four practice areas differ in terms of the number and scale of expected outputs. The CPAP results and resources matrix identifies outputs with corresponding outcomes. It has been used as the basic reference point for evaluating results in the CCF2 and CPAP periods.

Programme management arrangements

The UNDP programme operates through national execution (NEX) or what is now known as the national implementation modality (NIM). The coordinating government agency for the UNDP programme is the National Economic and Development Authority (NEDA). Key decisions about the programme are taken jointly in the

Country Programme Board, which combines senior management of both agencies, ensures linkage to the UNDAF and the activities of other entities, and reviews and approves the CPAP. The programme structure is very formulated around the practice areas. Other key components of the programme structure are: an outcome board, which reviews annual progress reports and makes recommendations for preparing annual work plans (AWPs); project executive groups, including implementing partners for each practice area; and responsible partners for specific projects and activities. Presently, there are either one or two implementing partners in each practice area. They play the main role in planning, monitoring and reporting for the practice area; preparing the AWPs; proposing adjustments to the programme; and coordinating activities. They are also a conduit for UNDP funds to the responsible partners, who in principle report to the implementing partners. There is wide participation, including CSOs, at all levels of the programme structure, which is supported by programme assurance functions, programme managers for the practice areas, and a results-based monitoring system. The structure is matched in the UNDP country office, particularly with dedicated programme staff for the practice areas.

Table 4. Practice areas for the country programme action plan, 2005-2009	
Practice areas	Portfolio activities
Achieving the MDGs and reducing human poverty (MDG)	<ul style="list-style-type: none">▪ Advocacy, capacity building, monitoring and pro-poor policies▪ MDG-based poverty reduction strategy▪ Microfinance▪ Indigenous peoples▪ Unleashing entrepreneurship▪ Strengthening institutional mechanisms▪ Responding to HIV/AIDS
Fostering democratic governance (governance)	<ul style="list-style-type: none">▪ Justice reforms▪ Public administration reforms▪ Political reforms
Energy and environment for sustainable development (E&E)	<ul style="list-style-type: none">▪ Policy and programme development for environment management and sustainable energy development▪ Capacity development for effective environment and energy management
Crisis prevention and recovery (CPR)	<ul style="list-style-type: none">▪ Policy and programme development▪ Capacity building for peace▪ Empowering communities for peace

Cost-sharing donor/ contributor	Approved budget between 2004-2008 to date (Sept) by donor (US\$, thousands)	Main practice areas of support
1 Global Environment Facility	23,378	E&E
2 Government of Australia	16,867	Peace/CPR and E&E
3 European Union	14,024	Peace/CPR and E&E (Small Grants Programme)
4 Government of the Philippines	3,500	E&E
5 Government of New Zealand	3,330	Peace/CPR and Poverty/MDG

Source: Executive Snap Shot V4.6.

Trends in planned regular (core) and in non-core resources

The UNDP programme at the country level is financed through core or regular resources, allocated by UNDP Headquarters and non-core resources through resource mobilization by country offices. Planned core resources dropped significantly from US\$ 24.7 million (CCF1) to US\$ 5.5 million (CCF2) and a similarly low level of core resources in the CPAP period (US\$ 6.2 million).⁴⁵ The consequence has been a higher proportion and level of non-core resources in the programme.

Between 2004 and September 2008, the Global Environment Facility (GEF), Government of Australia and the European Union were by far the biggest contributors of non-core resources to UNDP (Table 5). In addition, UNDP had cost-sharing agreements with the Government of the Philippines to support projects in the E&E portfolio. In terms of resource mobilization, the Philippine Country Office had an impressive upward trend between 2004 and 2006, consistently exceeding the annual target set by the office. However in 2007, the country office was

able to meet only 27 percent of its annual target, representing less than a quarter of what was mobilized in the previous year.

Resource distribution and delivery

Total programme expenditures also declined in 2007. A country office listing of projects across practice areas and project expenditures from 2004 to 2007 showed there were 103 projects for the programme as a whole: 14 of those projects had less than US\$ 30,000 total budgeted expenditure; and 17 had more than US\$ 1 million.⁴⁶ The number and scale of projects is not distributed evenly over the practice areas. The MDG and governance practice areas have a significant proportion of the number of projects (44 percent) but a much smaller proportion of total expenditure (12 percent) (Figures 1 and 2). The E&E practice area accounts for 47 percent of all listed projects, including 11 with a budget greater than US\$ 1 million, and for 60 percent of total programme expenditures. The CPR practice area has the smallest number of projects but accounts for more than one quarter of the total expenditures. Data on programme expenditures during the CPAP period illustrates the continued

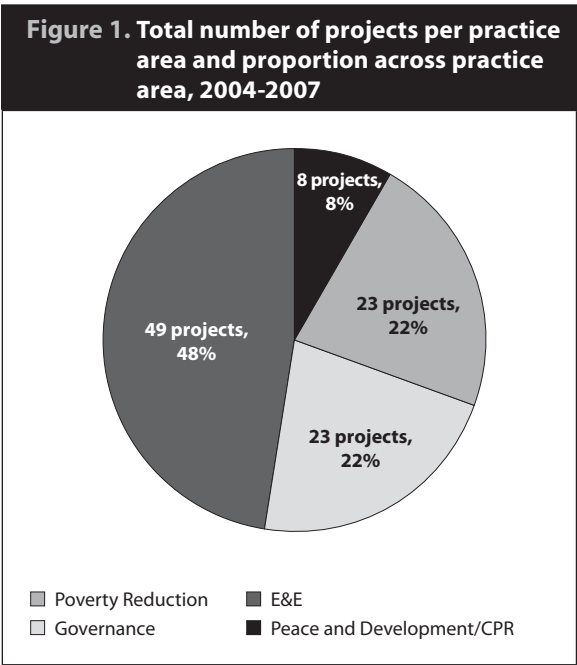
⁴⁴ Table provided by UNDP Philippine Country Office, May 2008.

⁴⁵ UNDP corporately had a shortage of programme resources and experienced a decline in core resource allocation between 2001 and 2003 in most of its programme countries.

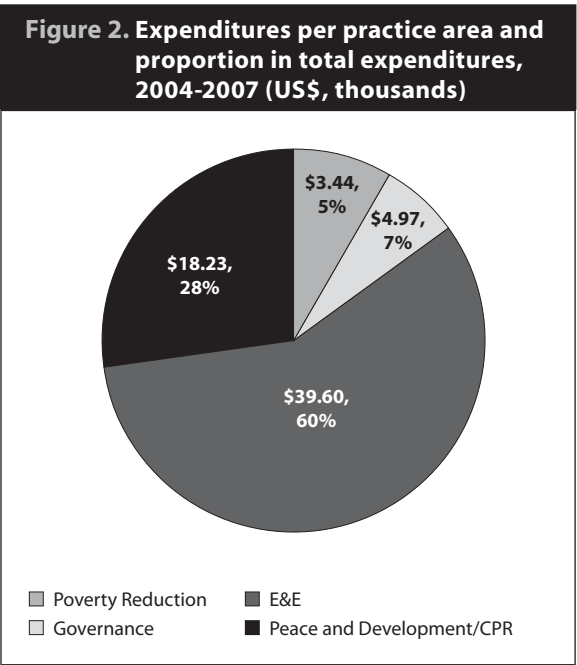
⁴⁶ The listing of projects includes some started in the CCF1 and CCF2 periods—some of which are completed in the period of the data—as well as continuing projects started in the CPAP period.

predominance of non-core resources.⁴⁷ Delivery from both core and non-core resources experienced a steady upward trend until 2007 when there was a small decline from core resources and a significant decline from non-core resources,

most apparent in the practice areas of governance and E&E (see Figures 1 and 2 and Annex 5). However, the MDG practice area still managed to increase its expenditure in 2007.

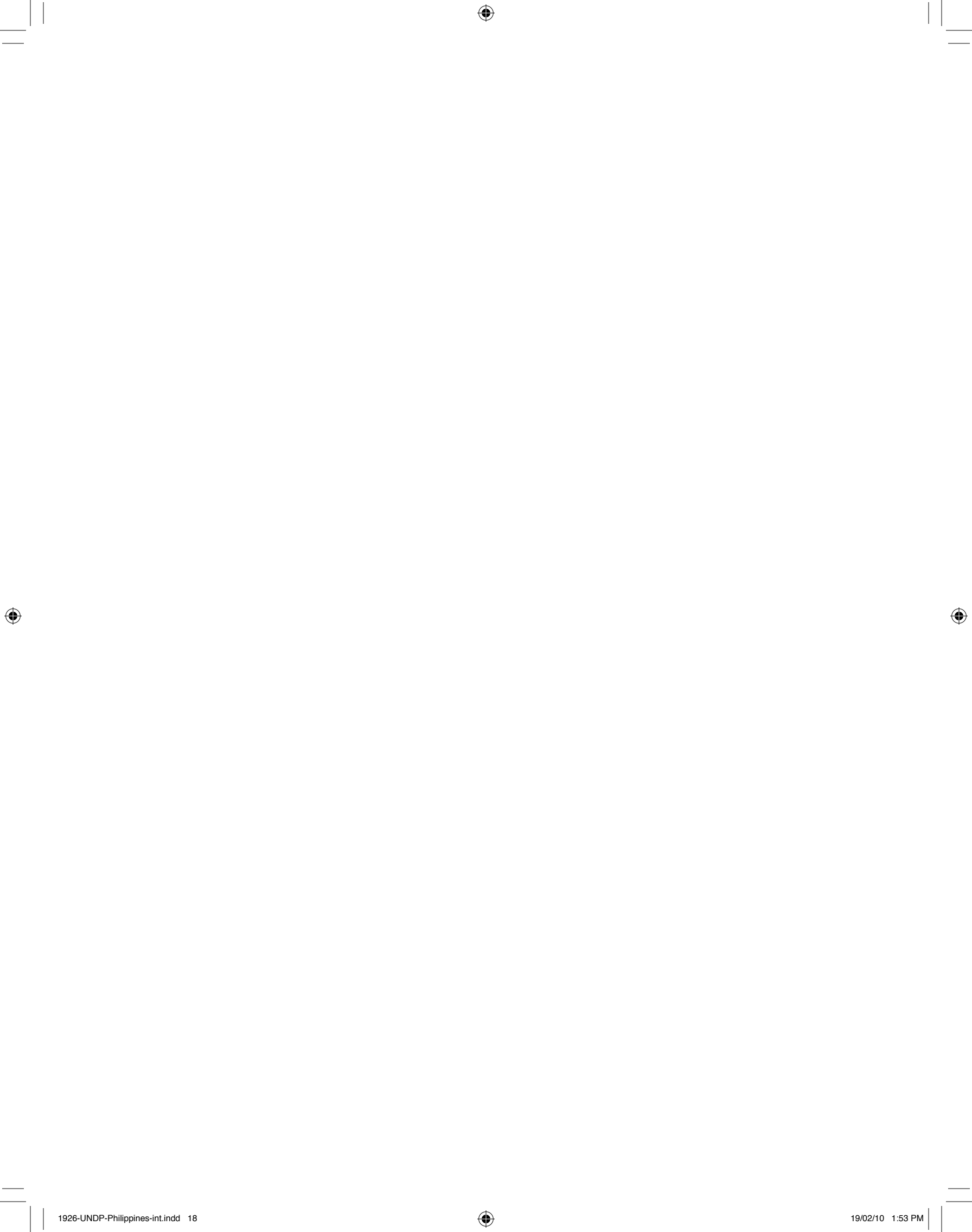


Source: Project list incurring expenses between 2004 and 2007, provided by the country office, August 2008.



Source: Executive Snapshot v 4.5 as of August 2008.

⁴⁷ Atlas, an on-line financial management system, was introduced in 2003-2004, marking the end of the previous financial management system. This made it difficult for the evaluation team to obtain financial data prior to 2004. Therefore, as in other recent ADRs, this ADR focuses on actual expenditures or delivery from 2004 to date.



CHAPTER 3

DEVELOPMENT RESULTS

This section assesses the development results achieved during the 2002 to 2008 evaluation period for each of the four practice areas. The points of reference for this assessment are the expected outcomes from the CPAP results and resources framework, the effectiveness and sustainability criteria used to assess results, and the relevance of the UNDP programme.

3.1 ACHIEVING THE MDGS AND REDUCING HUMAN POVERTY

The Government of the Philippines has adopted the MDGs as a key component of its development strategy. UNDP has a special interest in progress toward the MDGs and a mandate for monitoring progress globally. MDG achievement requires several interventions, at the subnational, national, and global level, including some that are targeted toward MDG achievement and others that create the context within which achievement will take place. During the evaluation period, the MDG practice area supported several types of intervention for incorporating the MDGs in planning and budget systems, and for enhancing access to markets by the poor, particularly for land tenure and finance. Given the uneven attainment across MDGs, the MDG practice area should provide information and approaches for all practice areas. There were approximately 20 projects in the practice area during the evaluation period, some with multiple objectives and outputs. Financial resources for the practice area have been limited, thus a considerable focus has been placed on advocacy activities.

The expected outcome for the MDG practice area is:

“By 2009, the policy and planning framework in the country more extensively incorporates effective, people-centred approaches to development planning, budgeting and monitoring, with a special focus on women, children and vulnerable groups.”

This expected outcome responded to the recognized difficulty of ensuring inclusive development where poverty incidence and inequality remains high, but faster growth is necessary. It also reflects the several new dimensions included in the MTPDP 2004-2010, including concerns for vulnerable groups and agribusiness development. Following the government’s adoption of the MDGs, the activities pursued have been relevant to government priorities and country needs.

There are four expected outputs to achieve this outcome that fall into two types. The first and second expected outputs relate to planning and budgeting to enhance capacities for pro-poor policies using updated poverty data and integrate MDGs into localized poverty mapping and monitoring systems. The third and fourth expected outputs relate to enhancing access to markets and finance for small enterprises, and improving the capacities of poor and vulnerable groups to manage resources.

3.1.1 CHANGES

A change took place in the programme focus in the CPAP period. Activities focused on the last two outputs (such as microfinance, small and medium enterprises, the informal sector, and assistance to agrarian reform beneficiaries) were being brought to a close while greater emphasis was being placed on outputs relating to the incorporation of the MDGs and people-centred approaches in planning and budgeting (outputs

one and two).⁴⁸ Seven of 11 projects for the last two outputs were in the CCF2 period. Seven of eight projects for the first two outputs were in the CPAP period. There were also four projects for combating HIV/AIDS, a special theme under the MDG practice area.

The change in emphasis in the programme was accompanied by two other changes. First, there was a change in the implementing partner from the National Anti-Poverty Commission (NAPC) to NEDA Social Development and Reform staff, which has the main responsibility for ensuring the inclusion of the MDGs in planning, budgeting and monitoring. Second, there was some change in participation due to the increased emphasis on planning and budgeting matters. This reduced the involvement of some basic sectors of the society, which are important to representation of the poor.⁴⁹

3.1.2 PRO-POOR POLICIES AND MDG PLANNING AND BUDGETING

Several programme activities sought to enhance poverty data and capacities for decision making at the national and local level. These relate to the advocacy and MDG-based poverty reduction themes in Table 4. They included reporting and advocacy on MDG and human development achievements, improvements in statistical outputs, and application of the MDGs at the LGU level.

UNDP assistance for reporting and advocacy around MDG achievements is reflected in the

most recent report of MDG achievements, mid-term from 2000 to 2015. It clearly identifies those targets that are lagging. MDG reports have been a principle means of keeping the MDGs in view for decision makers and the public.⁵⁰ MDG advocacy has included formulation of an alternative budget by a consortium of approximately 50 NGOs.⁵¹ At a broader level, a publication on macroeconomic stability and pro-poor growth, including a framework for an action plan on equality and pro-poor growth, was developed and published as a tool for NAPC. It included discussion of the rate at which the government should seek its balanced budget objective.⁵² At a larger level, MDG advocacy involved the concept of debt conversion for MDGs. UNDP supported a Philippine study that was the basis for advocacy at the Association of South-East Asian Nations Summit in January 2007.⁵³ Any proposal has to address issues raised by the Paris Club of creditor nations. Further substantial advocacy work is required if a proposal is to be carried forward.

Focus on the MDGs has been maintained also through the Philippine Development Forum MDG Technical Working Group, which is co-chaired by UNDP. This included discussion about what type and proportion of budget expenditures were actually pro-poor, which supported an increase in agricultural productivity, and the need to assess vulnerability and risks for defining social protection measures.

A key advocacy tool supported by UNDP, the Philippine Human Development Report (HDR), has been influential in informing

⁴⁸ The title of the practice area was also changed from 'empowerment of the poor' to 'achieving the MDGs'.

⁴⁹ Fourteen basic sectors are represented in the NAPC: farmers and landless rural workers, fisherfolk, urban poor, indigenous peoples, formal and migrant labour, informal workers, women, youth and students, persons with disabilities, disaster victims, senior citizens, NGOs, children and cooperatives.

⁵⁰ NEDA 2003, 2005 and 2007.

⁵¹ There is also an alternative MDG report. 'Social Watch Philippines, for Alternative Budget Initiative', 'Alternative Budget 2007', Manila, 2006, and 'Alternative Budget 2008', Manila, 2007; 'Missing Targets: An Alternative MDG Mid-term Report', Manila, 2007.

⁵² NAPC, 'Macroeconomic Stability and Pro-Poor Growth: The Role of the National Anti-Poverty Commission', Manila, 2007.

⁵³ Philippine Institute of Development Studies, 'Towards Financing the Millennium Development Goals of the Philippines', Manila, 2006. The former Speaker of the House also wrote to the Secretary-General of the United Nations on this issue.

national debates on poverty reduction and human development. The sixth report is in preparation. The Philippine HDR is based on the underlying principles that: the process is as important as the report, it should be nationally owned, it should rely on independent analysis, and it should include advocacy for users. It has been produced every three years since 1994 by the Human Development Network, an independent HDR network. Different themes in the past have included human development and people's participation in governance, gender, labour and human security. The status of the Philippine HDR is evident in the launching of the 2005 report, which attracted several hundred people including the highest levels of government. The reports, based on studies undertaken by well-known academics and practitioners, have helped change mindsets of policy makers about sustainable human development and other key issues. There is widespread reference among partners to concepts in the reports. The Human Security Index project credits the last report for providing concrete indicators for measuring the costs and causes of armed conflict.⁵⁴

There have been several results for planning, budgeting and monitoring using poverty data associated with UNDP advocacy and reporting activities. Recently, the Department of Budget Management, as part of its reform toward output budgeting, has amended its guidelines and procedures to give greater prioritization to the MDGs. The alternative budget facilitated a novel process whereby several NGOs and people's organizations were able to present comments on the government's General Appropriations Bill. These interventions resulted in several budget reallocations, especially with reference to health, education, agriculture and the environment, in favour of the MDGs. A Special Committee on the MDGs has been established in the House

of Representatives. It has met in joint sessions with other new committees relevant to the MDG development agenda.⁵⁵ In 2007, the Social Development Committee of NEDA adopted formal definitions of social protection and the informal sector.

UNDP assistance for the development of statistical systems at the national level is channeled through the NSCB, which formulates and implements statistical policies, relying on data collection by the National Statistics Office and other agencies. Over the years, assistance to NSCB has included developing a regional statistical system; environmental accounting; poverty modeling for policy purposes, including for some basic sectors; developing a gender development index; and MDG collation and advocacy. In most cases, NSCB assistance is incorporated into its budget process, is likely to be sustainable, and is likely to be in continued demand. The NSCB poverty estimates at the provincial level are used for analysis of poverty trends (poverty incidence increased between 2003 and 2006), and for a broad targeting of poorer areas. The Department of Social Welfare and Development is presently using the estimates as a proxy means to test for a conditional cash transfer system, a key social protection mechanism. Ongoing work on a gender development index is intended to act as an empowering measure for women and officials at the LGU and national level. There is considerable demand for such a tool, and its use is likely to be substantial.

NAPC has promoted an MDG-oriented Community-based Monitoring System (CBMS), which involves data collection at the household level and poverty mapping at the municipal level⁵⁶, using 14 poverty indicators closely related to MDG indicators. It is implemented under the guidance of the CBMS Network. CBMS

⁵⁴ UNDP, 'Developing a Human Security Index for the Philippines: An Introduction', Manila, 2008. The Philippine HDR for 2005 received a UN runners-up award for process and product.

⁵⁵ The Committees for Poverty Alleviation, Rural Development, and People's Participation.

⁵⁶ CBMS is part of a wider project on poverty and economic policy, which has global reach, funded from Canadian sources. A worldwide network of approximately 16 countries using a CBMS methodology meets every 18 months.

household surveys have been undertaken in municipalities in 52 provinces, with complete coverage in 25 provinces, including 506 municipalities, 41 cities and 13,248 *barangays*.⁵⁷ Data is gender disaggregated. UNDP resources were used to expand CBMS to five additional provinces for training and for a national data depository. Data collection and analysis needs to be followed up by funding of priority activities identified through the CBMS process. From 2005, there was a complementary CBMS-UNDP Development Grant Programme that provided 25 grants of up to Pesos 200,000 on a competitive basis, on proposals that demonstrated ‘evidence-based decision making’.⁵⁸

Results of the CBMS activities are considerable and likely to be sustained. An NAPC En Banc Resolution in March 2003 directed LGUs to adopt 13 (amended to 14) indicators for poverty analysis and planning at the local level. An NSCB Resolution in 2005 recognized and enjoined support to the CBMS at the local level. The MDGs, and the local indicators, are easy to understand by individuals, households and LGUs, and provide a common language for discussing poverty-reduction activities and priorities. They have been helpful for targeting assistance, by local politicians, planners or beneficiaries, and have assisted in changes in municipal budget allocations. Municipalities have found the process useful and are likely to pay for repeat surveys themselves. However funding the projects stemming from the survey process and up scaling by extending coverage to other provinces, municipalities and beneficiaries has been difficult. Scaling-up the CBMS process and resulting projects through government

mechanisms is currently being considered. An additional means is for LGUs to approach other donors to buy into the CBMS process.

3.1.3 ENTERPRISE DEVELOPMENT AND MANAGING RESOURCES

UNDP had several activities to support enterprise development and resource management, responding to the microfinance, entrepreneurship and indigenous people themes in Table 4. These were relevant to the development of small enterprises and agribusiness as a means of reducing poverty for the rural poor and vulnerable groups.

The majority of poor families in poorer regions do not have access to credit and microfinance services.⁵⁹ The UNDP-assisted Microfinance Sector Strengthening Project, with initial funding from the Australian Agency for International Development (AUSAID), supported a capacity development programme for three microfinance institutions. The project was very successful in helping develop microfinance services on a sustainable basis and is a good example of a catalytic activity taken over by local funding. Several other agencies, including the ADB, provide funding and support for institutional change in microfinance (see Box 1).

Recent evidence suggests a positive impact of the Comprehensive Agrarian Reform Programme (CARP) on reducing poverty. Agrarian reform communities fare better than non-agrarian reform communities.⁶⁰ UNDP supported implementation of the CARP through the Department of Agrarian Reform.⁶¹ When the Empowering the Agrarian Reform Beneficiaries through

⁵⁷ Data as of 19 August 2008.

⁵⁸ Project Completion Report, ‘Monitoring the Impacts of the *Barangay*-Based Poverty Reduction Projects Funded Under the CBMS-UNDP Development Grant Programme’, CBMS Network Coordinating Team, Manila, 2008. The grants were primarily for safe drinking water, livelihood and food security, and sanitation projects.

⁵⁹ UNDP, ‘Outcome Evaluation: Achieving the MDGs and Reducing Human Poverty Programme, United Nations Development Programme’, Final Draft, Manila, August, 2008, pp. 20-21.

⁶⁰ Basilican, A, ‘Agrarian Reform and Poverty Reduction in the Philippines, A Paper for Policy Dialogue on Agrarian Form Issues in Rural Development and Poverty Alleviation’, Manila, 2007.

⁶¹ The Support to Asset Reform Through the CARP and Development of Indigenous Communities (SARDIC) and Empowering the Agrarian Reform Beneficiaries Through Tenurial Security projects.

Box 1. Microfinance in the Philippines

The Microfinance Sector Strengthening Project adopted the Association for Social Advancement technology, a method for microfinancing services developed in Bangladesh. The three microfinance institutions involved grew their client base by 134 percent in 18 months, resulting in 250,000 microfinance clients—one quarter of the national target of one million. The Microfinance Sector Strengthening Project was judged to be the best performing UNDP-assisted programme in 66 countries in a survey by the Consultative Group to Assist the Poor through financial services, a consortium of 28 private and public agencies.

Tenurial Security Project was formulated, 1.3 million landless farmers and tenants were still in line for landownership awards. The project trained a number of stakeholders to be mediators or trainers of mediators, providing them with paralegal expertise for dispute resolution approaches. Results for these activities were mixed. A project impact study showed that household incomes of Support to Asset Reform through the CARP and Development of Indigenous Communities (SARDIC) beneficiaries across six provinces were twice the level of non-SARDIC Agrarian Reform Beneficiaries, and some land dispute cases were resolved with shortened times. However, both projects lacked significant developments at the policy level and were not replicable.

The main focus of UNDP assistance to vulnerable groups within this practice area has been indigenous peoples. Indigenous peoples' areas are often subject to competing mining and forestry claims or are in areas of conflict. Through a number of projects, UNDP has

assisted the NCIP in empowering indigenous peoples, including rights to ownership and management of ancestral domains, self-governance, social justice and cultural integrity. The primary project was the first foreign-assisted project for NCIP (with substantial funding from the New Zealand Agency for International Development) and had two phases focusing on titling and registering Certificates of Ancestral Domain Titles, and preparing Ancestral Domain Sustainable Development and Protection Plans (ADSDPP).⁶² The first focused on three pilot areas. The ongoing second phase is targeting 13 ADSDPPs. There have been several complementary components for preparing guidelines; training on leadership, community organization, gender sensitivity and project development for indigenous people leaders; and strengthening the NCIP.

The NCIP does not have a monopoly on providing assistance for titles and plans. By mid 2008, 29 ancestral domain titles had been issued, five ADSDPPs were under implementation, and 18 were being formulated. There were delays in indigenous people activities when the NCIP was being reconstituted and in the second phase to confirm alternative implementation arrangements involving the Department of Agrarian Reform.⁶³ NCIP systems and procedures have been improved but have not yet attracted contributions to an Indigenous Peoples Development Fund. Initial progress was rather slow. Although assessed as highly relevant and overall satisfactory, the project delivery rate under phase 1 (which ended in 2005) was only 58 percent.⁶⁴ However, despite budget limitations, NCIP capacity has been enhanced by the UNDP project activities. The effects should be apparent in the remainder of the CPAP period and under Phase 2. Moreover, LGUs have an

⁶² The Empowerment of Indigenous Peoples for Governance and Sustainable Development of Ancestral Domains and the Integrated Programme—Empowerment of Indigenous Peoples for Sustainable Development of Ancestral Domains.

⁶³ The arrangement with the Department of Agrarian Reform as responsible partner and the NCIP as implementing agency for phase 2 evolved because of a pending audit issue on phase 1 at the time.

⁶⁴ NCIP, 'Empowerment of the Indigenous Peoples for Governance and Sustainable Development of Ancestral Domains', Draft Terminal Report, August 2008, Part III, Project Summary Table.

obligation to incorporate most or some of the ADSDPP into its local plan and budget.⁶⁵

3.1.4 HIV/AIDS

UNDP support in this area has been limited. National policy on HIV/AIDS is implemented through LGUs where funding is limited, there are many mandates and priorities can change. Four UNDP-assisted activities have supported the 2005-2010 Mid-term Strategy of the Philippine National AIDS Council to strengthen local initiatives. The strategy includes creating local AIDS councils, building trust within communities for people living with HIV/AIDS, and strengthening the capacities of organizations supporting people living with HIV/AIDS. A recent project, through UNAIDS and the Philippine National AIDS Council, focused on 42 high-risk cities and sought to mobilize champions from business, politics, media, and church backgrounds and to make materials and manuals more accessible to Filipinos.⁶⁶ Sustainability of supported activities requires continued local champions and review of the central and local budgets for social protection activities. While the national prevalence rate remains less than the target of 1 percent, given the limited LGU coverage and uncertainties of measurement, it is not clear what contribution UNDP has made. A recent joint UN programme activity has shifted the focus to labour migration from and to the Philippines, where information on prevalence is more certain.⁶⁷

3.1.5 GENDER AND RBA

One early project undertook targeted advocacy and support activities in four pilot areas for

women entrepreneurs.⁶⁸ The results were limited: it provided support services to fewer women entrepreneurs than were targeted; the project methods were more helpful to those already in business rather than the poorest aspiring women entrepreneurs; and one component failed because the multi-sector organization used for partnering split up. Other gender-specific activities included initiation of the harmonized gender and development guidelines, and development of a gender and development index, which is ongoing. Data gathering and collation has become increasingly gender disaggregated, although the data is not always used. In working with indigenous peoples, gender issues were seen as particularly problematic, given the different authority structures and perceptions. With respect to RBA, international conventions and the Indigenous Peoples Rights Act are based explicitly on consolidating the rights of indigenous peoples to ownership and management of resources, social justice, cultural integrity, and self-governance. Activities related to HIV/AIDS have acknowledged that prevention strategies are enhanced when the rights of affected persons are addressed.

3.1.6 SUSTAINABILITY

Sustainability has been assessed from mechanisms built into project design, interview responses and desk reviews. It is more assured for activities related to planning and budgeting systems than for those for enterprise development and stakeholder capacities. A key element is budgetary resources at both national and local levels. Most of the changes in statistical systems relating to MDG monitoring and achievement, including at the local level, have been accepted and will

⁶⁵ At the time of the ADR mission, the location in government for NCIP needed resolution. It was attached to the Office of the President. It has been variously attached to the Department of Agrarian Reform and to the Department of Environment and Natural Resources, which is responsible for land titling and mining licenses.

⁶⁶ UNDP, 'Leadership for Change in Response to AIDS in the Philippines', Manila, 2005. The Philippine National AIDS Council is chaired by the Department of Health. Its representatives come from line ministries, Congress and Senate, and NGOs.

⁶⁷ Although there is no mandatory national testing, some countries of employment require it.

⁶⁸ Technical Education and Skills Development Authority, 'Programme for the Advancement of Filipino Women Through Strategic Support Mechanisms for Economic Empowerment', Manila, 2004.

continue to be demanded in the future. UNDP assistance to advocacy around the MDGs and the Philippine HDR has led to changes that are likely to be sustained, including attention from Congress to the MDGs and budget allocations. Some activities, such as microfinance support, are sustainable through non-project means. Definitions of social protection and the informal sector have been formally accepted. Other completed activities, for asset reform and tenurial systems, had a short life. HIV/AIDS prevention may require continued UNDP assistance in a low key manner.

3.1.7 CONCLUSIONS

In the CCF2 and CPAP periods, substantial progress has been made toward a policy and planning framework incorporating effective people-centred approaches. The focus on MDGs has helped considerably in this regard. They are easy to understand down to the *barangay* and household level, with clear indicators for monitoring progress. MDGs have been introduced into national budgeting and especially LGU planning and budgeting. Notable UNDP contributions to advocacy and poverty analysis have been described by partners as ‘pushing at an open door’. The link to small enterprises and agrarian reform beneficiaries has been reduced in the CPAP period. Some progress was made in the earlier years through the micro-finance project in particular. Reflecting the special focus of the expected outcome on women and vulnerable groups, data has become much more gender disaggregated, and planning and budgeting more gender-sensitive. However, the focus on vulnerable groups revolves primarily around empowering indigenous peoples and has progressed slowly. The location of NCIP within the government structure needs resolution. Application of the MDGs at the local level needs to be replicated across all LGUs. The practice area has seen buy in from LGUs for some activities but not much additional financing from other external agencies.

3.2 FOSTERING DEMOCRATIC GOVERNANCE

The fostering democratic governance (governance) practice area is the smallest in terms of budget despite its centrality to the UNDP mandate. The CCF2 reflected the recommendation of the mid-term review of the CCF1 “that poverty alleviation be the core business of UNDP and that governance interventions be the major means of achieving this focus.” Good, inclusive governance at all levels is recognized as essential for poverty reduction. This is reflected in the UNDAF outcome objective: “by 2009, good governance reforms and practices are institutionalized by government, LGUs, CSOs and the private sector at all levels towards poverty reduction, protection of rights and sustainable human development.” To this end, the CPAP developed three expected outcomes for the 2005-2009 programme:

- Justice and human rights—more accountable rule-based institutions to enhance access of the poor to justice and human security
- Public administration—more responsive national, subnational and local institutions providing efficient social services delivery
- Political development—political, electoral and legislative reforms instituted to democratize and increase participation, especially of the poor

With some modifications, there was continuity from the preceding CCF2 governance programme, which had as the outcome objectives: sound, transparent, responsive, effective and efficient management of economic and financial resources, administration of public personnel, and the enforcement and adjudication of laws; active, organized and responsible civil society and private sector engagement with the government and exercising of the citizenship role to promote good governance; and strengthened capacity of institutions to promote and protect the right to development.

One of the most notable changes between CCF2 and CPAP was the consolidation of a large number of implementing partners into one, the University of the Philippines National College of Public Administration and Governance⁶⁹, which managed the portfolio with the participation

of many responsible partners (Table 6). To manage this large number and to find synergy, share lessons, and develop greater focus of the programme, cluster groups around the three outcomes were established.

Table 6. Summary of partners for governance practice area, 2002-2007			
Cluster	Duty bearers	Civil society	Academia
2002-2004			
	Commission on Elections Committee, Congressional Planning and Budget Office, Senate Economic Planning Office, Supreme Court, Philippine National Police, Commission on Human Rights, Bureau of Jail Management and Penology, Department of Budget and Management, National Economics and Development Agency, Office of the Ombudsman, Civil Service Commission, Department of Interior and Local Government, Task Force on Participatory Local Governance	Institute for Political and Electoral Reform, Center for Community Journalism and Development, Integrated Bar of the Philippines, Concerned Citizens of Abra for Good Governance, Transparency and Accountability Network, G-Watch, Ateneo School of Government, Galing Pook Foundation, Fair Trade Alliance, Employers' Federation of the Philippines	Philippine Political Science Association, National College of Public Administration and Governance, Third World Studies Center
TOTAL	14	9	3
2005-2007			
Justice reform and human rights	Supreme Court, Philippine National Police, Commission on Human Rights, Bureau of Jail Management and Penology, Bureau of Corrections	Centre for Community Journalism and Development; Integrated Bar of the Philippines; Alternative Law Groups; Women and Gender Institute; Economic, Social and Cultural Rights-Asia; CFA	
Political and electoral reforms	Commission on Elections, Congressional Planning and Budget Office, Senate Economic Planning Office	Institute for Political and Electoral Reform, Commission on Electoral Reforms	
Public administration reforms	Department of Budget and Management, NEDA, Office of the Ombudsman, Development Academy of the Philippines, Civil Service Commission, Department of Interior and Local Government, League of Municipalities of the Philippines, Task Force on Participatory Local Governance, UN-HABITAT	Social Weather Stations, Transparency and Accountability Network, Fellowship of Christians in Government, G-Watch, Galing Pook Foundation, Fair Trade Alliance, Employers' Federation of the Philippines	National College of Public Administration and Governance Association of Schools of Public Administration, Third World Studies Center
TOTAL	17	15	3

Source: Draft Outcome Evaluation, August 2008.

⁶⁹ It was originally planned to have two implementing partners, including the CHRP, which would continue with the RBA. Instead, it became a project responsible partner at that time.

The programme took a significantly different direction with the decision in early 2007 to focus on human rights and to change the implementing partner to the CHRP. The CPAP results framework has yet to be rewritten to reflect the new expected outcomes: strengthened capacities of the CHRP to effectively oversee progress and support national institutions and local governments to meet their treaty obligations; strengthened capacity of the Presidential Human Rights Committee, civil servants and selected agencies of government to respect, protect and fulfill human rights through implementation of the National Action Plan on Human Rights and a human RBA in development planning processes; and disadvantaged women empowered to demand, exercise and enjoy their human rights.

3.2.1 DEVELOPMENT RESULTS⁷⁰

This ADR covers CCF2 and CPAP up to early 2008, although effectively to mid 2007. The evaluation period as a whole covers three years under CCF2, effectively 2.5 years with NCPAG as the implementing partner, and a further year under CHRP. These years involved considerable changes to programme objectives, implementing partners and responsible partners, making it difficult to assess outcomes. The evaluation team was unable to address results beyond 2007 because implementation of the altered programme was seriously delayed. The AWP for 2007 was approved in December of 2007, and the 2008 AWP was approved in late August of 2008.

CCF2 introduced six progressive stages of development: baseline, benchmarks, blueprints, building capacity, broad constituency and best practices. To date, most projects have undertaken baseline studies and diagnostics, many have established benchmarks, and many were in the

stage of establishing the agenda (the blueprint). While some blueprints are in highly specific and limited areas, a number are in very strategic areas with broad repercussions, such as justice reform, electoral reform and anti-corruption. In a number of cases, there are models or pilots for establishing good practices, and the broad networks of government and non-government partners grouped in thematic clusters contribute to the development of broad constituencies. The six levels are particularly useful in assessing progress towards expected outcomes.

3.2.2 JUSTICE AND HUMAN RIGHTS

This area incorporated 11 projects and 10 responsible partners (6 government and 4 CSO) under the CPAP and was built on solid accomplishments of the CCF2 period. The expected outcomes of the judicial reform programme of the CCF2 were: strengthened capacity of government institutions that are transparent, ethical, gender responsive and efficient in policy formulation, enforcement and adjudication, economic and fiscal management, service delivery and civil service administration; and strengthened capacity of organized, responsible, accountable and transparent civil society organizations to effectively engage with government and actively exercise their rights and citizenship role to promote good governance.⁷¹ These are broad and imprecise as outcomes and are only somewhat simplified by the CPAP outcome cited above. However, among the contributions to these outcomes was a thorough review of the community pillar and five pillars of the justice system: courts, prosecution, enforcement, corrections and rehabilitation. This was an important achievement, because it looked at all five pillars as an inter-related system for the first time and established the basis for future justice reforms. A medium-term development plan for the Criminal Justice System is being developed,

⁷⁰ Given that there are approximately 35 partners and projects in the CPAP alone, and many, but not the same, in the CCF2, this section highlights results for the practice area as a whole.

⁷¹ 'Programme Assessment: Judicial Reform', March 2005, p. 21.

and the current MTPDP endorses the holistic approach to justice reforms, which has attracted the support of major donors, such as the ADB.

Achievements of the CCF2 period are stated almost entirely in terms of baseline studies, research, institutional analysis, identification of needed reforms and the blueprint for reform—in short, all preparatory work for major reforms. In addition, achievements reported are mainly related to government reform rather than support to civil society.⁷² The CPAP stage put more emphasis on civil society, particularly strengthening media organizations, raising awareness of human rights, and increasing the pool of lawyers and paralegals mobilized to protect and promote human rights. A May 2008 review cited a number of achievements including: numbers of paralegal organizations convened to define access to justice problems and reforms, number of government and CSOs participating in measures to democratize access to justice, numbers of detainees released, number of paralegal organizations able to provide support, and other such results. However, it also concludes that “it is difficult to ascertain the effects and impact of these projects on good governance, considering, among others, their size, scope and short term nature.” The report concludes that the projects have contributed to this objective by: instituting greater transparency in government and CSO operations and reforms, enhancing accountability in service delivery, and increasing sensitivity to the demands and concerns of claim-holders.⁷³ Similarly, more qualitative conclusions are reached in the early draft of the outcomes evaluation for the governance sector. The ADR concurs that these are important and realistic achievements and significant contributions to the overall outcome of “more accountable rule-based institutions to enhance access of the poor to justice and human security.”

Related achievements include reforms in the various pillars, such as: the development of model police stations piloted in eight cities, legal assistance to overstaying detainees—especially women—and a manual on how to address the problem, and support to paralegal practice of alternative law groups. These are generally small projects with localized impact that are likely to provide inputs to a larger justice reform programme. All have, in one way or another, contributed directly to improved access to justice. Many of the projects had impact on the poor who are most marginalized from access to justice, although the monitoring process does not highlight results for this sector. Examples include the release of overstaying detainees (mainly poor women and children); the decongestion of jails; the development of pilot reintegration services at three women’s prisons in Quezon, Cebu and Davao; and the legal empowerment of informal sector workers (see Box 2).

Important for its centrality to the UNDP mandate, CHRP carried out a treaty baseline study on human rights commitments for the national action plan, contributed to the development of an RBA at the local government level for the MDGs, and supported the current work of the Presidential Human Rights Committee in developing a National Action Plan for Human Rights. These activities began under CCF2 but did not find much resonance in the first phase of the CPAP project. They have been taken up again as the central focus of the proposal for the governance practice area since 2007.

Other initiatives have demonstrated the important multiplier effects that small, strategic interventions can have. Some pilot projects supported by UNDP have been able to attract other sources of funding to grow, some have benefited from South-South cooperation opportunities, and others have linked effectively with new networks.

⁷² Ibid, pp. 21-25.

⁷³ Villamejor-Mendoza, M, Baylon M, Sobrepena, AG, ‘Fostering Democratic Governance: Lessons Learned, Gains Sustained and the Next Steps Towards Shepherding Reforms’, NCPAG, May 2008, p. 17.

Box 2. Legally empowering informal sector workers

In 2006, Dr. Naresh Singh of the UN High Level Commission for Legal Empowerment of the Poor visited the Philippines to develop policy input for poverty reduction through empowerment of the poor. Within the governance programme and through a highly participatory process, Economic, Social and Cultural Rights-Asia developed four thematic papers resulting in: an initial enhanced framework of legal empowerment, an initial rights-based constituency of government and non-government advocates of empowerment of grass-roots sectors, and a set of case studies representing best practices in each of the areas. This experience was also shared at a conference in Indonesia of Southeast Asian experiences and had the potential for important South-South cooperation.

3.2.3 PUBLIC ADMINISTRATION

This cluster appears to have had the most impact, particularly in the area of anti-corruption, local government and citizen participation. Access to efficient public services is promoted by reducing corruption (which bleeds public coffers) and through efficient, responsive and participatory local government. This area of work has been highly successful at mobilizing broad constituencies to promote and advocate for change. Of particular note are the various successful approaches to government and civil society cooperation, which have been dynamic, democratic, empowering and to the benefit of both.

With the institutional strengthening support of UNDP, the Office of the Ombudsman was able to develop the National Anti-Corruption Plan of Action based on the United Nations Convention Against Corruption and the MTPDP. It incorporates broad strategies such as policy, prosecution, prevention, promotion of integrity, and performance management and calls for partnership among a range of government

entities and NGOs at various levels. The Office of the Ombudsman spearheaded the ratification of the United Nations Convention Against Corruption⁷⁴, with broad advocacy support from the Transparency and Accountability Network, a network of 32 CSOs. Further results supported by UNDP are related initiatives including citizen monitoring of corruption, such as the Concerned Citizens of Abra for Good Governance (which developed tools for citizen monitoring of government spending and built a network of 21 citizen monitoring organizations in the north of Luzon) and G-Watch (which developed a process for monitoring government bidding transactions to track public spending). The cluster work of the project provided a good venue for sharing the various tools developed.

The other key achievement in the area of public administration was the improvement of responsiveness and efficiency of local government, both through enhanced training in public administration, the incorporation of MDGs into municipal planning, and the increase of citizen advocacy. MDG localization projects were undertaken with support of the Democratic Governance Thematic Trust Fund, supplemented by the governance programme core funds.⁷⁵ MDG localization projects are dynamic and successful in developing action plans for economic development and combating poverty at the city level, encouraging citizen participation, advocacy and monitoring, and helping to integrate MDGs incrementally and sustainably into city planning. The project is integrated into UN-HABITAT's 'Local GAINS for the MDG' national strategy (in 29 cities) and is designed to be documented, systematized and replicated. While the MDG localization contributes to governance outcomes, it is closely related to the CBMS activities in the MDG practice area and uses some of the same tools. However, there are no apparent links between the activities, suggesting an unrealized opportunity for synergies.

⁷⁴ Sponsored by the UN Office on Drugs and Crime.

⁷⁵ Boase, R, Grafilo, P, 'Evaluation of the Democratic Governance Thematic Trust Fund in the Philippines', September 2007.

The programme has also carried out a highly successful project with the Association of Schools of Public Administration, ensuring that an RBA is incorporated in the curriculum of institutions across the country that form the new generation of public servants (see Box 3).

Box 3. Incorporating RBA into the curriculum

A ‘town and gown’ collaboration pairs Schools of Public Administration with LGUs. The Association of Schools of Public Administration members have incorporated modules on good governance and RBAs in governance in their curriculum. The network of schools across the country provides a pragmatic opportunity for building an RBA approach to governance from the ground up, using and energizing existing infrastructure.

Political and Electoral Reform—has developed broad citizens groups, including youth organized around voter education and election monitoring, and voter education training modules that have been developed and integrated into the National Service Training Programme curriculum.

Political and electoral reforms are very important in the Philippines, where the political parties are seen as unstable, lacking internal democracy, with dubious finances, and unable to craft, shape and define policies. There is also no specific legislation on the conduct of parties or their finances.⁷⁶ Mechanisms such as the partylist, put in place to improve representativity (particularly of the marginalized), do not work well. This is one of the most politically sensitive parts of the practice area, where UNDP neutrality and expertise are particularly valued. UNDP has missed an important niche opportunity.

3.2.4 POLITICAL DEVELOPMENT

This is the smallest cluster in budget, number of partners, projects (three), and not surprisingly, results. Human and financial resources were inadequate to address the scope of outcomes proposed: “political, electoral and legislative reforms instituted to democratize and increase participation especially of the poor.” Spending on this cluster in 2006 was less than US\$ 100,000.

The most important results achieved were the development of a Medium-term Action Plan for the Philippine Electoral System that still guides the Commission on Elections and computerized voting (piloted in the Autonomous Region in Muslim Mindanao). Automated elections are included in the MTPDP as a top priority in order to “ensure credibility of polls and correct deficiencies in the electoral system.” While the action plan does incorporate many significant political reforms, it remains largely at the blueprint or benchmark stage. An NGO partner—Institute for

3.2.5 GENDER AND RBA

While gender has been on the agenda in UNDP for some time, efforts to integrate gender and an RBA were initiated in the CCF2 phase through the Right to Development Project responding to the third outcome of the governance programme.⁷⁷ This included training UNDP staff and partners in the governance portfolio, with particular attention to the CHRP. The incorporation of an RBA was welcomed by the partners, although a training needs assessment in 2006 rated responsible partners high in enthusiasm and acceptance of the themes but low in application and skills. It recommended coaching and mentoring, as well as integrating the concepts into project guidelines. For some partners, the combination of gender with rights was seen as an effective strategy, while others noted that gender was included “as part of RBA” but that there was no special focus on it. As a result of the process, the projects increasingly reflect a commitment to RBA, although

⁷⁶ Brillantes, Jr., A, Domingo, OZ, et al., ‘Towards a More Accountable, and Responsive Electoral System: An Indicative Assessment of the Philippine Electoral System’, study prepared as part of electoral reform analysis in partnership with the Commission on Elections, 2005, p. 5.

⁷⁷ “Strengthened capacity of institutions to promote and protect the right to development.”

there are still some improvements to be made in monitoring rights impact. Projects reflect the concepts of duty bearers and claim holders, and are increasingly framed in terms of improved access of claim holders to their rights.

Mainstreaming of gender has been most effective in the governance practice area, although results across the programme vary. There are some excellent examples of integrating it, such as the establishment of a commission in the Supreme Court to train judges in gender sensitivity, maintain a gender database, and recognize good practices through an annual award for the most gender constructive judicial decision. A novel approach to mainstreaming gender in governance has been the participation of a responsible partner specializing in gender—Women and Gender Institute—to work with other responsible partners to improve planning and performance in this area. Although an evaluation of these efforts has not yet been undertaken, most partners demonstrate efforts to address more systematically issues important to women.

The new direction of the programme since 2007 has as its third outcome “empower disadvantaged women to demand, exercise and enjoy their human rights.”⁷⁸ In effect, it is proposed to improve access to justice of disadvantaged sectors, especially women, in a continuation of some of the justice cluster activities from the first part of the programme. However, this is the smallest part of the programme, by budget.⁷⁹ The expected outcome is perhaps unrealistic, and its gender impact is likely to be minimal given the inclusion of other vulnerable sectors among the targets and vagueness about how the “human rights of women” are different from other vulnerable groups. As outlined in the programme document, UNDP is unlikely to achieve the third outcome. If it is serious about achieving this rather broad result, it should consider a more holistic, better funded, long-term strategy.

3.2.6 SUSTAINABILITY

The step-by-step plan starting with the baseline and building up to best practices is a sound model for building sustainability over the medium to long term. The programme in itself could not supply the resources to build the process from start to finish in all clusters, but the establishment of a firm foundation (baseline, benchmark, blueprint, pilot projects, and constituencies) helped partners attract other donors with deeper pockets. Justice sector reform and the National Anti-Corruption Plan of Action in particular attracted significant ADB and USAID funds. This is a very complementary relationship: UNDP has the reputation for neutrality and non-partisanship, and access to technical resources on a global scale that make it ideal for bringing partners together to analyse and plan; other donors have the resources to carry out large-scale projects identified in the process.

Participation in the early stages allowed UNDP to contribute to agenda-setting. In addition, the programme contributed training modules, manuals and tools that continue to be used and replicated, and introduced concepts such as RBA, which continue to permeate the work of partners. In some cases, such as the Association of Schools of Public Administration in the Philippines curriculum modules and the voter education module, products were institutionalized in the Schools of Public Administration and the National Service Training Programme.

However, a key issue in the sustainability of results was the abrupt and major shift in the structure of the governance programme. Partners did not feel they had time to adjust to the change and several still feel they are not fully informed of the possibilities for future collaboration. Since the programme operations were partially responsive—that is, responsible partners brought their proposals to the implementing partner for potential funding—the termination at relatively short notice affected the overall programmes of responsible partners, and in some cases, the

⁷⁸ This is the wording in the project document. The 2008 work plan includes “...and other disadvantaged sectors...”

⁷⁹ US\$ 280,000 over two years, according to the programme document.

functioning of the ‘broad constituencies’ that characterized the development of this sector. Some networks are broadly established or have other sources of funding (such as the Association of Schools of Public Administration in the Philippines and the Anti-corruption Network). In others, there is a perception that networks have been weakened by the abrupt ending of funding to the leading organization, for example, participants felt that the momentum for electoral reform has been lost with the changes. Many good but incomplete initiatives developed over the years were dropped, possibly reducing the effectiveness of investments made to date

3.2.7 CONCLUSIONS

The governance programme has made considerable progress in achieving its expected results, especially: reform and accessibility of the justice system; accessibility to and responsiveness of public administration; and, to a lesser extent, increased political participation through voter education and improved voting processes. It was prolific in the development of knowledge products, ranging from citizens’ guides, to monitoring government, to the Philippine Governance Forum (a series of public forums on key governance themes and issues), to a comprehensive manual on an RBA to development. The cluster approach, involving a wide range of participants, proved a good mechanism for disseminating these products. UNDP strengths demonstrated to date include analysis, planning, innovation and constituency building, and according to both government and civil society partners, bringing together useful partnerships in an atmosphere that had been characterized by some lack of trust.

Despite its many achievements, a weakness of the governance portfolio was its attempt to take on too many themes, activities and partners with severely limited resources—approximately US\$ 700,000 annually. The cluster approach was innovative and had the potential of focusing much energy and experience on key issues and in analysis and planning. However, it did not reach its full potential, because it needed more time to coalesce and may have needed clearer direction and additional resources.⁸⁰

In March 2007, a Memorandum Circular re-focused the governance programme on human rights and changed the implementing partner to the CHRP.⁸¹ Of the three programme areas, some elements of access to justice have been maintained, but public administration (anti-corruption) and electoral reform have been dropped. The need to focus the programme was cited as a reason for the programme change, but there were many other possible options for focusing. To many of its partners and outside observers, UNDP appears to have shifted its approach of fostering democratic governance to a more narrow focus on human rights mechanisms, which is what the new implementing partner is best known for.

There are several advantages to the new plan: it simplifies and focuses the governance portfolio; it takes advantage of the publicity and human rights momentum; and, in line with the Paris Declaration, it shifts implementation to a government agency. It also has an articulated gender focus, although it is currently very limited in scope and budget, and could be further developed to create synergies with the UNCT joint gender project on CEDAW.

⁸⁰ Only in the public administration cluster was the potential synergy of the approach apparent, for example in the joint government-civil society efforts to develop the National Anti-corruption Plan of Action and ratify the United Nations Convention Against Corruption.

⁸¹ “Given UNDP’s niche and UN’s normative advantage *vis-à-vis* others, the focus of the governance portfolio would be to strengthen human rights institutions in the Philippines and work with partners in the promotion, protection and fulfillment of human rights and the prevention of human rights abuses, including the enhanced engagement of civil society for building broad constituencies for the advancement of human and gender rights (including addressing the issues of extrajudicial killings for which the Government has sought support from its development partners),” ‘National Execution of the Government of the Philippines-UNDP Country Programme Action Plan 2005-2009’, revision of the 2007 Annual Work Plans, MC No 2 S2007, 7 March 2007.

While there is clearly a need for ongoing attention to ensure the incorporation of international human rights commitments into national legislation and to strengthen the human rights infrastructure, it is not clear why this priority was selected over others. There does not seem to have been an analysis of UNDP's niche, achievements and potential in the area of governance, or a proper exit strategy to ensure sustainability of results prior to this decision.⁸² In addition, while recognizing the importance of government ownership, the highly successful government-NGO constituency building has been reduced to a very small, undefined part. This evaluation concluded that both government and NGO partners would welcome UNDP continuing to support space for working together.

A programme document was signed more than a year after the decision to change the programme was made, and nothing substantially had been implemented by the time of the ADR. The project proposal addresses issues (such as institutional strengthening at the central and *barangay* level, baseline work on human rights treaties, and the provision of advisory services to government projects) already carried out with UNDP assistance, but does not explicitly link new objectives to previously proposed or achieved ones. In past reviews, these have not been identified as achieving outstanding results or a niche for UNDP support.

The shift and delay in implementing the new focus have had repercussions for the governance practice area in general. Chief among these is that the programme effectively ground to a halt. For a number of reasons—including the apparent lack of prior preparation; the abolition of the Project Management Office (PMO) in the implementing partner, which could have

facilitated the transition; and issues internal to the new implementing partner⁸³—the revised programme did not get off the ground in 2007 and was still not fully functioning in the third quarter of 2008 at the time of the ADR. Another negative implication of the shift is the loss of productive partnerships and programmes developed since 2002, as well as some loss of credibility over the way in which the transition was handled. In addition, the participation of civil society has been much reduced in the practice area⁸⁴, where it has proven successful.

A more productive approach to shifting the programme focus might have been a return to the original CPAP of two implementing partners (NCPAG and CHRP), and a corresponding effort to find additional resources for the governance area. While UNDP and the Government of the Philippines are free to reassess programmes, the partnership process developed at least merited an assessment and consultation, and a clear process for phasing out programme components that could not be maintained. UNDP could still re-open a dialogue with the previous implementing and responsible partners to address: achievements, sustainability, possible avenues for collaboration (funding and non-funding), and a more transparent discussion of the UNDP proposal for the development of the governance practice area. Where an abrupt end to financing has put partners' programmes in jeopardy, UNDP should consider bridging funds or dialogue with other funders to ensure sustainability of achievements.

While many of the initiatives in the CPAP governance practice areas were successful, there was a need to make choices due to limited resources. To this end, more resources should go to the third area of the current plan—adopting a

⁸² The ADR found no documents reflecting this and many differing interpretations as to why it was done. An outcome evaluation for the sector was only underway at the same time as the ADR—more than a year after the programme was changed.

⁸³ Including the replacement, in May 2008, of the entire roster of commissioners for a seven-year term.

⁸⁴ The programme document proposes only training of grass-roots women and public forums on human rights, as well as the establishment of a Consortium of CSOs “to serve as a parallel mechanism to the Government of the Philippines’s PHRC [Presidential Human Rights Committee] set up,” with a budget of US\$ 50,000 from a total of US\$ 1 million.

broad, holistic programme for women to realize their rights—rather than the main focus of promoting model police stations. This project should be tied into work UNDP is currently supporting through UNCT with the implementation of CEDAW and expand innovative gender work initiated in the governance sector. For example, while domestic violence is a very important issue for Filipino women, reproductive rights and economic equality are also critical. UNDP is in a unique position among donors and national actors to promote political reform, which is among the critical reforms needed for good governance in the Philippines and for which no other cooperation partner commands the needed neutrality and trust.

3.3 ENERGY AND ENVIRONMENT FOR SUSTAINABLE DEVELOPMENT

Sustainable development requires a combination of policy, capacity and investment interventions. UNDP assistance has been oriented to the development of national and sector policies in E&E and their practical implementation. Project activities have included a combination of policy and capacity development, and specific investments. During the evaluation period, there were approximately 47 projects, nearly 20 started in the CPAP period. The projects principally addressed the themes of conservation and biodiversity, coastal resource management, climate change and energy security, pollutants reduction, and waste management. The E&E practice area is the largest in terms of funding, with some substantial projects. A large part of funding comes from the GEF, which has a global mandate. GEF operates through four agencies in the Philippines, with 17 percent of resources channeled through UNDP.

There are two expected outcomes for the E&E practice area:

- **Sustainable environment and energy policies**, especially with regard to agriculture and industrial development, are in place and phases of implementation specified
- **Key stakeholders are better able to manage environment and natural resources**, develop and use sustainable energy resources, cope with the impacts of environmental emergencies, and maintain sustainable development

These outcomes have many expected outputs.⁸⁵ For the first outcome, the four outputs are: a strengthened legal framework, updated data (including for renewable energy), compliance with multilateral environmental agreements, and investment planning for specific sectors. For the second outcome, the six outputs are: innovative financing, sound technology and management for communities, enhanced capacities of a wide range of stakeholders, mainstreaming of sustainable development tools, databases, and a disaster framework. The programme link from outputs to outcome achievements, and thus to environmental improvements, is difficult to capture.

3.3.1 CHANGES

There were two additions to the portfolio during the CPAP period. Following a government request for assistance after natural disasters in 2004, DRM became a larger component, implemented through the Office of Civil Defense of the National Disaster Coordinating Council. Another new element in the programme has been conflict around mining activities.⁸⁶

⁸⁵ In the most recent programme documents, the two outcomes have been reduced to a single outcome of increased capacity of stakeholders to protect the environment and manage natural resources. The CPAP statement of outcomes, separating policies and stakeholders, is retained for this evaluation over the period 2002 to 2008.

⁸⁶ The Department of Energy is the implementing party for the energy components. The implementing party for all other activities is the Department of Environment and Natural Resources.

3.3.2 SUSTAINABLE ENVIRONMENT AND ENERGY POLICIES

Policy frameworks

UNDP has provided considerable consultancy support for policy development, both within specific projects and from core funds. Seventeen major international environmental treaties and conventions ratified by the Philippines were identified in a recent evaluation of GEF activities in the country.⁸⁷ In 2003, UNDP supported an assessment of national capacity in relation to the UN Framework Convention on Climate Change and the UN Conventions on Biological Diversity and to Combat Diversification. The programme continues to support the country's obligations to provide communications on multi-lateral environment agreements. For example, the first and second communications on climate change provide baseline data on the country's vulnerability and will help develop concrete adaptation measures. Additional support for multilateral environmental agreements has included support for implementation of the Stockholm Convention on persistent organic pollutants and the design of an operational framework, criteria, and procedures for a clean development mechanism process.⁸⁸ However, the Philippines has yet to benefit from external revenues from the carbon offsets under projects related to the clean development mechanism.

There are a large number of diverse agencies involved in implementation of different aspects of environmental policy, regulation and operations. Although NEDA, through the MTPDP, defines the priorities and targets for environmental and natural resource management, and chairs the Philippine Council for Sustainable Development, management of the environment sector is largely in the hands of the Department of Environment and Natural Resources. A

key UNDP contribution in environment and natural resource management came from the SHELL project approved in 2002.⁸⁹ This project facilitated a consultative process, with direct involvement of the Department of Environment and Natural Resources, House and Senate Committees, and other government agencies, to develop a framework that would bring the various elements in environment and natural resources policy and management into a single roadmap for implementation by the Department of Environment and Natural Resources and associated agencies. The project produced various substantial policy outputs and resulted in the Framework Plan for Environment and Natural Resources Management (Environment and Natural Resources Framework) in 2006.

The Environment and Natural Resources Framework was based on a review of trends, legislation and programmes in environment and natural resources, but not energy. It noted the drivers of environmental decline—population growth, high poverty incidence and industrialization—were largely outside the control of the sector. A series of core strategies and related priority actions were identified for environmental management, with poverty reduction as one core strategy, and a priority legislative agenda (six acts). The Framework has already influenced the government's priorities and UNDP programme management for the E&E practice area through its annual progress reports and work plans. A key issue identified in the Framework was growing conflicts around resources. An additional element of the Framework was actions in various sectors for mainstreaming gender and development.

Sector policies

UNDP has taken a lead role in assisting with policy development and implementation at the sector level in the areas of energy, coastal

⁸⁷ GEF, 'GEF Country Portfolio Evaluation: The Philippines (1992-2007)', GEF Evaluation Office, March 2008, ch. 3.

⁸⁸ UNDP/Department of Environment and Natural Resources, 'Formulation of CDM Operational Framework', Final Report, Manila, October 2005. The Clean Development Mechanism includes projects for renewable energy and energy efficiency, waste management, and forestry.

⁸⁹ UNDP, 'Environment and Natural Resources (ENR) Framework Development and Implementation', Manila, 2002.

management, solid waste management, and DRM, including South-South cooperation activities. It has also assisted in other areas through project interventions.

Nationally, 49 percent of greenhouse gas emissions come from the energy sector, and substantial quantities from land degradation and conversion of forests.⁹⁰ UNDP contributions to mitigating climate change, as well as promoting energy security directed at a change in energy mix and better use of energy resources, included two large projects for promoting national policies that were regarded as strategic over the longer term.⁹¹ The Philippines has several renewable energy resources, including geothermal. The Capacity Building to Remove Barriers to Renewable Energy Development Project, which has taken several steps to encourage investment in renewable fuels, has a long-term objective of doubling renewable energy by 2020. The Philippine Efficient Lighting Market Transformation Project seeks to enhance energy efficiency by supporting adoption of energy efficient lighting systems for institutions and one million households. These activities to promote national energy policies have had some positive results. A Renewable Energy Act assisted under UNDP activities has passed through several legislative stages but is not yet finalized.⁹² There has been a rise in awareness linked to climate change issues and energy efficient lighting systems.⁹³ A Presidential Administrative Order of 2007 requires all government facilities to adopt energy efficient lighting systems. Import policy

is expected to be tightened in favour of energy efficient lighting systems. However, outcomes for these projects are not yet fully realized.

The longest running South-South cooperation activity managed within the UNDP Philippines has been the Partnerships in Environmental Management for the Seas of East Asia (PEMSEA) Project, a regional mechanism for reducing pollution and achieving sustainable environmental benefits in coasts, islands, seas and associated river basins.⁹⁴ PEMSEA has prioritized integrated coastal management in national jurisdictions. The association with UNDP, a neutral partner with a development mandate, helps a process that does not yet have a separate regional personality. PEMSEA is at an important juncture. Future achievements depend upon upgrading the status of its secretariat and attracting additional funds at the international, national and local levels.⁹⁵ There have been several policy achievements that are likely to be long-lasting. Primarily, these include: a sustainable development strategy for the seas of East Asia, endorsed by participating governments and other partners in 2003 and implemented since 2007; and Executive Order 533 issued in 2006, establishing integrated coastal management as the national strategy for the Philippine marine and coastal resources. This is now being implemented at specific sites, including Manila Bay.

The Ecological Waste Management Act, which also established the Solid Waste Management Commission, became law in January 2001.⁹⁶ In

⁹⁰ GEF, 'GEF Country Portfolio Evaluation: The Philippines (1992-2007)', GEF Evaluation Office, March 2008, ch. 4, and p. 41.

⁹¹ UNDP, 'Capacity Building to Remove Barriers to Renewable Energy Development (CBRED)', Manila, 2002; UNDP, 'Efficient Lighting Market Transformation', Philippine Efficient Lighting Market Transformation Project, Manila, 2004.

⁹² The six options covered by the bill are geothermal, hydro, biomass/agriculture waste, solar, wave, and wind.

⁹³ In Manila, this included the 'Switch' event attended by the President and all city mayors of Manila, encouraging and committing to the switch to energy efficient lighting.

⁹⁴ PEMSEA (1994-2010); PEMSEA is under UNDP Manila management, with UNOPS execution, and GEF funding. There are 11 country and 16 non-country partners.

⁹⁵ UNDP, along with country contributions, continues to support this process, for example: UNDP, 'Supporting the PEMSEA Resource Facility Secretariat Services Towards the Sustainable Implementation of the SDS-SEA', 2006.

⁹⁶ The Commission is chaired by the Department of Environment and Natural Resources Secretary and located in the Department of Environment and Natural Resources under the Environmental Management Bureau.

Metropolitan Manila, only 73 percent of solid waste was being collected. The rest was disposed in rivers, drains and vacant lots, contributing to flooding. Following a Japan International Cooperation Agency-funded study on waste recycling and a pilot project for community-based solid waste management in Metropolitan Manila, UNDP funded a further project that introduced waste segregation, and established material recovery units and composting with intensive education and community organizing.⁹⁷ The community-based model is working and generating revenues for the *barangays* involved. Some up scaling has been instituted through training high school students in solid waste management to teach younger students, household members and their communities. Large companies have now agreed to finance this training in 160 schools.

Box 4. Solid waste management in Manila

In mid 2000, there was a tragedy when more than 200 waste pickers were buried under a dumpsite in Metropolitan Manila that collapsed. The community-based solid waste management project of 2002 helped establish materials recovery units in 10 *barangays* in five LGUs in Metropolitan Manila, on a self-financing basis. In some *barangays*, resistance to the siting of facilities was overcome through the innovation of mobile materials recovery units. A funding mechanism for initial costs is required to replicate these activities on a much larger scale.

UNDP has taken a lead role in developing policy and practices for DRM, drawing on funding from the ADB, AUSAID and the European

Union. UNDP and the European Union are assisting a regional intervention, also involving Cambodia and Viet Nam, to prepare a capacity assessment and a Strategic National Action Plan for each country. However, the project has been affected by problems in recruiting external consultants, thus the consulting period was reduced considerably and the scope of outputs affected. At the time of the evaluation, a national action plan was not in place. However, operationalization of community-based DRM activities through the Office of Civil Defense is now accelerating (section 3.3.3).

UNDP has assisted several biodiversity projects seeking to meet the multiple objectives of conservation, sustainable use of natural resources, and provision of local livelihoods. With GEF funding, support was provided to conserve and enhance biodiversity in the whole of Samar Island (Samar Island Biodiversity Project), and to establish the largest land-based protected area in the Philippines, called SINP. A marine biodiversity project in Bohol used a novel form of management outside the National Integrated Protected Area System framework.⁹⁸ Again, there have been mixed results. SINP was proclaimed a protected area in 2003. However, at the time of the ADR mission, legal processes still had to be finalized due to uncertainties over two mineral concessions and a logging license within the SINP boundaries. For Bohol, the overall conservation area was significantly expanded, backed up by LGU resolutions and ordinances, and relevant coastal resource management plans were developed. Rehabilitation activities have achieved their targets, including recovery of fish stocks. However, the GEF evaluation noted that, in general, the expansion of protected areas has exceeded the human resources available to

⁹⁷ UNDP, 'Community Based Ecological Waste Management Programme' Manila, 2002. Other assistance to solid waste management was given by the U.S. Agency for International Development in Mindanao, the German aid agency GTZ in the Visayas, and by the Australian Agency for International Development through the UNDP/Japan International Cooperation Agency projects.

⁹⁸ UNDP, 'Samar Island Biodiversity Project', Report of the Terminal Evaluation Mission, Manila, 2006; Samar Island National Park, UNDP, 'Biodiversity Conservation and Management of the Bohol Islands Marine Triangle Project', draft final Evaluation Report, Manila, 2007.

manage them. Interventions were lacking in some smaller islands with unique but highly vulnerable ecosystems.⁹⁹

3.3.3 KEY STAKEHOLDERS' MANAGEMENT OF RESOURCES AND EMERGENCIES

Almost 25 projects were developed to help key stakeholders better manage the environment and natural resources, cope with emergencies, and maintain sustainable development.

UNDP has supported stakeholder management through various activities. A recent assessment of capacities enhanced by the UNDP programme concluded that training activities had brought about a change in perceptions and knowledge for a limited number of people, but existing experts could be insufficient in number or mismatched to tasks.¹⁰⁰ It also concluded that financial capacity was a key constraint on environmental management, with unfunded mandates and insufficient revenue-generating mechanisms. The Department of Environment and Natural Resources, in particular, remains dependent on external loan and grant funding to meet its commitments. In terms of institutional mechanisms, it concluded that much had been done, particularly in terms of advocacy and community-based models of environmental management. Credit was also given to UNDP for generating public support for environmental activities in various ways.

Although public support and behavior are important for achieving and sustaining results, there is less CSO involvement in the E&E programme than in other practice areas. The practice area needs to build on fruitful relationships with the private sector, NGOs and academia. In addition, much capacity-building

activity is directed at government agencies and systems rather than society more broadly. The GEF evaluation found that, despite many project-level achievements, only a limited number of GEF-funded activities documented capacity-building activities and results.¹⁰¹

An expected output under this second outcome was development of innovative financing mechanisms. This is an area where much effort has been made but is inherently difficult. In the energy sector, the Capacity Building to Remove Barriers to Renewable Energy Development Project included provision for three renewable energy funds, project preparation, loan guarantees and microfinance lending. However, at the time of the ADR mission, the project had been stalled for 10 months due to loss of PMO staff, resulting from uncertainties over how PMOs were being mainstreamed. The financing arrangements are largely in place, but final achievements depend on resuscitating relationships with the many stakeholders.

Sustainability of conservation areas depends on generating sufficient revenues for operations. The expansion of protected areas has exceeded the resources available to manage them.¹⁰² The SINP lacks the means of generating adequate revenues, and a trust fund system for revenues had not been established at project completion for the Bohol marine area.

At the time of the evaluation, activities under the Philippine Efficient Lighting Market Transformation Project to design and promote financing mechanisms for consumer and electric cooperatives were ongoing. Energy efficient light bulbs reduce energy use and last longer. However, their initial cost is significantly higher than conventional bulbs. Other mechanisms for reducing initial costs, such as changes in procurement

⁹⁹ GEF, 'GEF Country Portfolio Evaluation: The Philippines (1992-2007)', GEF Evaluation Office, March 2008, p. 38-39.

¹⁰⁰ UNDP, 'Draft Outcome Evaluation Report', Environment and Energy for Sustainable Development Programme, Manila, 2008.

¹⁰¹ GEF, 'GEF Country Portfolio Evaluation: The Philippines (1992-2007)', GEF Evaluation Office, March 2008, p. 45.

¹⁰² Ibid., pp. 38-39.

procedures and payments out of savings, were also under consideration. Final project results will depend on making energy efficient lighting systems affordable.

Paradoxically, UNDP-assisted activities illustrate that financial sustainability may be more assured at the level of community or LGU-based operations. Under the PEMSEA project, a demonstration site for good practices was established in Batangas. Replication of activities relies on own funding and realignment of budgets, or cost sharing with the industry (such as the Petron Foundation). For the solid waste management activities, *barangay* materials recovery units generate revenue from selling materials to junkshop owners and recyclers. The priority given to DRM activities is reflected in LGU expenditures. One risk is a possible change in LGU priorities, which could be mitigated if local CSOs and private sector businesses became directly involved.

A further expected output is introduction of new technologies and community management. Difficulties can arise over maintenance and cost. An earlier project in Palawan province sought to extend off-grid power supply through solar power units for remote households, for which many households are willing to pay. However, a follow-up pilot project in 2004 introduced an alternative means of supplying solar energy through a village power association¹⁰³ to facilitate training in project management and operations.

Enhanced capacities of a wide range of stakeholders is another expected output. Many initiatives rely on local champions. For PEMSEA, the rate of implementation at local sites is slower than in some other countries. However, achievements are strengthening governance and capacities, through development of medium-term strategies and realignment of

budgets. Initial skepticism over UNDP-assisted solid waste management activities was overcome by *barangay* leadership. Many lessons have been documented in PMO reports, a handbook, video, posters, comics, a website, and information and education campaign materials. Local involvement also has been a key ingredient in community-based activities for DRM (see 3.4). Another South-South cooperation project to address forest degradation and its socioeconomic causes was implemented through indigenous peoples and forest users, assisted by CSOs and coordinated by an NGO in the Philippines.¹⁰⁴ The project reached some of the smaller islands that have not been reached by larger projects. A substantial proportion of the resources were reserved for knowledge sharing, to generate lessons for other areas and countries.

Box 5. Philippine Efficient Lighting Market Transformation Project

The Philippine Efficient Lighting Market Transformation Project is an example of good practice in bringing stakeholders together to enhance their capacities. This included the main suppliers in the Philippine Lighting Industry Association. Importantly, it has received active support from local champions, including the institute for electrical engineers. The inclusive form of implementation and the awareness it has raised in schools, hospitals, and other government institutions, enhances the prospects for sustainability and replication nationwide.

An expected output for the CPAP period was an operational disaster management framework. A pilot project for hazard mapping and community-based DRM established the context of multi-hazard assessments using multi-agencies. Early results were enhanced cooperation among the relevant technical agencies and the

¹⁰³ UNDP, 'RE-based Village Power System', Manila, 2004.

¹⁰⁴ UNDP, 'Small Grants Programme for Operations to Promote Tropical Forests in Asia (PTF)', Manila, 2001, implemented by the SEAMEO (Southeast Asian Ministers of Education Organization) Regional Center for Graduate Study and Research in Agriculture, Los Banos. Funding was also obtained from the European Union and affected communities.

need to formalize early warning systems through LGU resolutions to ensure ownership and maintenance. The Hazard Mapping and Assessment for Effective Community-Based Disaster Risk Management (READY) project, at a much larger scale, focuses on the capacity of communities in disaster prone areas.¹⁰⁵ The targets are 165 multi-hazard maps and 26 flood and landslide maps. A key result is that sustainability is enhanced by formal memorandums of agreement between agencies and communities. A further result is that the hazard maps have also found a user in the Department of Public Works and Highways for assessing hazard risks for infrastructure construction projects.

Box 6. Getting READY for natural disasters

There are many types of natural hazards including: earthquakes, volcanic events, landslides, floods and storm surges. Disaster risk management requires implementation at the local level. The main components of the READY Project of 2006, with AUSAID funding, are multi-hazard identification and mapping, early warning systems with information and education campaigns, and mainstreaming disaster risk reduction in local planning for 27 provinces on the eastern seaboard. As of the end of 2007, 13 multi-hazard maps had been completed, 7 Information, Education and Communication events conducted, and approximately 12 early warning systems for different hazards installed.

3.3.4 GENDER AND RBA

In general, gender issues have not been incorporated into the design of projects in the E&E practice area. Selected Office of Civil Defense staff have undergone gender training in relation to disasters. The mainstreaming

of women and development within the Environment and Natural Resources Framework still needs to be pursued. RBAs generally are also not applied. Integrated coastal management activities are designed around sea rights. In the Philippines, fishing rights are comprehensive in coverage, constraining other sea uses. More recently, gender and rights issues are being addressed for understanding conflicts around mining activities.

3.3.5 SUSTAINABILITY

Sustainability prospects for policy interventions and implementation in the E&E practice area are mixed. Compliance with the main environment conventions has been formalized in the required communications, with UNDP assistance. The Environment and Natural Resources Framework provides the means to prioritize and schedule many activities related to policy development and environmental management, including a legislative agenda, but does not generate resources for implementing them.

Concerns for renewable energy and energy efficiency are institutionalized in the Department of Energy. A market for energy efficient lighting systems is likely to be created, but at a cost for lower income consumers. Final results for renewable energy will not be determined until the bill is passed.

It is difficult to ensure sustainability of protected areas as they expand because of a lack of revenues and continued access to the areas for sustainable resource uses. Urban projects for solid waste management, including materials recovery and standalone water supply projects with improved private suppliers, are likely to be sustainable if organized in the appropriate way, as UNDP assistance has tried to show. The community-based

¹⁰⁵ UNDP, 'Hazards Mapping and Assessment for Effective Community-Based Disaster Risk Management (READY)', Manila, 2006. The participating technical agencies are the Philippine Institute of Volcanology and Seismology of the Department of Science and Technology, the Mines and Geosciences Bureau of Department of Environment and Natural Resources, the National Mapping and Resource Information Authority, and the Philippine Atmospheric, Geophysical and Astronomical Services Administration.

approach that is being promoted in relation to disasters is likely to achieve a higher level of preparedness on a sustainable basis.

3.3.6 CONCLUSIONS

The E&E practice area covers a wide range of activities. Overall, the results in the last seven years, and their chances of sustainability, have been mixed. Results for recent activities on conflicts around mining cannot yet be assessed.

Activities were generally relevant to Philippines national plans and priorities, although this was not always articulated. A major advance could be possible through coordinating around the Environment and Natural Resources Framework in a programmatic way. However, financial resources are inadequate and mandates insufficiently funded. The practice area has not made much progress in relation to gender, an RBA, or involvement of CSOs. However, the practice area has developed community-based models for addressing some environmental challenges, including DRM, despite the slow start of some activities. Those activities that are potentially sustainable—energy efficiency and renewable energy, biodiversity, integrated coastal management, community-based DRM, and solid waste management—need to be replicated across many projects and LGUs. The practice area could be more focused by giving up some of the smaller activities even where they have been successful (such as urban water supplies, which can be taken over through LGU mechanisms for achieving the MDGs), or the several other activities that have appeared in the portfolio, such as biofuels.

Not all elements of the expected outcomes are addressed equally. Although industrial development is addressed through activities under the Environment Management Bureau

of the Department of Environment and Natural Resources, agricultural development is not sufficiently addressed. Land degradation and drought have become prominent; 45 percent of arable land has become moderately to severely eroded and vulnerable to natural phenomena.¹⁰⁶ From the viewpoint of climate change, the renewable energy project supported by UNDP was not designed to address the effects of land degradation and loss of forest, which are not under the mandate of the Department of Energy and require a broader, multi-sector approach. Such matters, relevant to both the climate change agenda and rural poverty reduction have not had the same weight in the UNDP programme.

The reliance on GEF funding can influence the results achieved. GEF-funded activities in the Philippines have been directed to climate change (55 percent), conservation and biodiversity (31 percent), multifocal activities (11 percent), and persistent pollutants and international waters (3 percent).¹⁰⁷ This breakdown is reflected in the UNDP programme also (except that UNDP has managed the funding for international waters), where GEF accounts for more than 50 percent of funding for the E&E practice area. The GEF evaluation pointed out that support towards fulfilling obligations under multilateral environment agreements had been more successful than capacity support to achieve national objectives and targets for sustainable development. It also noted that achievements in relation to global benefits in conservation and renewable energy could still be undermined by declining environmental indicators.¹⁰⁸ Capacity building activities and their results need to be clearly stated in programme documentation and included in the M&E system.

Despite the progress being made in DRM, it could benefit from a convergence of activities

¹⁰⁶ GEF, 'GEF Country Portfolio Evaluation: The Philippines (1992-2007)', GEF Evaluation Office, March 2008, p. 20.

¹⁰⁷ Ibid., p. 30.

¹⁰⁸ Ibid., p. 46, "For example, the GEF helped achieve a substantial increase in the number of protected areas but not in the amount of human resources needed to manage these areas."; and p. 20.

across practice areas. Current activities through the Office of Civil Defense with the Department of Environment and Natural Resources as an implementing partner could be complemented by further focus on immediate and medium-term social protection measures to preserve MDG achievements, with inputs from the MDG practice area. A recent UNDP statement on disaster risk reduction and recovery referred to related governance issues, supporting governments to ensure a solid institutional and legal basis for DRM, and strengthening key government institutions, including those for disaster recovery.¹⁰⁹ Relevant experience could be drawn from the governance practice area. Convergence could also draw on the skills and resources of those in the CPR practice area familiar with crisis prevention and management. A mechanism could be constructed to prompt such convergence. The range of activities under the E&E practice area suggests some rationalization may be beneficial, particularly if issues relating to land degradation are given a greater, direct focus.

3.4 CRISIS PREVENTION AND RECOVERY

3.4.1 PROGRAMME BACKGROUND

This practice area is the second largest portfolio in terms of budget. It is mostly funded by donors and has the smallest number of projects. UNDP contribution to the national peace process began in April 1997 with an agreement with NEDA to support the government peace-building efforts in Mindanao. Under UNDP leadership, a multi-donor programme was established to assist the government in reintegrating 70,000 former MNLF combatants, supporters and their families into civilian, economic and social life. Since then, UNDP has participated continuously in the

peace-building and conflict prevention process through four phases, each building on previous successes and lessons learned. Phases 1 and 2 of the project (April 1997 to June 2000) were supported by 10 donors and had total resources of approximately US\$ 10 million (US\$ 4 million from UNDP). While the programme was considered successful, three years was seen as insufficient for rebuilding confidence and mainstreaming ex-combatants back into civilian life, especially while the Peace Agenda remained unfinished.¹¹⁰

Phase 3 (2001 to 2004) and Phase 4 (2005 to 2009) fall under the period of review covered by the ADR. The design of the third multi-donor programme was based on the findings of an evaluation carried out in April 1999 and an analysis of the situation at the end of that year. It adopted a convergence approach for peace and development, with Peace Development Communities (PDCs) as its central focus. PDCs incorporate a process of transformation involving confidence building, capacity building, institution building and establishment of sustainability mechanisms.

The UNDP contributions to peace-building resulted in the formation of a practice area in the current CPAP, with the following expected outcomes and development results:

- Peace-building, conflict prevention and human security mainstreamed in development processes
- Key actors are better able to prevent, manage and resolve conflict, and to build peace and human security
- Conflict-affected communities have improved access to basic services, increased incomes and participate in governance¹¹¹

¹⁰⁹ UNDP, 'Donor Proposal for Disaster Reduction and Recovery 2009-2010', Bureau for Crisis Prevention and Recovery, New York, September 2008.

¹¹⁰ For example, legislation on creating a new autonomous government is still absent, and the conflict with MILF is ongoing. (Third Phase Government of the Philippines-UN/MDP Programme Document).

¹¹¹ Some confusion exists: For the report on 2006, this framework was used. In 2007, it was decided that the second outcome was to be prioritized, and all reporting was based on outputs for the second outcome. For simplicity, this report will use the original CPR outcomes, recognizing that many of the achievements are based on outcomes and activities of earlier phases of the CPR programme.

The most significant change in the CPR programme for the CPAP phase was the expansion of peace-building activities to other areas in Mindanao, Visayas and Luzon where there are actual or potential conflicts. CPAP expands the practice area to promote the concepts of human security and a culture of peace. As a result, the practice area now has two distinct components, each with its own implementing partner, but a shared set of expected outcomes:

- Action for Conflict Transformation for Peace Programme implemented by Mindanao Economic Development Council, and Regional Government of the Autonomous Region in Muslim Mindanao as the Lead Implementing Agency for the Autonomous Region in Muslim Mindanao areas. There are five components: strengthening social capacity for peace-building, promoting human security through improved access to basic services, promoting human development through community economic development, building stakeholders' capacity for conflict transformation, and promoting and advocating a culture of peace. Central to all of these are the PDCs and the Peace and Development Advocates (PDAs).
- Conflict Prevention and Peace-building Programme, with the Office of the

Presidential Adviser on the Peace Process (OPAPP) as implementing partner. A number of additional civil society and academic organizations as responsible partners contribute to the achievement of the programme's outputs.

In addition, two other activities were carried out under the current CPAP. The Government of the Philippines-UNDP-European Union Programme on Rehabilitating Internally Displaced Persons and Communities in Southern Philippines (February 2004 to January 2006) was a short-term project, complementary to the multi-donor programme to help the recovery and resettlement of people displaced by renewed conflict between the government and the MILF from 2000 to 2003. The Support to Muslim Communities Project, a result of a state visit made by President Arroyo to Bahrain in 2003, implemented through the Urban Assets Reform Office, supported health, education and trade infrastructure in Mindanao, as well as the Muslim Community in Manila. Table 7 shows the total resources for the programme in the CPAP period.

The practice area has been extensively documented and generally recognized as successful.¹¹² The multi-donor programme, Action

Table 7. Resources for conflict prevention and recovery practice area, CPAP period (US\$)

Programme component	Total budget	Funds used (as of end 2007)	Source of funds
Act for Peace	15,585,549	6,594,103	AUSAID, NZAID, Spain
Conflict prevention and peace-building	2,000,000	1,250,873	UNDP core resources
Rehabilitating internally displaced persons and communities in Southern Philippines	3,600,000	3,600,000	European Union and UNDP
Support to the development of pilot Muslim Communities	1,000,000	1,000,000	Government of Bahrain
Total	22,185,549	12,444,976	

Sources: Draft outcome evaluation, August 2008. NZAID indicates New Zealand Agency for International Development.

¹¹² Evaluations are available for the MDP3 (multi-donor programme) programme and the current CPR (to date, in draft form), along with a thorough mid-term evaluation of the ACT for Peace Programme and annual reports.

for Conflict Transformation for Peace, is now in its tenth year, and has several achievements. At the same time, the newer conflict prevention and peace-building programme demonstrates capacity to innovate, adapt and apply lessons learned to other situations. Some of the key achievements and innovations of the programme under each expected outcome include the following.

3.4.2 MAINSTREAMING PEACE-BUILDING, CONFLICT PREVENTION AND HUMAN SECURITY

In the first outcome area, a strategic UNDP contribution was to influence the national policy debate towards a peace-building approach in the face of pressures from a more militaristic approach to the conflict. OPAPP successfully introduced a national peace plan built on the concept of human security¹¹³, recognizing the underlying threats (poverty, political marginalization and social exclusion) that fuel conflict. As a formal part of the MTPDP, the peace plan is incorporated in the national budget.

To build support, conflict prevention and peace-building encourages increased citizen networking for conflict transformation and peace-building for human security. Through the Third World Study Center, a broadly based policy dialogue, 'Towards a Human Security Framework', was carried out and a draft framework was developed to identify threats to human security, develop a tool for assessing them, and develop a set of indicators for monitoring them. Among the findings, economic and environmental issues were considered by the population as greater threats to human security than armed conflict, even in conflict zones.¹¹⁴

In 2005, UNDP (through the MDG practice area) supported the publication of the Philippine

HDR on peace, focusing on human security and human development in the Philippines, an in-depth look at armed conflicts, their roots, and the existing peace processes. This report contributed to the policy debate on peace. The contributions of Dr. Paul Oquist, UNDP Senior Governance Adviser for Asia at that time, to the peace debate, including seven papers in a series of policy analyses on peace and development in Mindanao, have been widely recognized and frequently mentioned by stakeholders, particularly in regard to the concept of human security.

Among other contributions is the Peace-Sensitive Monitoring and Evaluation (M&E) Framework developed for the Action for Conflict Transformation for Peace Programme, spearheaded by AUSAID. This was greeted with widespread interest as a unique M&E system for identifying indicators that measure progress towards peace. As the product is still in draft form, it will take some time to assess its full value.

The promotion of peace-building through a human security focus is an ongoing challenge: the new anti-terrorist legislation passed in 2007, called the Human Security' Law, represents a different interpretation of the concept from that being developed through OPAPP processes and civil society dialogue. As noted, there are competing tendencies in the Philippine government and society ranging from a principally military response to insurgency to a sustainable, institutional peace-building approach, which is the approach currently incorporated in the MTPDP.

3.4.3 PREVENTING, MANAGING AND RESOLVING CONFLICT

While closely related to the other two outcomes, this second outcome was defined as a priority in

¹¹³ The concept used comes from UNDP Human Development Report 1994: defined briefly as safety from chronic threats such as hunger, disease and repression, as well as protection from sudden and hurtful disruptions to the everyday lives of people.

¹¹⁴ This reinforces the National Unification Commission analysis of the sources of conflict: "first massive and abject poverty and economic insecurity, particularly in the distribution of wealth and control over the resource base for livelihood," Philippine HDR, 2005, p. 83. Among the sources of environmental concern were mining and pulp and paper industries.

the 2007 programme review. The key actors are mainly PDCs and the PDAs. The former are conceptualized as “the basic social unit on which the whole peace and development framework of the MDP [multi-donor programme] is based.”¹¹⁵ The latter are former MNLF combatants who did not integrate into the armed forces of the Philippines and who are trained in organization and mobilization as well as the facilitation of local conflict resolution and reconciliation (with local Peace Core Groups).¹¹⁶

Through experience, the programme has developed a transformative (and therefore sustainable) six-stage process for the development of poor, marginalized, conflict ridden communities that generally takes four to five years to fully implement¹¹⁷ and has qualitative, measurable benchmarks for each stage. The evaluation carried out at the end of 2007 noted 60 percent of all 246 PDCs established throughout the programme were in stages four, five or six. This indicates that these marginalized and conflicted communities are able to mobilize internal and external resources to: achieve envisioned change; negotiate with other groups (especially armed groups) to maintain their peace; promote transparency, accountability and participation; reflect and learn from experiences; share with neighbouring communities; and participate in the wider peace process.

PDAs are central to this as highly trained facilitators who have also undergone personal transformations. They have also organized across communities in PDA leagues and associations, emerging as new actors advocating for peace, mobilizing and channeling resources into priority areas defined by communities,

and promoting PDC approaches with LGUs. As one PDA league coordinator said, we went “from being beneficiaries to being partners in development.”

None of the PDC communities were directly involved in or affected by recent conflicts. They have been able to help internally displaced persons from neighbouring communities and to access and distribute humanitarian aid.¹¹⁸ Six provincial, 18 municipal, and 3 city LGUs have well established conflict transformation and peace-building structures, and an additional 40 LGUs have begun to apply them. Some municipalities are replicating the experience on their own, although it was noted that not all municipalities were convinced this process works and that the PDC is fundamentally a community level process.

Box 7. Witnesses for peace

“Training was ...a process of restoring trust and confidence ... I discovered, little by little that I was transformed.... I realized that peace could not be made by one sector only; it has many stakeholders.”

— **PDA volunteer, Mindanao**

“We used the Six Paths to Peace framework in our culture of peace training, but the examples are taken from our own cultural practices as Mangyans. We also use as examples our actual experiences of conflict encountered with armed groups and among ourselves... That way we’re able to gain a better appreciation ...of the concepts because the examples are real to us.”

— **Mangyan Leader**

¹¹⁵ ACT Project Document.

¹¹⁶ PDAs interviewed were clear about the transformative nature of the capacity building. For example, one spoke of a process of restoring trust and confidence little by little. Another discovered “that peace could not be made by one sector only, but needs the involvement of all stakeholders.”

¹¹⁷ The stages are confidence building (early stage), peace and development organizing (emerging stage), peace and development planning (developing), implementation, empowerment (adaptation), and expanding.

¹¹⁸ According to PDA/LGU meeting, Davao, August 2008.

Indigenous peoples and resources

The CSO Assisi¹¹⁹ works with 25 LGUs and 13 indigenous people communities throughout Luzon and the Visayas to build their capacity to defend their rights, primarily around encroachments on their ancestral domains, threats from mining operations, and the incursion of armed groups (New People's Army or Armed Forces of the Philippines). Good practices are shared and replicated in order to achieve a higher level of impact. Both ancestral lands and mining are being addressed as part of the OPAPP agenda at the national level, in coordination with NCIP and the Department of Environment and Natural Resources respectively. The New People's Army advance is weakened when the underlying causes of poverty and marginalization for indigenous people are addressed.

3.4.4 IMPROVING ACCESS TO BASIC SERVICES, INCREASING INCOMES AND PARTICIPATING IN GOVERNANCE

The third outcome reflects the idea that to build trust and address governance and poverty causes of conflict, there is a critical need for development assistance that generates income and provides access to services. Community organization, participation, good governance and the transparent, effective management structures for social and economic projects apparent in many of the PDCs were identified as important results by the Mid-term Review. Testimonies of PDAs and LGUs¹²⁰ are indicators that illustrate the capacity of PDCs to identify, analyse and prioritize their needs in order to present municipalities with concrete proposals. While there are considerable results in communities where the project has taken place, coverage is still low,

involving a total of 263 communities across Mindanao, which represent only 3 percent of the total 8,329 *barangays*. Considerable scaling up and replication will be needed for the project to have sustainable effect. This could be achieved through replication by local governments and other partners, and through similar processes being adopted in other conflict areas. In many cases, this is dependent on ongoing peace negotiations with the MILF.

UNDP has supported a large number of small income-generating projects in conflict zones. Community Economic Development Projects have benefited 11,255 people (40 percent women), along with capital assistance and micro-finance loans to another 750 households. While these were meant to provide quick benefits to demonstrate the advantages of peace, income gains are inconclusive. Poverty is still a major source of exclusion and requires a comprehensive economic development strategy for sustained peace-building.¹²¹

3.4.5 GENDER

Efforts have been made to involve women, although these have not necessarily been systematic or aimed at meeting women's strategic interests. Recently, a gender strategy for the sector was written, committing UNDP to address the practical and strategic needs of women through equitable access and allocation of resources, carry out gender mainstreaming in all programme components and management processes, and identify and share key learning on gender and peace-building.¹²² While the strategy is a positive step, it would have been more effective if it had been developed during the planning stage rather

¹¹⁹ Assisi's three-fold approach is: community empowerment to strengthen indigenous peoples' organizations and indigenous peoples' leaders for self-determination and self-governance; development rights for the protection of ancestral domain and for integral human development for them to become self-nourishing; and peace and security for the attainment of the freedoms that come with human security for them to be self-sustaining.

¹²⁰ Group meeting, Davao, August 2008.

¹²¹ 'ACT Mid-term Review 2005-2007' and 'CPR Outcome Evaluation', draft, August 2008.

¹²² Government of the Philippines-UN Act for Peace Programme, 'Gender and Development (GAD) for Peace Framework', March 2008.

than the middle of implementation. As it was developed only a few months before the ADR took place, results were not yet apparent.

Women are targeted most in income generation and health issues, with a heavy emphasis on reproductive and maternal and infant health. There are built-in obstacles to women's greater participation that could be more effectively addressed. For example PDAs are ex-MNLF combatants, of which very few were women. In this context, the 10 percent to 15 percent participation of women among PDAs may be seen as an accomplishment. Part of the strategy of strengthening communities of indigenous people is to revive and strengthen traditional decision-making bodies, although these may traditionally exclude women. For example, the Mangyan 'Council of Elders' is made up of ex-community chiefs, who are all men. In the leadership training of 30 *barangay* officials, only 3 were women.

There are missed opportunities to address gender more comprehensively. While OPAPP has made significant efforts to involve women in the process of peace negotiation in line with Security Council Resolution 1325, the Action for Conflict Transformation for Peace Programme does not mention the resolution or any of its provisions, including special protection or support to women and girls in conflict zones. At the suggestion of UNDP, the Human Security Framework research included equal participation by women and disaggregated data by sex, although it had not yet carried out any gendered analysis with this information. It also missed the opportunity to incorporate issues of human security that might be highly significant for women, such as domestic or gender violence, or denial of reproductive rights.

3.4.6 RIGHTS BASED APPROACH

A key product, the Peace-Sensitive M&E Framework, includes a monitoring matrix that

specifies the rights issues involved. The six stages of development include awareness of rights, as well as responsibilities of duty bearers (LGUs) and claim holders (citizens). As such, the concept of an RBA is integrated into the peace monitoring process. PDAs and LGUs involved in the programme frequently refer to the language of an RBA and demonstrate an understanding of the role of government (especially LGUs) and reasonable expectations of citizenship.

3.4.7 SUSTAINABILITY

Built in mechanisms that promote sustainability of results include the work done at the policy level, especially the peace approach incorporated in the MTPDP. The further institutionalizing of a human security and peace-building approach, with the support of a peace movement from civil society, will create a momentum for sustainable peace. The PDC is a good, participatory community development model that promotes grass-roots democracy. Involvement of LGU resources has already resulted in PDC replication and has the potential of institutionalizing them. Short-term results in the form of income generation and the provision of key services such as water and health services have already shown participants the benefits of peace. To the extent that there is a geographical overlap with MILF areas (four to five provinces), there could be sharing of PDA methodologies with the World Bank Trust Fund¹²³ that may open the way to a replication and adaptation of the methodology in areas outside of the Government of the Philippines-MNLF Final Peace Agreement area.

However, there remain significant external threats to sustainability, chief among them a return to open conflict. This would threaten gains already achieved, further displace populations, and disrupt economic, social and political development. More hard-line strategies within the government or armed groups could always

¹²³ The World Bank leads a trust fund supported by a number of donors to support the peace process with the MILF when it happens.

reappear. The peace process should complement the small economic initiatives with a sustained and significant pro-poor economic development strategy. Resources are likely to be a continuing source of conflict. At a national level there are contradictory policies, such as the Indigenous Peoples Rights Act that protects ancestral lands and the Mining Act that threatens them. If these are not harmonized in favour of the marginalized and a fairer distribution of wealth, armed groups will always be able to attract new members.

3.4.8 CONCLUSIONS

Resolving longstanding conflicts in the Philippines is the principle responsibility of the government. UNDP can contribute to this process by supporting peace agreements and providing financial and technical resources, as well as neutrality. UNDP was one of the first organizations to support the implementation of the Government of the Philippines-MNLF Final Peace Agreement of 1996, including leadership and channeling of donor support to the process. The extensive experience of UNDP internationally and over the years in Mindanao has contributed to national peace-building efforts. It has been able to provide leadership in a politically charged environment and is recognized as neutral and above any partisan interest. In addition, UNDP is currently the only cooperation partner supporting OPAPP peace efforts throughout the entire country—contributing valuable input into research and policy development, support to citizen organization and participation in the

peace process, pilot programmes in indigenous people's communities, training resources, and other efforts aimed at promoting a human security approach to conflict prevention.

However, the dynamics of Mindanao have shifted to negotiations between the government and the MILF. To a large extent, this overshadows the ongoing work on the peace accords with the MNLF. In this context, UNDP has a much lower profile. In addition to leading a trust fund supporting the peace process with the MILF, the World Bank also co-chairs the Philippine Development Forum working group on Mindanao with the Mindanao Economic Development Council. This group meets twice a year, with a technical sub-group meeting every other month. While UNDP participates in these meetings, there has been a decline in UNDP involvement. This appears to be due to a number of factors, including the expansion of lessons learned in Mindanao to other parts of the country, a national focus on human security, reduced human resources and security considerations.¹²⁴ However, this decline in involvement runs the risk of decreasing the impact of UNDP contributions to peace-building in Mindanao and possibly losing momentum in the promotion of a development and human security approach. While the leadership role belongs to the Mindanao Economic Development Council, there is no contradiction in a strong role for UNDP in providing its international and national expertise and experience.

¹²⁴ Meetings take place in Davao, which is often on high security alert for UN and UNDP personnel.

CHAPTER 4

CROSSCUTTING AND OPERATIONAL ISSUES

4.1 GENDER MAINSTREAMING

There have been many excellent examples of gender mainstreaming throughout the programme, although results are uneven across the areas and there have been missed opportunities. On the whole, the governance programme has been most successful and consistent incorporating innovative strategies such as annual awards for the most gender-constructive judicial decisions, along with systematic gender training for all partners. While the MDG area has promoted sex disaggregation of data and harmonization of gender and development guidelines, it has not substantially contributed to an engendered poverty analysis. CPR has addressed women's issues in the area of reproductive health, but its choice to focus on ex-fighters has tended to sideline women and gender issues, and gender has not been addressed in the human security dialogue. The E&E practice area has made the least progress in incorporating gender.

UNDP carried out an internal gender assessment of its portfolio for the year 2007 using NEDA monitoring guidelines and found that only 2 percent of its budget was gender responsive, 26 percent gender sensitive, 21 percent with 'promising' gender and development prospects, and 51 percent where gender was invisible. This prompted a review of the programme, resulting in the following figures when the portfolio was assessed at the end of the year: 3 percent gender responsive, 25 percent gender sensitive, 72 percent gender 'promising', and 0 percent gender invisible.

Gender mainstreaming was addressed by UNDP during the whole time-frame considered by the ADR. Gender is part of the UNDAF, and one of the two crosscutting themes in the CPAP, which is committed to gender responsive programming, gender equality, and the empowerment of women. UNDP has been an active participant in the UNCT Gender Mainstreaming Committee and the ODA Gender and Development Network over this period.

Mainstreaming has been the key strategy, although UNDP also supports a joint UNCT gender project for follow up to the CEDAW concluding comments. This project, launched in May 2007, seeks to improve CEDAW integration into policy, legislation and local government planning, law school and public administration curricula, and improve support to rural people, indigenous people and Muslim women to develop responses. The new governance approach, yet to be implemented, also includes a focus on women's access to justice.

At the end of CCF1, there was extensive gender and RBA training with the UNCT team. In 2002, through Support for Programme and Policy Development funding and the United Nations Development Fund for Women (UNIFEM) expertise, UNDP hired a gender adviser to help develop an analysis and strategy. In 2007, funds were accessed for 'Coaching and Mentoring on Gender and Human Rights Mainstreaming across UNDP Practice Areas and UN agencies in the Philippines'.¹²⁵ Part of this process involves carrying out a gender audit in each participating

¹²⁵ This training was financed by the Gender Mainstreaming Initiative in coordination with the UNDP Gender Unit at the Bureau of Development Policy. It was part of the UNDP contribution to the joint gender project.

agency, which has not yet been done at UNDP. UNDP also contributed to the development of a number of tools, such as the 'Assessment, Strategy Setting and Monitoring, and Evaluation of Gender Dimensions of the UNDP, the UN Country Programming' in 2003, and at the ODA Network level, the 'The Harmonized Gender and Development Guidelines for ODA Projects', particularly at the early stage.

UNDP emphasized its commitment to mainstreaming gender in its 2007 Memorandum Circular. Staff generally have an informed understanding of gender issues, a recognition of their importance and a commitment to them. Even where there are significant achievements, there is often a feeling that more could be done. This suggests there are general, country office wide obstacles to achieving full potential in mainstreaming.

The achievements of the programme were assessed in a comprehensive evaluation carried out in 2005 as a country case study for a UNDP Evaluation Office report, 'Evaluation of Gender Mainstreaming in UNDP'.¹²⁶ Although some progress has been made since then, the conclusions continue to be valid and represent problems that are common in UNDP. First, the evaluation suggested that "top management has not made it clear to the programme managers that gender mainstreaming is a must."¹²⁷ This is reflected in management processes. Sample interviews with staff, for example, showed that gender objectives were not articulated in individual work plans, time was not allocated for pursuing gender objectives and results were not monitored in performance reviews.¹²⁸ Given the heavy workload of programme staff, it is rational for them to give less priority to the work that

does not appear to count. As the evaluation concluded, there needs to be accountability, but that needs to be accompanied by rewards and incentives.

Observations regarding the role of the gender focal point, which were also found to be generalized across the corporate evaluation¹²⁹, are still valid. The gender focal point, who is the key gender resource in the country office¹³⁰, has a junior position in the organization without: decision-making capacity, significant professional training in the theme, and terms of reference or time allocation for gender in her work plan. Her localization in one programme area has resulted in high gender achievement in that practice area (governance) but less impact on the others. The message might be interpreted that gender is not a high priority.

Monitoring mechanisms have been improved in CPAP, and general concepts of gender equality, gender balance and gender sensitivity were used in expected results. What these actually mean on a project-by-project basis has not always been defined. Not all activities that involve women necessarily promote gender equality. Part of the problem in clearly defining gender objectives is that an analysis is not always incorporated in the planning process. For example, the gender strategy for CPR was not developed until 2007, halfway through the programme.

While most of the elements are present to incorporate a strategy that can deliver gender equality results, the overall approach needs constant attention. In addition, more could be done internally to share best practices developed in each practice area. The overall context for working on gender in the Philippines is excellent.

¹²⁶ UNDP Evaluation Office, 'Evaluation of Gender Mainstreaming in UNDP', New York, 2006.

¹²⁷ Gunes-Ayata, A, et al., 'Gender Mainstreaming in UNDP Philippines', 2005, Draft Mission Report, p. 53.

¹²⁸ A further complication is that tools for individual performance reviews appear to be weak; mainstreaming gender assumes that the structures into which it will be integrated are in themselves adequate.

¹²⁹ The report recommended that the gender focal points be senior staff with gender expertise, with clear job descriptions and performance indicators.

¹³⁰ The Programme Management Support Unit also played a role in earlier periods.

There is a strong women's movement, a supportive legal environment, and government officials are generally knowledgeable. Specific measures of government, such as the required minimum of 5 percent of budget expenditures dedicated to gender, confirm intentions to promote gender equality. The challenge is to find more effective ways to implement these measures. This provides an excellent opportunity for UNDP to work with government and civil society to achieve shared goals.

4.2 RBA

In 1998, UNDP introduced the policy approach 'Integrating Human Rights with Sustainable Human Development', which outlined a strategy for integrating human rights¹³¹ into sustainable development. As a result, UNDP Philippines began to integrate an RBA into their programmes. The CCF2 incorporated RBA training in the governance programme in the Right to Development Project implemented primarily with CHRP. At the same time, the UNCT began extensive capacity building in preparation for integrating the RBA into the CCA/UNDAF process in 2003. With support from the UNDP-Office of the High Commissioner for Human Rights joint project Human Rights Strengthening, UNCT carried out extensive training and developed a rights-based training manual. In 2002, two workshops were held with more than 70 participants from UN staff, project staff and government.¹³² Within UNCT, a rights working group was established. The report on the training programme concluded that along with successful training and the production of a manual, the following results were achieved: UN programmes were consciously reviewed to make them human rights based; a framework

for gender assessment and for all UNCT major activities, (such as development of the terms of reference for CCA and UNDAF and MDG advocacy) was integrated into the human RBA; and human RBA advocates within key government institutions such as NEDA and NAPC were identified, supported and strengthened.¹³³

RBA was defined as one of the two crosscutting themes along with gender responsiveness in the CPAP. Reporting documents are not fully consistent in reporting progress in this area. However, RBA concepts such as duty bearers and claim holder, links made between rights and the MDGs, and greater reference to rights (especially social and economic) as reference points are increasingly prevalent in project and programme language. As in the case of gender, this has varied across practice areas. The reasons for this may be structural. Because RBA was initiated as early as the CCF2 in the governance area, and because of the broad range of government and non-government organizations that are rights oriented, it has shown the most advances. Although the CCF2 component, the Right to Development Project, was scaled back, as objectives proved to be highly ambitious for the time-frame and resources available, the governance programme strongly reflects RBA principles and approaches already developed in the CCF2.

At the other extreme, the E&E programme may have a bias to a more technical orientation, less likely to direct partners to consider social and rights impact, particularly for activities under GEF funding that are not required to plan or monitor on a rights basis and are oriented to global benefits. The exception is in the context of biodiversity and use of natural resources, where consideration of the rights of local populations has to be taken into account.

¹³¹ Defined as a "universal and holistic approach, stressing the indivisibility and interrelatedness of all human rights—economic, social, cultural, civil and political", Ateneo School of Government, Outcome Evaluation of Outcome 3 'Strengthened Capacity of Institutions to Promote and Protect the Right to Development to Include a Gender Perspective on Development'.

¹³² Report from the Philippine UNCT, Report Presented to the Second Interagency Workshop on Implementing a Human Rights-Based Approach in the Context of UN Reform, Stamford, 5-7 May 2003.

¹³³ Ibid. The ADR is unaware of any systematic evaluation of results from this capacity building.

CPR has attempted a more consistent rights approach in its peace monitoring framework, and a rights perspective is apparent in the activities and discourse of PDCs and PDAs. Although it is difficult to include a rights perspective directly into MDG measurement, within the MDG practice area, meeting specific rights is the basis for the Indigenous Peoples Rights Act Legislation and for UNDP assistance to indigenous peoples.

4.3 CAPACITY DEVELOPMENT AND KNOWLEDGE MANAGEMENT

Capacity development and knowledge management issues are found throughout the UNDP programme in the Philippines and are closely related. Capacity development is addressed in two ways. First, it appears as a programme and project outcome to support the capacity of various stakeholders to carry out a number of functions more efficiently, for example, MDG advocacy, indigenous people planning, or livelihood identification and promotion. Second, it appears as capacity-building activities for agencies to better implement programmes under the NEX/NIM modality and sustain results.

The first is particularly important in the Philippines. It includes specific outcomes in the MDG area, such as enhanced capacities of policy and decision makers to formulate pro-poor and development-oriented policies using updated poverty data, and enhanced capacities of poor and vulnerable groups to sustainably develop and manage resources. In the governance practice area, the development of specific capacities has been supported in various thematic areas such as monitoring government spending, RBA planning and advocacy strategies. In the E&E portfolio, significant resources have been used to develop frameworks and policies for achieving environmental objectives, and for implementing international agreements. In the CPR portfolio,

it has included establishing the whole structure of PDCs and PDAs to enhance peace-building for local communities. The UNDP programme, in focusing on the vulnerable, has needed to promote ways of strengthening and empowering local communities to meet their own needs. The ultimate test of capacity development is the achievement of programme goals and sustainability. There has been progress in meeting many MDGs, but results overall have been mixed.

Capacity for implementing and responsible partners under NEX/NIM is related mainly to new skills or processes that might be needed by national partners to manage and take leadership in programmes supported by UNDP and to sustain results. This often includes administrative training, setting up software monitoring tools, and organizing monitoring and consulting mechanisms. Programme management has shifted to the programmatic level for design and monitoring. The high quality of the annual CPAP review reports, as well as the process, demonstrate the implementing partner's significant capacities, ownership of, and commitment to the programme. Implementing partners may continue to need specific support for a while, but the capacity to deliver is substantial and could be enhanced through better communications among the various parties concerned.

Practice areas are asked to produce a Knowledge Management Framework and Implementation Plan "to systematize knowledge generation, sharing, and usage, as well as the dissemination of good practices and lessons to partners for possible replication."¹³⁴ A knowledge product is defined as one that has proven its worth on the ground and needs to be documented, disseminated and up scaled for wider application.¹³⁵ UNDP produces many knowledge products through its work each year, but the full extent of these are not necessarily known among the practice areas, implementing partners, responsible partners, and other partners.

¹³⁴ 'Standard Progress Report: CPR', 2007.

¹³⁵ 'NEX Government of the Philippines-UNDP Action Plan', MC no. 2 S 2008, January, 2008.

UNDP is generally recognized for a high level of expertise and information embedded in both human resources and knowledge products.

Knowledge management is closely linked in the 2008 action plan to communications and advocacy, to be guided by “what UNDP should be known for and its comparative advantage, namely, accelerating the progress of human development through capacity development.”¹³⁶ There is a close link between knowledge management and capacity development, since the programmes produce a large number of training materials, manuals and case studies that are used in training and promoting good practices among partners. The development of a human security index, for example, will serve as both a practical tool for analysing conflict and its sources, and a means for further advocating a human security approach. The Philippine HDR is perhaps the best known knowledge product for advocacy. Forums and workshops also serve to generate, share and disseminate knowledge for capacity building purposes

The ultimate purpose of knowledge management is to change perceptions and practices to help achieve the programme objectives. Based on experience and knowledge generated in programme areas, and with UNDP specialists (such as the extensive work of Dr. Paul Oquist, UNDP Senior Governance Adviser for Asia on the Peace process in Mindanao), UNDP should be selective and focused on specific opportunities for knowledge management for advocacy. Some changes in perception more generally can be claimed for knowledge products produced through UNDP assistance, such as influence in the attitude to human security perspectives as opposed to a national security approach.

4.4 SOUTH-SOUTH COOPERATION

South-South cooperation is a goal to address common problems on a cooperative basis. It is also a modality for generating additional

knowledge and sharing experiences and good practices. The Philippine Country Office has, to some extent, promoted and supported South-South cooperation by managing the Philippines component of some UNDP regional initiatives. However, many South-South cooperation activities are not done in an explicit way.

For two longer running regional initiatives, PEMSEA and Promoting Tropical Forestry, results in this area have been substantial. There have been several other UNDP programme activities that include a South-South component: the CBMS process, applied internationally; shared lessons across Latin America, Africa and Asia; experiences of legal empowerment of the poor shared in South-East Asian forums; community-based solid waste management activities involved a study visit to Malaysia; and NSCB convened an international workshop on MDG statistics. However, there are some missed opportunities, such as the dissemination of the process and outputs of the dynamic and globally acknowledged Philippine HDR activities, and systematically sharing experiences in conflict prevention and recovery with other countries in the region and outside of the region.

Continued generation of South-South opportunities from country office activities would be improved if identified systematically in programme and project planning processes as a crosscutting priority and drawing from the positive experiences of regional interventions and the existing global knowledge network of UNDP.

4.5 COUNTRY PROGRAMME MANAGEMENT

The following section highlights a number of key programme management-related factors that have affected the effectiveness and efficiency of UNDP programme.

¹³⁶ Ibid., p. 2.

4.5.1 ANNUAL WORK PLANS (AWPS)

The programme management structure for the UNDP programme has evolved during the CPAP period. Annual reports for each practice area are prepared by implementing partners. They are discussed by the Outcome Board of multi-stakeholders and referred to the country programme board, led by senior staff of NEDA and UNDP, which issues guidance for AWP and an allocation of core resources. It normally takes approximately two months for the implementing partner to formulate the AWP, given the required coordination among responsible partners. The process may not start early enough for AWP to be approved at the beginning of the year. In 2007 and 2008, AWP guidelines were issued in that calendar year, and the last AWP was approved only in August 2008. The focus on annual budgeting allows for amendments to the allocations during implementation but may constrain the speed at which programmes are implemented.

4.5.2 MANAGING CHANGE

Changes in the programme and the process of change should enhance UNDP contributions and effectiveness. Planned programme changes between CCF2 and CPAP have been relevant to the development of the practice areas. The CPR practice area expanded in the CPAP period to conflict zones in the whole country. The E&E practice area added sub-programmes. These changes have been largely beneficial (see Chapter 5).

However, changes taking place during the CPAP period have had some adverse effects on the programme. The changes passed through the UNDP programme procedures and have the formal agreement of all parties, but this took time. Delivery has been affected, and it has strained relations with partners at various levels. Implementing partners have also changed for some practice areas. The change was appropriate and effective for the MDG practice area. The implementing partner function for

the governance practice area is now in the government sector but in an institution not generally perceived as fully prepared for the task. Transition arrangements with the old implementing partner had to be put together in 2007. A programmatic approach to UNDP assistance is facilitated where there is a strong implementing partner that can coordinate programme activities among a limited number of responsible partners, monitor and report on progress, and formulate proposals on the programme as a whole and the AWP. This requires an appropriate mandate and location within the government structure, together with capacity assessment and appropriate assistance. As an essential function of an implementing partner is to channel funds from UNDP to responsible partners, they should have a strong financial management capability and record at a minimum.

4.5.3 SYNERGIES

There are few management mechanisms for coordinating issues across practice areas and developing synergies. Practice areas tend to work vertically, with few horizontal management mechanisms. Despite the fact that all parties recognize the importance of creating synergies across practice areas, there is no apparent incentive to do so. The proposed new indigenous people programme provides an opportunity to experiment with and develop a new management model that would encourage a more multi-disciplinary, horizontal implementation strategy—both within the country office and among the implementing partners. Experimenting with such a strategy, and monitoring and assessing the process, might provide broader lessons for eventually re-structuring the practice areas. With a more focused programme, synergies need to come from below, through an arrangement that develops links between practice areas, and can stimulate and identify additional synergies. An important element of developing synergy is the sharing of knowledge within and across portfolios. There is no indication that the latter takes place in any formal or structured way. ‘Brown bag lunches’ on gender

issues have been sporadically organized, but few other such opportunities were identified by the evaluation team.

4.5.4 IMPLEMENTATION PROCEDURES

Programmes can be hampered by limits to harmonization of implementation procedures. UNDP systems differ from the government's and from year to year. The most recent manifestations are the requirements for the Harmonized Approach to Cash Transfers and PRINCE 2 project management methodology. Government staff have to be specially trained and even accredited. In line with the principles of the Paris Declaration, the UNDP programme has been in the process of ensuring all operations are under NEX/NIM. CPR for example, switched to NEX in the CCF2 period, and only switched back to direct execution while the government reorganized and assigned a different partner.¹³⁷ Although the transparency of recruitment and procurement through the UNDP services unit is appreciated, it is reported as taking no less time than through the government's own systems. In the governance portfolio, there is a strong CSO sector in the Philippines and reasonably good relations with the government, but there are concerns that in sensitive areas such as corruption and human rights, useful and critical participation by CSOs may be limited.

Consistent with the government's commitment to the principles of the Paris Declaration, the Outcome Board decided that PMOs should be mainstreamed by 2010. Programme tasks, in implementing partners and responsible partners, should devolve on permanent staff of the partner

agencies in order to enhance national ownership and develop internal capacity for sustainability.¹³⁸ The advantage of the PMO to partners is access to resources over and above their existing staff. Disadvantages include the lack of sustainability beyond project funding and tensions that may arise from differences in employment conditions. The transition process to government permanent staff leaves some implementing partners feeling short of resources. In the case of the governance portfolio, mainstreaming of the PMO coincided with the transfer of the programme to a new implementing partner. Presently, some hybrid arrangements exist where government staff are delegated to work with remaining PMO staff. Combined with appropriate capacity assessment and capacity development mechanisms, a transition from PMOs to government permanent staff, a key indicator of country ownership, may well be achieved by 2010 without disruption to the programme.

4.6 MONITORING AND EVALUATION

M&E plays an important role in making mid-course adjustments, learning from evaluative knowledge and being more accountable for results. With four practice areas and diverse activities and partners, it is challenging to develop and maintain effective M&E systems for the programme and to assess overall results. During the CCF2 period, the programme lacked an effective M&E strategy and systems. For example, none of the planned outcome evaluations took place.¹³⁹ In the CPAP period, concerted efforts were made to enhance the M&E capacity, systems and practices within the country office. In 2005, a one-week training was held for UNDP staff and

¹³⁷ From 1997, the Multi-Donor Programme was implemented by the Southern Philippine Council for Peace and Development, which was phased out by the government in early 2002. The follow-up implementing partner, the Southern Philippines Development Authority, was also deactivated in December 2002 as part of the political transition to the expanded Autonomous Region of Muslim Mindanao stipulated under the 1996 Government of the Philippines-MNLF Final Peace Agreement. Until the Mindanao Economic Development Council took over in July 2003, the project was administered by the UNDP through Direct Execution. Government of the Philippines-UN, 'MDP3 Terminal Report', p. 12.

¹³⁸ In the case of financial management skills and scarce technical skills, especially for implementing partners managing a practice area, individuals can still be recruited under project funding.

¹³⁹ In 2003, UNDP Philippines submitted to the Evaluation Office an evaluation plan for 2002-2004, which included six outcome evaluations. The conduct of planned outcome evaluations is mandatory for country offices.

key partners on results-based M&E, resulting in development of an M&E plan for each portfolio and for the consolidated CPAP. In 2006, preparation of the annual CPAP review reports and an annual review meeting were introduced and systematized. In 2006 and 2007, annual CPAP review meetings, attended by a wide range of government and civil society partners, enhanced information exchange across the four practice areas. In early 2008, a dedicated United Nations Volunteer M&E officer was recruited, and four outcome evaluations were commissioned in parallel to the ADR process.¹⁴⁰

Despite these recent efforts, some areas could be further improved. For instance, the quality of existing results frameworks and reporting should allow for more robust performance monitoring. The results and resources framework for the CPAP includes 9 expected outcome statements, their associated indicators, and 40 expected outputs. The CPAP M&E plan increased the number of indicators for outcomes and identified additional information for baselines, targets, sources and the timing of activities. The quality of frameworks and plans varies across the four practice areas. The CPR portfolio has clear outcomes, outputs, targets and indicators, partly owing to the comprehensive results framework for the Act for Peace Programme, developed jointly by participating partners. However, its link with the rest of the portfolio outside Mindanao does not seem to be clear. Most CPAP outputs are set at a very high level. The UNDP programme cannot be solely accountable for them. Many indicators lack baselines based on a credible study; linkages between targets and indicators are unclear, and sometimes confused with each other; and responsibilities for data collection are not always obvious.

In some cases, regular reporting is done at the activity level, with almost no reference to indicators outlined in the CPAP M&E plan. There

was little evidence that the existing CPAP regular review meetings or UNDP internal programme meetings have been used to discuss the feasibility, usefulness and quality of M&E frameworks, systems and data. The CPAP M&E framework has not been adjusted for recent changes in the programme. Further, good record keeping is a pre-requisite for effective M&E. At the start of the ADR, the country office had no central record-keeping system for project-related documents. Much time was used to gather basic project documents and information.¹⁴¹ The relocation of the office in early 2000, departure of programme staff, and a vacancy in the Programme Management Support Unit since 2006, were identified by the country office as some of the compelling reasons.

External project evaluations have been uneven across practice areas. The E&E portfolio is the most evaluated practice area, partially because the GEF has rigorous requirements for M&E. There seems to be less incentive for carrying out evaluations of areas funded through UNDP core-resources. Nevertheless, the country office evaluation plan should provide comprehensive coverage of the programme by including evaluations for a few significant projects each year.

In their effort to strengthen M&E, the country office should further clarify the demand for M&E data: who the primary users are and for what purposes the M&E data is collected and used. There should be a mechanism—both internal and external to UNDP—to allow for the regular use and exchange of M&E data for programme improvement, evidence-based decision making and learning. For instance, the evaluation team was not able to confirm that recent changes in the UNDP programme focus have been informed by M&E data. In addition, lessons learned from M&E did not seem to be shared systematically amongst different units or with stakeholders to foster cross-sector synergies and learning.

¹⁴⁰ However, only two of the four draft outcome evaluations were ready at the time of the ADR main mission.

¹⁴¹ With the support of the M&E officer, subsequently a comprehensive database of project information was developed to facilitate the ADR.

CHAPTER 5

STRATEGIC POSITIONING

Strategic positioning includes both programme and non-programme activities and strategies of UNDP that help to define its overall role in and contribution to Philippine development efforts. This includes relevance to national priorities, responsiveness to changing circumstances and priorities, and complementarity with other partners' activities. These must also be considered in the context of the UNDP mandate globally.

5.1 PROGRAMME PRIORITIES

Government priorities are clearly articulated in the MTPDP, which addresses all sectors, but highlights the overall priorities of creating 10 million jobs, ensuring quality education for everyone, fiscal strength, decentralized infrastructure development, and national harmony (especially electoral reform and the peace process). In particular, poverty reduction is the overarching priority for the MTPDP and the specific theme of chapter 12. The UNDP programme in the Philippines conforms to its global mandate¹⁴² and has been relevant to national priorities. Its areas of focus were derived from an inclusive process of discussion around the UNDAF framework, reinforced by the new elements in the MTPDP 2004-2010.

For poverty reduction, UNDP is the principal partner supporting government efforts to achieve and monitor the MDGs. For a large middle-income country, UNDP has pursued an appropriate role of supporting the capacity of the Philippine Government to plan, budget, implement and monitor MDG achievements at the national and local level. However, a number

of activities relating to agribusiness development, a key component of the MTPDP strategy for creating rural jobs, are no longer part of the programme. Within the constraints of its core funding, and as part of its advocacy, UNDP could play a larger role in assessments of macro-economic policies and strategies for a more equitable and inclusive growth process. Poverty reduction impacts could be more explicitly addressed in the work of other practice areas. For example, there is little reference to the MDGs in the E&E practice area.

The UNDP governance portfolio has responded to priorities in the MTPDP including electoral reform, rule of law and anti-corruption. In each area, UNDP has played an innovative role using limited funds in a strategic manner. There has been increased involvement of other cooperation partners in these areas, in part due to diagnostic studies supported by UNDP in various themes (for example, pillars of justice). This has been cited as a reason for focusing the role of UNDP. However, while the amount of UNDP support, approximately US\$ 400,000 annually for public sector reforms, may seem dwarfed against a proposed US\$ 10.5 million for the Millennium Challenge Account Programme on corruption, UNDP occupies a special niche that carries its own weight. In 2007, the governance practice area took on a narrowed human rights focus. Human rights issues are not addressed specifically in the MTPDP as a priority area, but heightened awareness has made human rights an issue the government must address. However, the government still requires as much support as it can mobilize for key governance activities. UNDP should be ready to assist the government

¹⁴² The UNDP mandate globally includes promoting the MDGs, fostering democratic governance, supporting sustainable development, and conflict prevention and recovery.

in other selected key governance areas to achieve its broader priorities.

The E&E practice area has also responded to country needs by significantly expanding its role in promoting DRM and by addressing issues on conflicts around mining. The portfolio as a whole, however, is insufficiently prioritized. It has contributed significantly to policy and management development for the Department of Environment and Natural Resources and to policy implementation in several sectors, including energy, coastal resource management, solid waste management and DRM. However, it seeks to address both national and global environmental challenges through a large number of expected outputs, including monitoring compliance with a number of international agreements, leading to a wide range of small activities alongside larger projects. While E&E issues become more urgent, delivery has not kept up. The practice area could play a larger role in addressing poverty through a stronger focus on policies and capacities relating to land degradation and other factors affecting agricultural productivity (in conjunction with other UN technical agencies). A broader approach to climate adaptation for sustainable development may be required to augment the current focus on climate change mitigation.

The CPR practice area clearly responds to the MTPDP. UNDP took the lead role in supporting and coordinating four phases of a multi-donor effort to promote a sustainable, human-security focused peace process in Mindanao, which continues to be a high priority of both the government and donors. However, recently UNDP has assumed a lower profile in Mindanao—perhaps too low given what UNDP has to offer, including experience, lessons learned, extensive knowledge of the situation, credibility and neutrality, and national and international expertise in conflict issues. Conversely, UNDP has invested almost US\$ 2 million of core funds in the conflict prevention and peace-building programme for other parts of the country, which have been overshadowed by conflicts in the south. This approach is positive, innovative and forward

thinking, and has begun to address issues such as the development of a human security index, peace indicators and a culture of peace. These initiatives are in line with OPPAP priorities and address the underlying causes of conflict, such as struggle over resources, poor governance and poverty.

UNDP cannot add substantially to its results unless additional resources are mobilized. The CPR portfolio has attracted funds for a long time, aggregated around the MNLF peace agreement, because it is high on donor agendas and geographically focused. Considerable efforts will have to be made to attract funding for conflict prevention in other parts of the country. The E&E portfolio accesses more financial resources than the others combined. A more focused governance portfolio could be the basis for greater donor interest. It is not clear why the portfolio for the MDGs does not attract more external funding. The substantial number of agencies providing grants to the country provides opportunities for UNDP to replicate projects that generate good results. However, the programme should drive the resource requirements. Resource mobilization must be pursued in the E&E practice area also, in support of further capacity development for environmental policies and agencies, and the new programme elements.

5.2 COMPARATIVE ADVANTAGE

UNDP successes in the Philippines have capitalized on its perceived strengths to find its own niche and enhance its effectiveness. The most widely perceived strength of UNDP is its neutrality, and consequently there is appreciation for UNDP's ability to initiate a dialogue and take leadership in potentially sensitive areas, such as electoral reform and human rights, where government and CSOs have difficulty working with bilateral donors and multilateral banks. UNDP can call upon global agreements through General Assembly resolutions, especially those ratified by the government. UNDP is also widely recognized for its advocacy on MDGs and creating awareness on a people-centred

approach to development. UNDP Philippines is known also for the quality of its locally recruited programme staff. Their high level of professionalism and expertise, and ability to understand local issues and the workings of government, are appreciated by government counterparts and donors and are regarded as a strong asset for the organization. Lastly, the organization's global network provides the Philippines with access to a wealth of experts and knowledge.

UNDP Philippines has few financial resources compared to some other agencies. Many cited the organization's dependence on unpredictable non-core resources as a constraint in working with UNDP. The resources have been thinly spread over a large number of 'small' activities, which can result in reduced impact. At the same time, partners appreciate UNDP flexibility—using its limited but quickly mobilized resources to respond promptly to emerging priorities. In particular, CSO partners felt that UNDP's small and short projects have been valuable to kick-start initiatives and bring others for scaling up.

Advocacy is perceived as a UNDP strength. It combines disseminating knowledge products with other activities for promoting specific information, concepts or activities. These advocacy efforts have resulted in some changes in perceptions and changes in practice. Advocacy activities in areas such as inclusive growth and climate adaptation, which may require more attention in the future, should be built upon.

The UNDP mandate explicitly combines human development and a concern for vulnerable groups. A theme running through the UNDP programme in the Philippines, consistent with these principles but not fully articulated at the programme level, is the results from LGU and community-based activities. Given the decentralized planning and administrative structure in the Philippines, and the many local mandates, this is a valuable characteristic of the programme.

Building capacities at the municipal level of government, and for communities within them, occurs across all practice areas. This includes HIV/AIDS advocacy, MDG targeting, support to indigenous people communities, model police stations, alternative law groups, school networks for promoting RBA, rural power associations, *barangays* involved in solid waste management, disaster preparedness, and the PDC and PDA infrastructure. UNDP will be unable to achieve a large scale of direct community support unless activities from different practice areas are combined but could support some more remote communities with specific needs.

A significant part of the UNDP mandate and activities provide support to implementation and compliance with international agreements. This applies particularly in the E&E practice area and the new governance focus. This role stems from the fact that UNDP is a part of the UN system, mandated to assist governments with implementation of international agreements, many agreed in the United Nations. This 'upstream' work is appropriate for UNDP resources. A large part of the UNDP programme also comprises assistance with development of national policies and the capacity to implement them. A key constraint on policy implementation is a lack of financial resources to cover the numerous mandates. UNDP has assisted in some relevant activities of resource valuation and revenue generation. More generally, UNDP could extend such work for innovative financing mechanisms that need to be identified and implemented to ensure the sustainability of policy implementation and relevant agencies.

5.3 ALIGNMENT AND PARTNERING

The Paris Declaration on Aid Effectiveness established the principles of aid effectiveness and country ownership.¹⁴³ Key indicators of country ownership are alignment with national

¹⁴³ A recent High Level Forum in Ghana, 2-4 September 2008, assessed progress toward alignment targets for 2010 and agreed upon a programme of action to speed things up.

priorities and processes, and the use of national capacity. As outlined in section 5.1, the UNDP programme in the Philippines is aligned broadly with government priorities. In addition, UNDP also assists the government in meeting some of its obligations under international agreements. Given the six-year term of Philippine presidents, it is difficult to align the UNDP programme with government planning timetables. Many activities are implemented through LGUs. Their three-year electoral cycle also makes it difficult to align planning periods and sometimes to secure results. There are several dimensions to partnering around the UNDP programme, including government, at national and local levels, the private sector, donors, CSOs and the UN system.

5.3.1 PHILIPPINE DEVELOPMENT FORUM

A principal means of partnering in the Philippines is the Philippine Development Forum that meets each March, with technical working groups active in between. The plenary combines cabinet ministers and donor agencies with high-level representation with private-sector representation through chambers of commerce and CSO representation.¹⁴⁴ It has been an essential form of communication between the government and its partners without a formal updating of the MTPDP and its strategies. Significant support to the government's reform agenda has provided stability in development strategy, even during periods of political uncertainty. UNDP participation in this process has allowed it to focus its support on key issues for the government and the country, coordinate with other agencies, and take a lead in the MDG area.

5.3.2 CIVIL SOCIETY ORGANIZATIONS (CSOS)

Although the Paris Declaration doesn't thoroughly address CSOs, there are several clauses that require governments to commit to participatory

development planning and monitoring with a "broad range of development partners."¹⁴⁵ Since 1987, the government has been generally open to working with CSOs, although this varies across the range of agencies and is not always proactive. The latest MDG report (2007) describes NGOs as important partners in achieving the MDGs. For some CSOs, there has been some distrust of working with the government, particularly in sensitive areas, and in others there has been simply a lack of a framework or opportunities. The governance practice area has demonstrated some important and productive experiences in building government-civil society frameworks. This is in line with the RBA approach. Claim holders are better able to participate, expressing and promoting their rights in their own voices.

Although it differs between practice areas, CSO participation is an important characteristic of the UNDP programme in the Philippines. Overall, the participation of CSOs in programme oversight through the Outcome Board is rare and exemplary. CSOs also play different roles, such as in advocacy, policy analysis, implementing UNDP-assisted projects, and as effective responsible partners. Some CSOs have independent funding; others are more dependent on UNDP and other contracts for their survival. On both the government and the CSO side, the UNDP role in supporting the framework, and more importantly, the neutral 'umbrella' for working together has been a very important contribution. Where these mechanisms are established, there is a likelihood of sustainability at least in dialogue between CSOs and government. In itself, this model of cooperation is an important outcome of the UNDP programme.

5.3.3 PUBLIC-PRIVATE PARTNERSHIPS

UNDP has difficulties up scaling its activities, even successful ones. The private sector may

¹⁴⁴ UNDP co-chairs the MDG and human poverty reduction technical working group, and participates in plenaries and other working groups.

¹⁴⁵ Participation of CSOs and other sectors is not included in the table of indicators and targets for fulfilling the Paris Declaration. A trend under aid alignment has been reduced, rather than increased, participation of CSOs.

provide a means of doing so, through corporate social responsibility and normal business actions. UNDP has funded the initial secretariat and campaign costs of the Philippine Business for Social Progress network, to support businesses that wish to make a direct contribution to MDG achievements. The network has adopted four clusters of MDGs—poverty, health, environment and education—and endorsed 13 model activities for businesses to adopt. Further examples are the involvement of large companies in training for solid waste management through schools, and support to management of coastal resources. There are ways of meeting project objectives through business operations rather than donations. With respect to a transition to energy efficient light bulbs, a primary task is to modify the supply chain, working towards Asia-wide standards.

The joint Memorandum Circular of March 2007 called not only for a more focused programme but also for a more leveraged programme, and referred particularly to the energy sector. Most private sector involvement so far has been in the E&E practice area. Public-private partnerships do not have to include the corporate sector. A recent pilot for water service delivery for a poor urban community to improve and reduce the cost of water service involved capacitating small-scale water providers.

5.3.4 MULTILATERAL INSTITUTIONS

Relations with multilateral institutions can be a means of mobilizing additional resources to scale up or sustain UNDP-assisted interventions. Primarily this relates to the GEF, which has committed US\$ 120 million to UNDP in the Philippines since 1992. GEF has its own objectives and procedures, which are not always amenable to the mainstreaming of crosscutting issues such as gender or an RBA in its portfolio. There has been some limited synergy with the ADB, whose headquarters is located in Manila,

and the World Bank. Recent ADB examples would include DRM activities and occasions where loan funding has followed UNDP activities, such as for integrated coastal management or justice reforms. More broadly, resuscitation of multilateral development banks' lending in recent years has been largely in the form of policy-based lending. This preference provides opportunities for complementary UNDP assistance to policy analysis and development. Through the NAPC or other agencies, proposed reforms could be assessed against macroeconomic policies and strategies required for a more equitable and inclusive growth process (see section 5.1).

5.3.5 UNCT

There are some joint projects among UN organizations, including activities on HIV/AIDS, CEDAW and gender mainstreaming. However, there seem to be missed opportunities for joint programming, given the expertise that each agency brings to the country and relatively limited resources of the UN system as a whole. The United Nations Population Fund and UNIFEM, with their mandates of reproductive rights and gender equality respectively, need to follow the UNDP lead on rights, so as not to duplicate activities.

Specialized agencies are not involved in implementation as much as before. Although UN-HABITAT has helped promote the localization of MDGs in cities as a responsible partner for UNDP, it did not work with the MDG practice area.¹⁴⁶ There is an interagency standing committee for emergency response. However, the position of UNDP and specialized agencies are different at times. For example, some UN organizations felt that UNDP as the pioneer, and with experience in Mindanao, could have done more to provide other UN organizations with opportunities to be more actively engaged and bring in resources as 'One UN'.

¹⁴⁶ The UN-HABITAT approach has been shared among UN organizations as a good practice example.



CHAPTER 6

CONCLUSIONS

6.1 CONCLUSIONS

The programme as a whole and its components, based on the UNDAF and country documents, have been generally relevant to country needs. In a broad sense, the UNDP programme in the Philippines is aligned with government priorities. Changes in programme activities have been channeled through the programme management process for joint agreement. Programmes have also been responsive to additional country needs, as illustrated by the changes between the CCF2 and CPAP periods.

The UNDP programme has achieved a lot, relative to the financial resources available, through activities with demonstrable results that are likely to be sustainable. A substantial contribution was made through advocacy and support to statistical reporting around the MDGs and incorporating the MDGs into LGU planning and budgeting. UNDP provided significant support in the thematic areas of judicial reform and anti-corruption, the development of RBA, and establishing joint government and CSO frameworks for collaboration. However, the scale and speed of the changes in the governance practice area has had a cost in terms of programme delivery, resource mobilization and capacity development for a new implementing partner. UNDP has helped advance management of national environmental activities including development and implementation of policies, and implementation of international conventions. Capacity development of key stakeholders has progressed but has resource limitations. UNDP has played a lead role supporting the peace processes in Mindanao and the key elements (the PDCs and the PDAs) that motivate, facilitate and promote them. This shows a convergence between conflict resolution

and good development practice. UNDP is helping also to shape a peace-building approach based on the concept of human security and expanded its programme to other parts of the country, while benefiting from the structures and experiences of earlier phases.

UNDP special contributions include its highly valued neutrality, as well as its willingness to support research, planning and innovative pilots. However, there are some limitations to the way in which UNDP has implemented its programme. It has undertaken many small activities, particularly where funding is most constrained, but it has not always found a means of replicating its successful activities. Synergies across programme areas are only just developing, and M&E of the programme has not been systematic. While there are examples of good practices in gender mainstreaming and RBA, overall performance in these areas is uneven across the programme.

The UNDP programme progresses through a broad range of partnership activities. The private sector provides a means of up scaling successful activities. Arrangements such as these need to be maximized. The government is generally open to working with CSOs. UNDP support for a framework for government and CSOs to work together has been an important contribution.

Some actions could be taken to further focus the programme, especially in light of the recent increase in poverty incidence. The MDG programme could rationalize the assistance to statistical systems at the national and local level, focus more directly on those MDGs where achievements are lagging, and pursue possible synergies with the E&E practice area around

the productivity of poor agricultural households. The newer elements of the E&E portfolio—DRM and mining—have increased the programme focus on national rather than global environmental effects. However, what would be a beneficial stronger focus on land degradation and climate adaptation in the future may overtax the practice area. Many lessons have been learned from UNDP CPR activities. However, the dynamic of the situation has changed to focus on the MILF and the ongoing conflict, and has introduced new actors. Conversely, in narrowing the governance programme focus, UNDP has left behind some activities that are important national priorities and where UNDP drew on its particular strengths.

6.2 LESSONS LEARNED

Capacity development needs to reach the local government level for effective implementation of many activities. LGUs can provide a testing ground for policies and good practices. Concrete results for the population at the LGU and community level helps replication across the country.

Synergies between practice areas do not occur naturally. They need to be generated and effectively managed. The ADR identified some issues where practice areas could try to develop synergies between their programmes. Current issues, such as the new indigenous people programme and conflicts around mining, provide opportunities for more creative thinking. Disaster preparedness also crosses practice areas, involving governance issues (how response is structured), CPR in responding to humanitarian needs, E&E given the environmental causes and consequences of disasters, and poverty reduction, since the poor are most vulnerable to suffering in an emergency.

CSOs can significantly enhance the national ownership of UNDP programmes. The UNDP Philippines programme is a good example of the involvement of CSOs in consultation, design, implementation and advocacy. CSOs

provide a valuable perspective and additional resources, as well as local knowledge and participatory processes.

Efforts in promoting South-South cooperation require a long-term commitment and a national perspective. South-South cooperation opportunities are best identified early in the programming process, as part of a capacity development or knowledge management strategy. Continued use of the UNDP Regional Centre in Bangkok, responsible for overall design and implementation of regional projects, can provide access to useful lessons and good practices.

Exit strategies are important to ensure sustainability of results from project partnerships. A clear, articulated, and shared understanding of the length and expected outcomes of a project, as well as criteria for making changes to these, should be agreed upon as early as possible among all relevant partners.

Different factors affect the achievement of results. Factors contributing to substantial results have been: the use of the UNDP international network, the involvement of CSOs in UNDP programme and project activities, the perceived neutrality of UNDP, its willingness to support innovative activities, and UNDP flexibility in changing circumstances. Factors contributing to poorer results have been: insufficient identification and management of programme synergies, too many activities for the resources available, insufficient resource mobilization for up scaling, and UNDP administrative requirements.

6.3 RECOMMENDATIONS

UNDP should follow up its achievements with institutionalizing the MDGs in government planning and budgeting systems. This should include continued advocacy, especially on the budget, and extending the CBMS system to localize MDGs across the country, supported by LGUs' own funds. It could also include a

partnership strategy for mobilizing additional resources needed to carry out priority projects for MDG achievement.

UNDP should re-open dialogue with the cluster areas in the governance practice area that were terminated when the implementing partner and focus was changed in order to ensure proper phase out and to support results achieved. Selected activities could be resumed to ensure that results that were achieved are sustainable. Where necessary and possible, UNDP should find additional resources to ensure a smooth exit strategy. Given its unique neutrality, UNDP should reconsider its role in supporting political reform, particularly in measures that would allow the poor greater participation in political processes, especially processes that would make parties and legislative procedures more democratic and transparent.

UNDP should clearly define priorities for the range of activities under the E&E practice area. There have been recent additions to the portfolio. Considerable resources are devoted to global environmental benefits through the GEF-funded programme. The practice area should focus on the priority areas consistent with the national Environment and Natural Resources Framework. More direct attention to issues of land degradation have the potential to enhance both poverty reduction and climate change adaptation. DRM activities under the E&E practice area could benefit from experience with social protection issues from the MDG practice area and appropriate legal and institutional arrangements from the governance practice area. Consideration could be given to coordinating relevant activities from within the CPR practice area, with a dedicated staff member experienced in managing natural disasters.

UNDP should maximize its contribution to peace-building efforts in Mindanao and in other conflict areas. This should include such non-project activities as active participation in Mindanao forums, sharing of good practices, advocacy, contributing to national policy

development, increasing women's involvement in peace-building, South-South exchanges, and a public information strategy on human security. UNDP should continue to be, and be seen to be, actively involved in supporting peace institutions and processes for those most vulnerable to conflict.

UNDP should establish mechanisms to generate and implement synergies across practice areas. Implementing partners and country office staff should organize to discuss possible synergies in a structured manner, within and between themselves, for current and future country programmes. This may require identifying specific staff, staff time, and recognition for this function, and a change in management structure.

UNDP should review the role of public-private partnerships in programme development and implementation. There are several ways in which private-sector organizations and public-private partnerships have become involved in the UNDP programme, mostly in the E&E practice area. Lessons should be taken about the willingness and means through which the private sector can partner in meeting programme goals, across the programme as a whole.

UNDP should maintain and strengthen the participation of CSOs in the country programme in the context of the increasing NEX/NIM implementation. CSO contributions to programme activities and programme management have been important. They are able to promote a crosscutting RBA by involving representatives of claim holders in the development and implementation of programmes.

UNDP should be more systematic in its use of knowledge products to help achieve its overall objectives. Different stakeholders access information and knowledge in different ways. A knowledge and advocacy strategy should be a priority for each major activity.

UNDP should enhance the internal management structure to augment the impact of gender initiatives in its programmes. This should include appointing a high-level manager responsible for incorporating cross-cutting themes such as gender into all UNDP management processes. It would facilitate communication across programme activities to achieve a greater impact on gender issues.

UNDP should continue to improve M&E systems and internal capacity to provide feedback for programme management. Clearly defined accountabilities for collection and use of M&E data should be established with adequate resources and management support. Gender and RBA objectives should be explicitly integrated into M&E indicators. Capacity-building activities should also be clearly identified and monitored.

Annex I

TERMS OF REFERENCE

1. INTRODUCTION

The Evaluation Office of the United Nations Development Programme (UNDP) conducts country evaluations called Assessments of Development Results (ADRs) to capture and demonstrate evaluative evidence of UNDP contributions to development results at the country level. ADRs are carried out within the overall provisions contained in the UNDP Evaluation Policy.¹⁴⁷ The overall goals of an ADR are to:

- Provide substantive support to the Administrator's accountability function in reporting to the Executive Board
- Support greater UNDP accountability to national stakeholders and partners in the programme country
- Serve as a means of quality assurance for UNDP interventions at the country level
- Contribute to learning at corporate, regional and country levels

The Evaluation Office plans to conduct an ADR in the Philippines during 2008. The ADR will contribute to a new country programme, which will be prepared by the concerned country office and national stakeholders.

2. BACKGROUND

The Philippines is in a critical yet opportune juncture of its development. The country is striving to realize changes in economic and political governance to improve its performance in basic human development security, per capita gross national product, and economic diversification to achieve the Millennium Development

Goals (MDGs). According to the 2007-2008 Human Development Report, the Philippines ranked 90 among 177 countries, representing a slight increase in the value of its human development index. With regards to meeting the MDGs, the government has demonstrated commitments by closely integrating the MDGs into the Medium-term Philippine Development Plan (MTPDP) 2004-2010, to allow government strategies, policies and action plans to simultaneously address national and MDG targets. The government has also institutionalized systems to systematically monitor progress in MDG indicators and used this information to fine-tune its planning and implementation. According to the recent data, the overall probability of attaining the targets remains high.

Despite these efforts, serious development challenges and threats remain to achieving the MDG targets on maternal health, access to reproductive health services, nutrition, primary education, and environmental sustainability. Glaring disparities across regions persist. Progress in implementing reforms has been undermined by limited public resources, inadequate national capacity, the need for more coordinated policies and programmes, and limited attention to corruption. The long-lasting armed conflict continues to challenge development efforts and increases the incidence of poverty in affected areas. Environmental degradation continues with deforestation; watershed destruction; biodiversity loss; air, water and soil pollution; and fishery depletion. These are increasing the country's vulnerability to natural disasters. Population pressure, poverty, globalization and climate change have exacerbated the problem. Although

¹⁴⁷ UNDP, 'The Evaluation Policy of UNDP', available online at www.undp.org/eo/documents/Evaluation-Policy.pdf.

the country has a low and slow prevalence rate of HIV/AIDS, a serious threat is posed by rapidly increasing infection rates among sea-based overseas Filipino works and others. The poorest and most vulnerable, according to the common country assessment undertaken by the United Nations and its national partners in 2004, consist of indigenous peoples, landless farmers-workers, small landholders, artisan fisher folk and the informal sector.

To help address poverty, UNDP is currently working in the following four strategic areas¹⁴⁸:

1. Fostering Democratic Governance (justice and human rights, public administration, including administrative reforms, anti-corruption measures, effective capacity building for national and local bureaucracy and partner institutions, aid coordination and political development)
2. Energy and Environment for Sustainable Development (frameworks and strategies for sustainable development, effective water governance, access to sustainable energy services, conservation and sustainable use of biodiversity)
3. Achieving the Millennium Development Goals and Reducing Poverty (advocacy, capacity building, monitoring and pro-poor policies, MDG-based poverty reduction strategy, microfinance, indigenous peoples, unleashing entrepreneurship, strengthening institutional mechanisms and responding to HIV/AIDS)
4. Crisis Prevention and Recovery (fostering an enabling policy environment for sustainable peace, building capacities of key actors for peace-building and conflict prevention, strengthening access of conflict-affected communities to basic services and increased incomes, supporting government-civil society partnerships to build a nationwide

constituency for peace, and establishing strategic partnerships towards mobilizing resources for sustained nationwide peace-building)

UNDP has been present in the Philippine Country Office since the 1970s. UNDP operates within the country programme and the Country Programme Action Plan (CPAP), which embodies UNDP contributions to the development priorities of the Government of the Philippines as set out in the MTPDP 2004-2010 and the United Nations Development Assistance Framework (UNDAF) 2005-2009.

The following is the summary of expenditures to date since the beginning of the current programme. In 2005, UNDP delivered US\$ 19 million in assistance to the Philippines, an amount substantially higher than the original delivery target of US\$ 12 million, mainly in the areas of Energy and Environment for Sustainable Development (58 percent), followed by Crisis Prevention and Recovery (27 percent) and Fostering Democratic Governance (8 percent). In 2006, UNDP delivered US\$ 23.3 million of assistance, which was more than the delivery target of US\$ 20.7 million. The area of Energy and Environment for Sustainable Development slightly increased in expenditure weight, and other areas such as Crisis Prevention and Recovery and Fostering Democratic Governance decreased in expenditure share. In 2007, UNDP delivered US\$ 14.7 million¹⁴⁹, which was less than the original target. UNDP activities are undertaken in close collaboration with the Government of the Philippines, members of the UN Country Team and other development stakeholders.

The completion of the 2005-2009 Country Programme in the Philippines presents an opportunity to evaluate the UNDP contributions and shortcomings over the last programme cycle and before. The findings will be used as inputs to the 2010-2014 Country Programme Document within the context of the UNDAF.

¹⁴⁸ Drawn from the Country Programme Action Plan between the Government of the Philippines and UNDP, 2005-2009.

¹⁴⁹ Atlas Snapshot (as of April 2008).

3. OBJECTIVES, SCOPE AND METHODOLOGY

The objectives of the ADR include:

- To provide an independent assessment of the progress, or lack of, towards the expected outcomes envisaged in the UNDP programming documents. Where appropriate, the ADR will also highlight unexpected outcomes (positive or negative) and missed opportunities.
- To provide an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context.
- To present key findings, draw key lessons, and provide a set of clear and forward-looking options for the management to make adjustments in the current strategy and next Country Programme.

The ADR will review the UNDP experience in the Philippines and its contribution to the solution of social, economic and political challenges. The evaluation will cover the ongoing and previous country programmes (2005-2009 CPAP and 2002-2004 second CCF). Although it is likely that greater emphasis will be placed on more recent interventions (due to better availability of data, etc.), efforts will be made to examine the development and implementation of UNDP programmes since the start of the period. The availability of existing evaluative evidence and the existence of potential constraints (lack of records, institutional memory, etc.) will be identified during the initial Scoping Mission (see Section 5 for more details on the process).

The overall methodology will be consistent with the ADR Guidelines prepared by the Evaluation Office (dated January 2007). The evaluation will undertake a comprehensive review of the UNDP programme portfolio and activities during the period under review, specifically examining UNDP contribution to national development results across the countries. It will assess key results, specifically outcomes—anticipated and unanticipated, positive and negative,

intentional and unintentional—and will cover UNDP assistance funded from both core and non-core resources.

The evaluation has two main components, the analysis of development outcomes and the strategic positioning of UNDP.

Development results

The assessment of the development outcomes will entail a comprehensive review of the UNDP programme portfolio of the previous and ongoing programme cycles. This includes an ADR achieved and the contribution of UNDP in terms of key interventions; progress in achieving outcomes for the ongoing country programme; factors influencing results (UNDP positioning and capacities, partnerships, policy support); and achievements, progress and contribution of UNDP in practice areas (both in policy and advocacy); and analysing the crosscutting linkages and their relationship to MDGs and UNDAF. The analysis of development results will identify challenges and strategies for future interventions.

Besides using the available information, the evaluation will document and analyse achievements against intended outcomes and linkages between activities, outputs and outcomes. The evaluation will qualify UNDP contribution to outcomes with a reasonable degree of plausibility. A core set of criteria related to the design, management and implementation of its interventions in the country will be examined:

- *Effectiveness:* Did the UNDP programme accomplish its intended objectives and planned results? What are the strengths and weaknesses of the programme? What are the unexpected results it yielded? Should it continue in the same direction or should its main tenets be reviewed for the new cycle?
- *Efficiency:* How well did UNDP use its resources (human and financial) in achieving its contribution? What could be done to ensure a more efficient use of resources in the specific country/sub-regional context?

- *Sustainability*: Is the UNDP contribution sustainable? Are the development results achieved through UNDP contribution sustainable? Are the benefits of UNDP interventions sustained and owned by national stakeholders after the intervention is completed?

It should be noted that special efforts will be made to examine UNDP contribution to capacity development, knowledge management and gender equality.

Strategic positioning

The evaluation will assess the strategic positioning of UNDP both from the perspective of the organization and the development priorities in the country. This will entail: a systematic analysis of the place and niche of UNDP within the development and policy space in the Philippines; the strategies used by UNDP Philippines to strengthen the position of UNDP in the development space and create a position for the organization in the core practice areas; and from the perspective of the development results for the country. The assessment will evaluate the policy support and advocacy initiatives of UNDP programme *vis-à-vis* other stakeholders. In addition, the evaluation will analyse a core set of criteria related to the strategic positioning of UNDP:

- *Relevance of UNDP programmes*: How relevant are UNDP programmes to the priority needs of the country? Did UNDP apply the right strategy within the specific political, economic and social context of the region? To what extent are long-term development needs likely to be met across the practice areas? What were critical gaps in UNDP programming?
- *Responsiveness*: How did UNDP anticipate and respond to significant changes in the national development context? How did UNDP respond to national long-term development needs? What were the missed opportunities in UNDP programming?

- *Equality*: Did the programmes and interventions of UNDP reduce vulnerabilities in the country? Did UNDP intervention in any way influence the existing inequities (exclusion/inclusion) in the society? Was the selection of geographical areas of intervention guided by need?

- *Partnerships*: How has UNDP leveraged partnerships within the UN system as well as with international development partners, national civil society and the private sector?

The evaluation will also consider the influence of administrative constraints affecting the programme and specifically UNDP contribution (including issues related to the relevance and effectiveness of the monitoring and evaluation system). If during initial analysis these are considered important, they will be included in the scope of the evaluation. Within the context of partnerships with the UN system and overall UN coordination, the specific issue of the development of joint programmes will be highlighted.

4. EVALUATION METHODS AND APPROACHES

Data collection

In terms of data collection, the evaluation will use a multiple method approach that could include desk reviews, workshops, group and individual interviews (at both Headquarters and the country office), project and field visits, and surveys. The appropriate set of methods would vary depending on country context and the precise nature would be determined during the Scoping Mission and detailed in an Inception Report.¹⁵⁰

Validation

The evaluation team will use a variety of methods, including triangulation, to ensure that the data is valid. Precise methods of validation will be detailed in the Inception Report.

¹⁵⁰ The Scoping Mission and Inception Report are described in Section 5 on the evaluation process.

Stakeholder participation

The evaluation will apply a participatory approach, involving a broad range of stakeholders. The identification of the stakeholders, including government representatives of ministries and agencies, civil society organizations, private sector representatives, UN organizations, multilateral organizations, bilateral donors, and beneficiaries will take place. To facilitate this approach, all ADRs include a process of stakeholder mapping that would include both direct partners of UNDP as well as stakeholders who do not work directly with UNDP.

5. EVALUATION PROCESS

The ADR process will also follow the ADR Guidelines, according to which the process can be divided in three phases, each including several steps.

Phase 1: Preparation

- *Desk review:* Initially carried out by the Evaluation Office (identification, collection and mapping of relevant documentation and other data) and continued by the evaluation team. This will include general development related documentation regarding the specific country as well as a comprehensive overview of the UNDP programme over the period being examined.
- *Stakeholder mapping:* A basic mapping of stakeholders relevant to the evaluation in the country carried out at the country level. These will include state and civil society stakeholders and go beyond UNDP partners. The mapping exercise will also indicate the relationships between different sets of stakeholders.
- *Inception meetings:* Interviews and discussions in UNDP Headquarters with the Evaluation Office (process and methodology), the Regional Bureau for Asia and the Pacific (RBAP) (context and county programme) as well as with other relevant bureaux (including Bureau for Development Policy

and the Bureau for Crisis Prevention and Recovery and others as appropriate including UN missions).

- *Scoping mission:* A mission to the Philippines in order to:
 - Identify and collect further documentation
 - Validate the mapping of the country programmes
 - Get key stakeholder perspectives on key issues that should be examined
 - Address logistical issues related to the main mission including timing
 - Identify the appropriate set of data collection and analysis methods
 - Address management issues related to the rest of the evaluation process including division of labour among the team members
 - Ensure the country office and key stakeholders understand the ADR objectives, methodology and process

The task manager will accompany the team leader on the mission.

- *Inception report:* A short inception report will include the final evaluation design and plan; background to the evaluation; key evaluation questions; detailed methodology; information sources, instruments and plan for data collection; design for data analysis; and format for reporting.

Phase 2: Conducting the ADR and drafting the evaluation report

- *Main ADR mission:* The mission of two (possibly three in the case of the Philippines ADR, as it may require extensive travel) weeks will be conducted by the independent evaluation team and will focus on data collection and validation. The team will visit significant project and field sites as identified in the scoping mission.

- *Analysis and reporting:* The information collected will be analysed in the draft ADR report by the evaluation team within three weeks after the departure of the team from the country.
- *Review:* The draft will be subject to: factual corrections and views on interpretation by key clients (including the UNDP country office, RBAP and government); a technical review by the Evaluation Office; and a review by external experts. The Evaluation Office will prepare an audit trail to show how these comments were taken in to account. The team leader in close cooperation with the Evaluation Office task manager shall finalize the ADR report based on these final reviews.
- *Stakeholder meeting:* A meeting with the key national stakeholders will be organized to present the results of the evaluation and examine a way forward in the Philippines. The main purpose of the meeting is to facilitate greater buy in by national stakeholders in taking the lessons and recommendations from the report forward and to strengthen the national ownership of development processes and the necessary accountability of UNDP interventions at the country level. It may be necessary to incorporate some significant comments into the final evaluation report (by the evaluation team leader.)

Phase 3: Follow-up

- *Management response:* The UNDP Associate Administrator will request relevant units (the relevant country office and regional bureaux) to jointly prepare a management response to the ADR. As a unit exercising oversight, the regional bureaux will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre (erc.undp.org).
- *Communication:* The ADR report and brief will be widely distributed in both hard and electronic versions. The evaluation report will be made available to UNDP Executive Board by the time of approving a new

Country Programme Document. It will be widely distributed in the Philippines and at UNDP Headquarters, and copies will be sent to evaluation outfits of other international organizations as well as to evaluation societies and research institutions in the region. Furthermore, the evaluation report and the management response will be published on the UNDP website (www.undp.org/eo) and made available to the public in the Evaluation Resource Centre. Its availability should be announced on UNDP and external networks.

6. MANAGEMENT ARRANGEMENTS

UNDP Evaluation Office

The UNDP Evaluation Office task manager will manage the evaluation and ensure coordination and liaison with RBAP, other concerned units at Headquarters level and the Philippine Country Office management. The Evaluation Office will also contract a research assistant to facilitate the initial desk review and a programme assistant to support logistical and administrative matters. The Evaluation Office will meet all costs directly related to the conduct of the ADR. These will include costs related to participation of the team leader, team specialist, as well as the preliminary research and the issuance of the final ADR report. The Evaluation Office will also cover costs of any stakeholder workshops as part of the evaluation.

Philippine Country Office

The country office will take a lead role in organizing dialogue and stakeholder meetings on the findings and recommendations, support the evaluation team in liaison with the key partners, and make available to the team all necessary information regarding UNDP activities in the country. The office will also be requested to provide additional logistical support to the evaluation team as required. The country office will contribute support in kind (for example office space for the evaluation team) but the Evaluation Office will cover local transportation costs.

7. EVALUATION TEAM

The team will be constituted of four members:

- Consultant team leader, with overall responsibility for providing guidance and leadership, and in coordinating the draft and final report
- Team specialists, who will provide the expertise in the core subject areas of the evaluation and be responsible for drafting key parts of the report

The team leader must have a demonstrated capacity in strategic thinking and policy advice and in the evaluation of complex programmes in the field. All team members should have in-depth knowledge of development issues in the country and the region.

The evaluation team will be supported by a research assistant based in the Evaluation Office in New York. The task manager of the Evaluation Office will support the team in designing the evaluation, will participate in the scoping mission and provide ongoing feedback for quality assurance during the preparation of the inception report and the final report. Depending on the needs, the Evaluation Office task manager might participate in the main mission.

The evaluation team will orient its work by United Nations Evaluation Group (UNEG) norms and standards for evaluation and will adhere to the ethical Code of Conduct.¹⁵¹

8. EXPECTED OUTPUTS

The team leader will be responsible for ensuring the overall quality of the evaluation, including the timely delivery of the final evaluation report and of the intermediate outputs in the task areas stipulated previously. These will be finalized in consultation with the team specialist and Evaluation Office task manager, including the following:

- *Inception report:* A maximum of 20 pages, including as a minimum: stakeholder mapping; evaluation questions to be included in the Terms of Reference; overall evaluation design and methodology; and description of data gaps and needs for further in country data collection, including techniques and tools to be used (survey, etc.). The inception report will be submitted to evaluation Office no later than 10 working days after the scoping mission.
- *Comprehensive final report:* Approximately 50 pages plus annexes, including relevant annexes with detailed data. In addition, any supporting studies or surveys will be available for incorporation into the main report and as stand-alone reports. The final draft report will be submitted to Evaluation Office no later than the end of August 2008.
- *Dissemination evaluation brief:* Two pages synthesizing key findings, conclusions and lessons learned.

9. DURATION OF THE ASSIGNMENT

The ADR will take place in 2008 and early part of 2009.

10. QUALIFICATIONS

The team leader must have: a demonstrated capacity in strategic thinking and policy advice and in the evaluation of complex programmes in the field; substantive knowledge of two or more of the programmatic areas of UNDP work in the Philippines; in-depth knowledge of development issues in the Philippines or other countries in the region; advanced degree in the social sciences or related fields; and proven drafting skills and leadership skills. Familiarity with UNDP or UN operations will be a plus.

¹⁵¹ The UN Evaluation Group Guidelines (UNEG), 'Norms for Evaluation in the UN System' and 'Standards for Evaluation in the UN System,' April 2005.



Annex II

REFERENCES

GOVERNMENT AND UN DOCUMENTS

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Annex III

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¹⁵² The evaluation team had a number of group interviews with 36 members of the community and beneficiaries of the UNDP supported interventions during the field visit to Mindoro.

¹⁵³ This only includes main persons met.

Annex IV

PHILIPPINES AND SELECTED ASIAN COUNTRIES

Country	Philippines		Malaysia		Indonesia		Thailand		Viet Nam	
Year	2000	2005	2000	2005	2000	2005	2000	2005	2000	2005
Indicator										
Human development index	0.75	0.77	0.78	0.811	0.68	0.728	0.76	0.781	0.688	0.733
Gender-related development index	0.75	0.77	0.78	--	0.68	0.721	0.76	0.779	0.687	0.732
Infant mortality rate (per 1,000 live births)	30	25	8	10	35	28	25	18	30	16
Under-five mortality rate (per 1,000 live births)	40	33	9	12	48	36	29	21	39	19
Life expectancy at birth, annual estimates (years)	69.3	71	72.5	73.7	66.2	69.7	70.2	69.6	68.2	73.7
Total population (millions)	75.7	84.6	22.2	25.7	212	226	62.8	63	78.1	85
Adult literacy rate (% aged 15 and older)	95.3		87.5		86.9		95.5		93.4	
Combined gross enrolment ratio for primary, secondary and tertiary education (%) (1999 data for 2000)	82	83	66	74.3	65	68.2	60	71.2	67	63.9
GDP per capita, PPP (2005 international \$), 2005	3,971	5,137	9,068	10,882	3,043	3,843	6,402	8,677	1,996	3,071
GDP, PPP (current international \$ billions), 2005	300	427	211		640	847.6	389	557.4	156.8	
Population not using an improved water source (%) (2004 data for 2005)	13	14	n/a	1	24	23	20	1	44	15
HPI-1	14.6	15.3	n/a	8.3	18.8	18.2	14	10	27.1	36
Population, urban (% of total population)	58.6	62.7	57.4	67.3	41	48.1	19.8	32.3	24.1	26.4
Population under age 15 (% of total population)	37.5	36.2	34.1	31.4	30.8	28.4	26.7	21.7	33.4	29.6
Population using improved sanitation (%) (2004 data for 2005)	83	72	n/a	94	66	55	96	99	73	61
Exports of goods and services (% of GDP)	56	47	125	123	39	34	67	74	n/a	70
Primary exports (% of merchandise exports)	8	11	19	24	43	53	22	22	n/a	46
Manufactured exports (% of merchandise exports)	92	89	80	75	57	47	76	77	n/a	53

(cont'd) ►

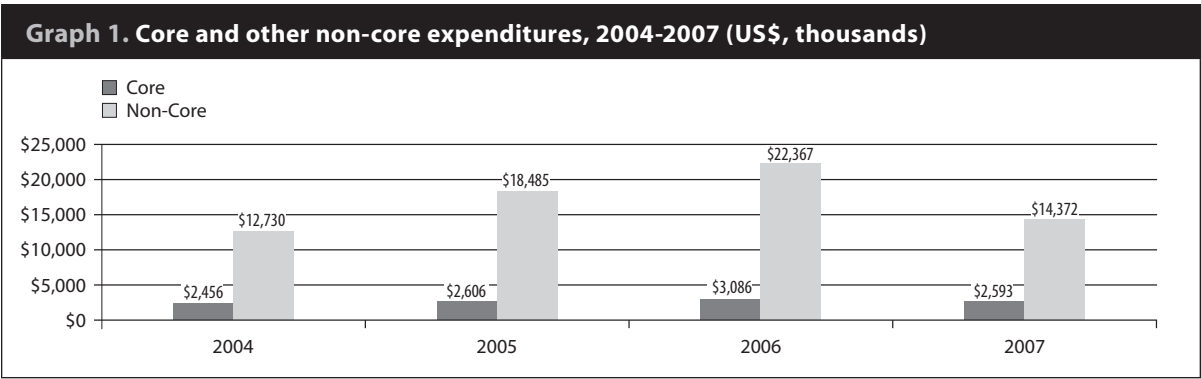
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Country	Philippines		Malaysia		Indonesia		Thailand		Viet Nam	
Year	2000	2005	2000	2005	2000	2005	2000	2005	2000	2005
Indicator										
High-technology exports (% of manufactured exports)	59	71	59	54.7	16	16.3	32	26.6	n/a	5.6
Official development assistance received (net disbursements) (US\$, millions)	578	562	45.5	31.6	1,731	2,524	641	-171	1,700	1,905
Official development assistance received (net disbursements) per capita (US\$)	7.6	6.8	2	1.1	8.2	11.4	10.2	-2.7	21.8	23
Official development assistance received (net disbursements) (% of GDP)	0.8	0.6	0.1		1.1	0.9	0.5	-0.1	5.4	3.6
GINI Index		44.5		49.2		34.3		42		34.4

Source: Human Development Report 2000 and 2007-2008.

Annex V

PROGRAMME DELIVERY



Source: Executive Snapshot V 4.5 as of August 2008.

