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**PROJECT DOCUMENT**  
**The Philippines**

**Award Title and No.: Low Emission Capacity Building Programme – Philippines  
(LECB Philippines Project) 00061970**

<b>Project Title and No.:</b> LECB – Philippines Phase 1, ATLAS Output 00079132 and;	<b>Project Title and No.:</b> NDC Support Project for the Philippines, ATLAS Output 00109317
<b>Start Date:</b> April 2012	<b>Start Date:</b> 1 August 2018
<b>End Date:</b> August 2018	<b>End Date:</b> 31 July 2020
<b>PAC Meeting date:</b> 29 February 2012	

**Implementing Partner:** Climate Change Commission.

**Justification for Project Document Revision**

The Low Emission Capacity Building (LECB) project in the Philippines is an initiative funded by the EU and the government of Germany, implemented by UNDP, and executed by the Climate Change Commission. The project, which was launched in 2012, has achieved a range of significant results to date, culminating in the design of an NDC roadmap to guide the government on how to achieve its commitments under the Paris Agreement on Climate Change, a landmark global agreement adopted in December 2015.

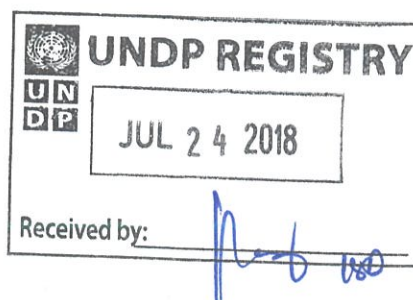
This substantive revision has been prepared to design a new set of outputs with funding from the governments of Germany and Spain and the EU as part of a rebranding of the global LECB Programme under the NDC Support Programme. These funds will allow the Climate Change Commission to further advance the LECB project work and institutionalise its climate change efforts by strengthening the governance structure for implementation of the Paris Agreement in a gender-responsive manner, and putting in place the enabling environment to attract climate finance.

Contributing Outcome (UNDAF/CPD, RPD or GPD): CP Outcome 54 Adaptive capacities of vulnerable communities and ecosystems are strengthened to be resilient to threats, shocks, disasters and climate change.





Indicative Output(s) with gender marker:  
SP Output 1.4 scaled up action on climate change mitigation and adaptation across sectors which is funded and implemented

GEN2 (Gender equality as a significant objective)  
GEN2 marker is applied at project output level

<b>Total resources required:</b>	ATLAS 00079132	ATLAS 00109317
	\$1,334,500.00	\$802,500.00
<b>AWP for 2018:</b>	\$ 212,227.36	\$372,242.30
<b>Total resources allocated:</b>	\$ 2,137,000.00	
• UNDP TRAC:		
• Donor (BMUB):		\$802,500.00
• Donor (EC/EU, Germany; Australia)	\$1,334,500.00	
• Government:		
• In-Kind:		
<b>Unfunded:</b>		



Agreed by:

Climate Change Commission	UNDP Country Office	National Economic Development Authority
 EMMANUEL M. DE GUZMAN Secretary and Vice-Chairman	 TITON MITRA Country Director	 ROLANDO G. TUNGPALAN Undersecretary 
Date:	Date: JUL 30 2018	Date:

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## I. BACKGROUND

Launched in 2012, the Low Emission Capacity Building (LECB) Philippine Project has achieved numerous results which the Climate Change Commission has been using as reference in making informed decisions. These include:

- a) Institutionalized the Philippine Greenhouse Gas Inventory Management and Reporting System (PGHGIMRS) through the issuance of Presidential Executive Order 174 and the preparation of the corresponding Guidance Document and Reference Manual that ensure the adoption and streamlining of GHG reporting activities into the regular mandates and responsibilities of relevant national government agencies, thus laying the foundation for transparency and improved climate-smart planning and decision-making.
- b) Identified, selected and prioritized the list of Nationally Appropriate Mitigation Actions which was used as basis for the identification and selection of mitigation actions for the country's Intended Nationally Determined Contribution (NDC).
- c) Developed Measurable, Reportable and Verifiable (MRV) systems framework to keep track of the overall performance of the mitigation actions and provide assurance to stakeholders that projects and programs meet clear standards, their implementation is carefully monitored, and the progress is reported and results are verified.
- d) Developed the GHG Inventory Protocol and Inventory Management Plan for the private sector as a standard for Philippine companies in developing an entity-level GHG inventory, providing guidance on how to conduct accounting and accurate reporting that are compatible with international standards.
- e) Developed the National Integrated Climate Change Database Information and Exchange System (NICCDIES) that provides the structural architecture to consolidate climate change mitigation data and information and to support the three central elements of the Philippines MRV system namely: (1) national GHG Inventory; (2) mitigation actions and LEDS; and (3) MRV of support. The NICCDIES shall also be a national "one-stop-shop" information portal for climate change mitigation actions/activities.
- f) Developed a capacity building plan to strengthen the capacities of stakeholders in the planning, design, and implementation of climate change mitigation activities.
- g) Developed a Private Sector LEDS Roadmap to identify opportunities for public-private partnerships (PPP) to address climate change as well as to select the most suitable strategies to engage the private sector in the formulation and implementation of Low Emission Development Strategies (LEDS).
- h) Developed a National Recognition and Rating Program for Best Practices in Mitigation to recognize efforts of the business and industry sectors in mitigating climate and encourage them to implement climate change mitigating actions.
- i) Developed a suite of knowledge products and a system for capturing and applying lessons learned by the project, for dissemination to the public.
- j) Development of the NDC Roadmap and Action Plan that would enable the Philippines to design, implement and report the results of its carbon emission reduction activities and mitigation actions to the UNFCCC under the Paris Agreement on Climate Change.

This work has culminated against the backdrop of one of the most significant international decisions on climate change. The Paris Agreement on Climate Change is a landmark agreement reached at the 21st Conference of the Parties (COP21) of the United Nations Framework Convention on Climate Change (UNFCCC) in Paris, France, in December 2015. The Agreement aims to limit the global temperature rise to well below 2°C above pre-industrial levels and to pursue efforts to limit

the increase even further to 1.5°C. Leading up to COP21, countries were asked to publicly declare what actions they intended to take under the new global agreement. The country commitments, known as Intended Nationally Determined Contribution (INDC), were the primary means for governments to communicate internationally the steps they would take to address climate change in their own countries. INDCs reflect a country's ambition for reducing greenhouse (GHG) emissions, taking into account domestic circumstances and capabilities. The INDC can also address how a country will adapt to climate change impacts and what support it needs from other countries to adopt low-carbon pathways and to build climate resilience. It is in this context that the Philippines submitted an INDC to the UNFCCC in 2015 ahead of the Paris Agreement, emphasizing that climate change adaptation is a priority over mitigation.

The global LECB Programme has received significant new funding to support participating countries on their NDC implementation efforts and maintain the momentum and commitment of the Paris Agreement. To reflect the critical importance of NDCs as the mechanism for delivering countries' vision on climate change and, through these, the Paris Agreement, the global programme is also being rebranded as the NDC Support Programme.

As a good practice, this substantive revision provides an update on the development challenge in the Philippines and an updated strategy and theory of change (Annex 6) for defining the anticipated key results.

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## II. DEVELOPMENT CHALLENGE

The Philippines is the second largest archipelago in the world, consisting of three main groups of islands, namely, Luzon, Visayas and Mindanao. It is situated in Southeast Asia and has a diverse population of about 100.98 million<sup>1</sup>. The Philippines' Human Development Index (HDI) value for 2015 is 0.682, which places the country as medium development, and positions it at 116 out of 188 countries and territories<sup>2</sup>. Between 1990 and 2015, the Philippines' HDI increased 16.3 percent, with advances in life expectancy, schooling, and gross national income per capita. However, disparities remain in income and quality of life across regions and sectors, with 6.3% of the population classified as multi-dimensionally poor, while an additional 8.4 per cent live near multi-dimensional poverty<sup>3</sup>.

On the other hand, the Philippines has achieved a high women's advancement index<sup>4</sup> in Asia and the Pacific. With a rank of 71.4, it is on par with New Zealand (78) and Australia (76). Notable is how white-collar positions are occupied by women, with a ratio of 2:1. (Plant machine operators, farmers, fishermen, laborers, and other unskilled workers were still dominated by men.)<sup>5</sup> However, in all age brackets, men are more economically active than women. In 2015, 77.3% of men were in the labour force, compared to 50.1% of women. Additionally, in terms of land ownership, registered emancipation patents or recipients of land ownership as accorded by the Comprehensive Agrarian Reform Program indicated only 13.8% ownership by women in 2015.

In 2016, with an average full-year growth rate of 6.8 percent, the Philippines was the fastest-growing economy in Asia – surpassing even China (6.7%) and Vietnam (6.2%)<sup>6</sup>. Growth only slightly slowed in 2017 to 6.5 percent by the second quarter. The growth is fueled by industry (especially manufacturing, and mining and quarrying), large investments in infrastructure, a recovering agriculture sector, the services sector, and strong consumer spending. Consumer confidence has been spurred by modest inflation rates and improving labor market conditions. Meanwhile,

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<sup>1</sup> Philippine Statistics Authority. As of August 2015.

<sup>2</sup> UNDP Human Development Report, 2016.

<sup>3</sup> Ibid.

<sup>4</sup> Note: Comprising three main components - 'Employment', 'Capability' and 'Leadership' - the results underscore inconsistency in the pace at which women are progressing at each component level.

<sup>5</sup> Philippine Statistics Authority, 2014.

<sup>6</sup> National Economic Development Authority

government consumption expanded by 7.1 percent from a meager 0.1 percent in the first quarter of 2017. This shows a marked improvement in the absorptive capacity of government agencies.

The Philippine Development Plan (PDP), 2017-2022, seeks to create inclusive growth with priority strategies for agriculture, industry and services sectors that will be backed by a comprehensive public investment program, but would still need the support of the business sector and civil society. In the agriculture sector, which employed around 29% of the population in 2015 and contributed 9% of GDP<sup>7</sup>, the goal is to increase the income of farmers and fisher folk. The priority strategies are diversification into high-value crops and greater value-adding activities. In the industry and services sectors, the goal is to increase productivity and efficiency and also focus on sectors with highest growth potentials to generate the most jobs. These include: tourism; business process outsourcing; mining; agri-business and forest-based industries; logistics; shipbuilding; housing; electronics; and infrastructure. The private sector, especially the medium and large enterprises, are expected to take the initiative to link up with the micro and small enterprises.

The socio-economic landscape of the country is changing. Population is expected to increase by 8.3 million between 2017 and 2022. Urbanization will continue to rapidly take place and will pose a challenge to service delivery in social services, infrastructure and transport facilities, electricity and power, and other basic needs, all of which could exacerbate air and water pollution and generate more waste.

The biggest threat to economic growth is the unreliability and high cost of electricity. The Philippines has some of the most expensive electricity in Southeast Asia<sup>8</sup>, averaging \$0.18 per kilowatt-hour in 2009 because of: (i) archipelagic geography which makes electricity costly in some areas; (ii) inefficient generation, transmission, and distribution systems; and (iii) low investment in the sector, coupled with the high cost of investments made during the country's power crisis in the 1990s. Meanwhile, the country's energy use in 2016 was defined by a significant increase of 10.2 percent and peak demand at 8.7 percent, which was attributed to the growth of residential consumption, El Niño, national and local elections, and the entry of large power-generating plants. The Government is pursuing policy thrusts and programs, as embodied in the Philippine Energy Plan prepared by Department of Energy, in support of national economic development, aims to: (a) ensure energy security, (b) achieve optimal energy pricing, and (c) develop sustainable energy system.

Of the total energy generation, 89 percent of which is delivered to the grid, 48 percent comes from coal, 22 percent from natural gas, 6 percent from oil-based generation, and 24 percent from renewable energy (primarily geothermal and hydropower). Gaps in access remain in rural areas, and challenges include high cost of fuel and logistical support, low household willingness to pay, low technical absorptive capacities of electric cooperatives, increasing demands from households, institutional bottlenecks, and few private sector participants.

Being an archipelagic country, the Philippines is highly vulnerable to the impacts of climate change and natural hazards. In the Global Climate Risk Index of Germanwatch, the Philippines ranked fifth overall on the long-term Climate Risk Index (CRI) for the period 1994 to 2014, and first in 2013. Climate change and natural hazards will progressively impact sectors that are strategically important for the growth of the economy, e.g., agriculture, fisheries, and water resource management. If not acted upon, increases in temperature, coupled with changes in precipitation patterns and hydrological regimes, can only exacerbate the country's existing vulnerabilities, threatening its sustainable development and the survival of future generations of Filipinos.<sup>9</sup>

The adverse impact of climate change on economic development is apparent from economically and socially disruptive extreme weather events, including typhoons and flash flooding, that are

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<sup>7</sup> Philippine Statistics Authority.

<sup>8</sup> ADB Country Partnership Strategy: Philippines, 2011–2016: Sector Assessment (Summary): Energy.

<sup>9</sup> Philippine Intended Nationally Determined Contribution, 2015.

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expected to become more frequent in the future. The concentration of population in urban and coastal areas greatly exacerbates the level of injury and death from natural disasters, causing estimated direct economic losses of at least several hundred million dollars annually<sup>10</sup> (USAID 2011). Total losses from Typhoon Haiyan in 2013 were estimated to be between US\$12 to 15 billion, in addition to thousands of lives lost and millions made homeless. In 2012, the Climate Change Act (2009) was amended to establish the People's Survival Fund, a long-term finance stream to assist the government to effectively address climate change in partnership with local communities and NGOs. As the Philippines economy continues to grow, the government is continuing to work to address the growth-related sustainability challenges that may slow down the pace of improvement in quality of life for its citizens.<sup>11</sup>

In 2010, the Philippines emitted 144.9 MtCO<sub>2</sub>-eq of GHGs<sup>12</sup>. The energy and transport sectors accounted for about 52 percent (55.7 and 25.3 MtCO<sub>2</sub>-eq, respectively) of total emissions followed by the agriculture and waste sectors with 31 percent and 10 percent, respectively. Total emissions increased significantly (500%) compared to the 2000 GHG inventory, although data needs to be treated with care due to changes in methods between the two inventories.

The mitigation component of the Philippines' INDC indicated an overall emission reduction goal of 70% by 2030 relative to a business-as-usual (BAU) scenario for 2000-2030. The 70% target is entirely conditional on financial support for the implementation of mitigation actions.

The President signed the Instrument of Accession for the Paris Agreement on 28 February 2017 with the Senate of the Philippines unanimously adopting a resolution concurring to the accession on 14 March 2017. The Instrument of Accession was accepted/approved by the UNFCCC on 23 March 2017 and officially entered into force on 22 April 2017.

With the Philippines' accession to the Paris Agreement, the Philippine Climate Change Commission is taking the lead in developing an NDC framework and roadmap. The NDC is to present a paradigm shift toward low-carbon development and will be aligned with national policies and strategies so as to also promote the country's economic development and industrialization goals. The development of the Philippine NDC roadmap is guided by the following principles as espoused by the government:

- a) It should emphasize adaptation as the anchor strategy and mitigation will be pursued as a function of adaptation, in consideration of the Philippines' vulnerability to climate change impacts. The main driver will not be emission reduction but the "co-benefits" or impact on sustainable development of mitigation actions. Implementation of the mitigation actions is contingent on financial support, including technology transfer and capacity building that will be received;
- b) It should allow the country to industrialize and not be pressured to limit its carbon emissions (**climate justice**);
- c) It shall advocate for developed countries to pay for climate change related damages in vulnerable countries such as the Philippines (**compensation, loss & damage**); and
- d) It should be aligned with the national long-term vision and strategies under the Philippine Development Plan towards inclusive growth and a globally-competitive economy.

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<sup>10</sup> Philippines Country Development Cooperation Strategy 2013-2018.

<sup>11</sup> Second National Communication to the UNFCCC.

<sup>12</sup> USAID Cost-Benefit Analysis (CBA) Study, 2016.



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### III. STRATEGY

Even though the government priority is climate change adaptation, and this is reflected in UNDP's Country Programme Document (CPD) priority support for 2012-18<sup>13</sup>, efforts are underway to reduce GHG emissions from energy and transport. Interest in renewable energy is strong, with the Renewable Energy Act (RE Act) of 2008 and the National Renewable Energy Program (NREP) of 2011 helping to create substantial interest in renewable energy-based power generation projects that aim to triple 2010 capacity levels by 2030. These efforts will be supported by the UNDP GEF-funded Development for Renewable Energy Applications Mainstreaming and Market Sustainability (DREAMS) project that was approved for implementation last year. Similarly, a second UNDP-GEF project was approved for implementation last year that will create an enabling environment for the commercialization of low-carbon urban transport systems, thereby addressing rapidly increasing GHG emissions from road transport that have resulted from the transport planning model adopted in the Philippines and many other Asian countries that prioritized the movement of cars and motorized vehicles to address the growing demand for passenger mobility.

Nonetheless, challenges remain for the NDC is to be translated to an "investment-ready" action plan to unlock climate finance opportunities that would help the country shift to low-carbon development, create green industries and new jobs, reduce vulnerability, and build resilience. While the Philippines' NDC is 2°C compatible if proposed targets to reduce GHG emissions from energy, industry, agriculture and forestry are achieved,<sup>14</sup> coal-fired electricity generation could hinder NDC achievement and full implementation of both the NREP and the Energy Efficiency and Conservation Roadmap will be needed.

Through focus group discussions with both public and private stakeholders in the agriculture, waste, industry, transport, forestry and energy (AWIT-FE) sectors, as well as nationwide multi-stakeholder consultations and business summits, the CCC has initiated the analysis of potential barriers to the implementation of the mitigation actions under the NDC (i.e., policy, institutional, technology, financing, etc.). The discussions have yielded a variety of suggestions to overcome the barriers which are reflected in this project proposal, ranging from awareness raising on climate finance opportunities and capacity building for entrepreneurs and the banking sector. A critical issue is to put in place the requisite enabling environment to attract and access sufficient financing to advance all the priority actions identified in the NDC and to address key barriers to implementation, including demonstration of the opportunities afforded by climate change mitigation efforts to advance the sustainable development goals.

In delivering on these needs, the project can also deliver on the CPD by encouraging the private sector to include sustainable development as part of their business agenda, while enhancing social accountability in public service delivery. Capacity development efforts will target national and local duty-bearers to facilitate the formulation of policies to improve access to an enhanced natural resources base, sustainable energy and a cleaner environment as capital for poverty reduction. Sustainable climate change adaptation and mitigation measures will be promoted that are risk-informed and allow the Philippines' government to retain a mantle as a global climate change leader.

Drawing upon the UNDP global NDC Support Programme framework, the following four outputs will thus be pursued to advance gender-responsive NDC implementation:

1. *Integrated governance enhanced*: The cross-cutting nature of climate change requires an integrated development response and increased ownership of a broad range of stakeholders in finding solutions. This output will support the government to ensure it is "fit for purpose"

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<sup>13</sup> The CPD aims to strengthen capacities of the local government and communities to address climate change adaptation (which includes mitigation as an adaptive approach) while ensuring that human rights and gender are integrated into local policies, processes, programs and budgets.

<sup>14</sup> Climate Action Tracker. Updated 6 November 2017.

for gender-responsive NDC implementation by promoting a strengthened whole-of-government approach that brings together and capacitates relevant lines of agencies and parliamentarians at national and sub-national level as well as non-state actors (private sector representatives, NGOs, youth leaders, vulnerable communities, academia, and other development practitioners) to work in a coordinated and adaptive response to climate change. The Philippines will also strengthen existing institutional and data collection structures for NDC implementation using a gender-responsive approach.

2. *Evidence-based planning, design and implementation of NDC actions:* Under this output, line agencies in key sectors will be supported to translate NDC targets into achievable actions (sectoral mitigation action plans) and to design associated climate investment plans and/or financial strategies.
3. *Capacities developed to design climate-friendly investment opportunities:* The transformation of economies to create a long-term, stable investment environment for delivering action at scale requires enormous new investments as well as shifts in existing finance flows. Under this output, the CCC will identify investment risks and barriers and address with gender-responsive policy and financial levers to scale up climate action and create livelihood opportunities and a more vibrant private sector. Gender-responsive financial mechanisms will also be explored.
4. *Private sector engaged:* Business can make its contributions to NDC implementation most effectively within an overall policy framework that is transparent and predictable and encourages competitive market-based options and innovations. The engagement of private entities is critical to ensure that private incentives are fully aligned with a country's sustainable development vision.

A significant portion of project funds is earmarked to advance gender equality and women's empowerment in NDC design and implementation, building upon the results of a 2016 UNDP assessment of the extent to which the NDCs recognized and/or integrated gender equality<sup>15</sup>. The analysis found that of the 161 INDCs submitted at that time, only 40% (65 countries) made at least one reference to gender equality and women's empowerment, and primarily related to the role of women in adaptation, but without specific mention of key sectors or women's roles. The Philippines was recognised in the report for its references to gender mainstreaming and to equating gender equality to human rights, as well as good practices in relation to the People's Survival Fund under the CCC. Through this project, the CCC will further improve opportunities for comprehensively integrating gender considerations into NDC planning and implementation.

As part of its policy and advocacy leadership, the CCC shall pursue the following strategies in the implementation of the project:

- a) Raise awareness and enhance understanding of all sectors on climate-resilient investments;
- b) Institutionalize legislative measures and policy reforms;
- c) Advocate green growth and promote climate-smart industries; and
- d) Develop clear action and implementation plans anchored on the National Climate Change Action Plan.

Through the focus on cross-cutting issues such as gender, poverty reduction and capacity development, the project is linked with the UNDAF focus for the Philippines. The guiding strategy is for UNDP to ensure the necessary linkages of this national project with the UNDAF in close coordination with the government more specifically by:

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<sup>15</sup> Gender Equality in National Climate Action: Planning for Gender-Responsive Nationally Determined Contributions, UNDP, 2016.



- a) Understanding both the beneficial and detrimental linkages between climate change and development;
- b) Using this knowledge to strengthen the national development framework and UNDAF priorities;
- c) Addressing climate change related risks and opportunities as early as possible in UN-supported programmes and projects; and
- d) Tracking progress towards achievement of UNDAF outcomes, including their contribution to climate resilience and low-carbon development at the national level.

The project's activities and outcomes have been designed to likewise ensure sustainability and replicability and are guided by existing government policies on climate change, including the goal of the Philippines' National Climate Change Action Plan to "build the adaptive capacities of women and men in their communities, increase the resilience of vulnerable sectors and natural ecosystems to climate change, and optimize mitigation opportunities towards gender-responsive and rights-based sustainable development". This project recognises that the implementation of truly ambitious NDCs requires strengthened legislative and institutional frameworks to mainstream and implement long-term strategies for carbon-neutral development and to improve understanding of where and how to access, catalyse and redirect scarce public resources to leverage private sector investments and address market barriers. Addressing these concerns, while also ensuring that no-one is left behind, will require a coordinated approach that engages not just the whole of government at national and lower levels, but also ensures a mechanism for engaging key stakeholders from the private sector, parliamentarians, civil society, media and academia, all of whom have key roles to play.

The key assumptions of this project are that:

- political support for NDCs and the Paris Agreement does not diminish and the government's vision for development can be fully aligned with the NDC vision and the SDG agenda;
- the Philippine Government is willing to engage a broad range of stakeholders, including CSOs and the private sector, in a whole of society approach to NDC design implementation and to address barriers to institutional collaboration and gender equality;
- the financial sector and investors will be interested in supporting government-promoted NDC mitigation actions; and
- the private sector understands that engagement in NDC implementation will deliver long-term security for a wide range of inter-locking business interests.

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## IV. RESULTS AND PARTNERSHIPS

### *Expected Results*

The government of the Philippines will be supported to achieve transformational change by using NDC implementation as a tool for scaling up public and private investments in climate change efforts to deliver sustainable development, recognising that the empowerment of women is integral to success. The project will target all six sectors responsible for GHG emissions, i.e. agriculture, waste, industry, transport, forestry, and energy, which have typically been referred to as "AWIT-FE" sectors under the LECB PHL Project and complementary USAID EC-LEDS Project.

#### **Output 1: Integrated governance enhanced to deliver NDC outcomes**

It is increasingly recognised that governments must move from siloed responses to more holistic climate change action for successful NDC design and implementation. The cross-cutting nature of climate change requires an integrated development response and increased ownership of a broad

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range of stakeholders in finding solutions. Under the LECB PHL Project, the government has designed an NDC roadmap that defined the role of CCC as the national NDC Coordinating Office. Furthermore, NDC targets should be integrated into the national and local development plans of the country. Developing capacity at the national and subnational levels shall therefore be pursued to raise awareness of the NDC and to integrate gender into climate change policy and gender-responsive NDC planning in all sectors and at all levels. Under this output, institutional frameworks and coordination mechanisms proposed and/or being developed for I/NDC implementation will be revisited/reviewed to ensure gender integration into climate planning and policy processes/bodies at the national and sub-national level, drawing upon the gender analysis conducted under Output 2.1.

The gender analysis would include frameworks and mechanisms under E.O. 174 on the institutionalization of the PGHGIMRS in focal government agencies/AWIT-FE sector and the MRV system for mitigation actions (NICCDIES)..

As a result of this work, institutional coordination structures for NDC implementation will be strengthened and gender-responsive recommendations introduced in order to establish a framework that would incorporate gender concerns into all policies, programmes and actions towards addressing the imbalances and inequalities between women and men. Key government agencies will be capacitated to improve gender mainstreaming and measurement of results.

### ***1.1: Gender-responsive institutional framework for NDC implementation formalised and strengthened***

#### Activities:

- 1.1.1: Participatory process defined to deliver inclusive planning approach to NDC implementation at national, sub-national and/or local levels that expands on “whole-of-government” with a people centred approach;
- 1.1.2: Climate Change Office strengthened or “National NDC Coordinating Office” created as the overall coordinating body for NDCs.
- 1.1.3: Build capacity for policy articulation to mainstream gender in the context of NDC implementation (based on gender analysis recommendations, Output 2.1);
- 1.1.4: Institutional frameworks and coordination mechanisms established/strengthened as well as establish linkages between (i) SDGs and NDCs in effectively combating climate change, and (ii) national and sub-national agencies, for the mainstreaming and implementation of gender-responsive NDC actions into planning and implementation processes (based on gender analysis recommendations, see Output 2.1);
- 1.1.5: Provide support and assistance for the review and identification of plans and projects related to NDC implementation in order to ensure gender-responsive budgeting in government’s annual budget and CCET process of the CCC.

### ***1.2: Monitoring and transparency systems for NDC implementation enhanced***

#### Activities:

- 1.2.1: National and sub-national MRV system and coordination bodies institutionalized (based on the MRV System Framework developed under LECB PHL Project) or strengthened to ensure transparent MRV of multiple impacts, including contribution to SDG targets, especially SDG5 (based on gender analysis recommendations, Output 2.1);
- 1.2.2: Pilot testing of MRV plan/systems for GHG emissions, mitigation actions and means of implementation; and

- 1.2.3: Gender equality tools, indicators and data systems established/developed to track and report on gender-responsive mitigation measures (based on gender analysis recommendations, Output 2.1).

## **Output 2: Evidence-based design and planning of mitigation actions delivered**

While climate targets provide the national collective vision for climate-informed development, the Philippines has not yet assessed how to disaggregate its conditional NDC national target of 70% reduction by 2030, relative to its BAU scenario of 2000-2030, to sectoral level to deliver on mitigation ambitions. Under this output, line agencies in the AWIT-FE sectors (agriculture, waste, industry, transport, forestry and energy) will define achievable and ambitious sectoral targets. Sectoral roles and responsibilities will be agreed in a fully inclusive manner and implementation timelines and costs defined, along with financial strategies for targeting and accessing the most appropriate required sources of finance. Sub-national plans may also be articulated in line with the new government emphasis on decentralisation and welfare of marginalised sectors of the economy.

Furthermore, the NDC Roadmap being developed by CCC under the LECB PHL Project should be gender-responsive. As a first step, an in-depth gender-climate change analysis of the relevant legal, policy, institutional and programmatic frameworks and key reports for NDC implementation will be conducted. Other government institutions and linkages and arrangements related to I/NDC implementation such as NAP, REDD+, LEDS, Government Budget Tagging, NCs/BURs, and other policy instrument shall also be analysed and an action plan will be developed for incorporating gender issues across a set of key entry points for NDC implementation and findings incorporated into the associated project outputs. Barriers to implementation of the action plan recommendations will also be identified and incorporated into the action plan developed.

### **2.1: Gender action plan developed and implemented**

#### Activities:

- 2.1.1: National conditions and the NDC Roadmap analysed to understand gender context of NDC implementation;
- 2.1.2: Gender assessment of existing climate planning/policy/ and reporting instruments and mechanisms (e.g., NAPs, NAMAs, LEDS, REDD+, NC/BURs, INDC, etc.) undertaken to identify strengths and weaknesses;
- 2.1.3: Relevant sector policies, strategies analysed/prioritised from gender equality and NDC perspective;
- 2.1.4: Institutional coordination mechanisms identified for more effective and systematic participation of women and gender issues in NDC implementation;
- 2.1.5: Action plan developed and implemented to achieve more gender-responsive NDC design and implementation efforts, including measures/strategies to transform gender stereotypes in priority sectors.

### **2.2: NDC mitigation targets refined and/or disaggregated**

#### Activities:

- 2.2.1: Sectoral mitigation actions and targets translated into gender-responsive sectoral NDC action plans for four priority sectors, that include business models and financing strategies, and government programs and projects for each priority sector at the national/sub-national levels that would support the implementation of mitigation actions.
- 2.2.2: Sectoral action plans further enhanced through studies to address data gaps and through stakeholder consultations.

### **Output 3: Capacities developed to design climate-friendly investment opportunities, address investor risk, and blend and catalyze climate finance**

As noted earlier, the CCC has conducted focus group discussions with both public and private stakeholders in the AWIT-FE sectors, as well as nationwide multi-stakeholder consultations and business summits, to initiate analysis of potential barriers to the implementation of the mitigation actions under the NDC. Furthermore, a private sector LEDS Roadmap was elaborated under the LECB PHL Project to identify opportunities for engagement. Building upon this initial analysis and the sectoral mitigation action plans and financial strategies elaborated under Output 2.2, the project will systematically identify investor risks in two sectors and the most appropriate policy and financial tools for addressing and removing these risks.

Climate change impacts and responses have a high cost. Gender-based discrimination, poverty and traditional and historical productive and reproductive roles in society put women in a position of vulnerability. In addition to taking a heavy toll on the economy, climate change impacts will worsen poverty and progress made towards achieving the SDGs. At present, climate finance funds and mechanisms in the Philippines display varying levels of gender sensitivity, but more effort is still needed to ensure that all sources of climate finance systematically take gender issues into account and benefit the most vulnerable groups of society, including women. Drawing upon the results of the gender analysis (Output 2.1), best practices from multilateral funds and financing mechanisms, as well as the experience under the People's Survival Fund, the project will assess how to better integrate gender concerns into existing and future climate finance mechanisms for two priority sectors. Mitigation and adaptation project portfolios will be screened as part of this analysis.

As a result of this work, investor risks for mitigation actions will be identified and addressed through policy and financial levers to derisk and to enhance the enabling environment for NDC investments. Financial mechanisms will be established to attract investments in priority actions, including those that are gender-responsive.

#### **3.1: Investors risks assessed and barriers removed in 2 priority sectors**

##### Activities:

- 3.1.1: Private climate finance flows mapped to assess climate finance investment trends and leveraging effects of public policies;
- 3.1.2: NDC investor risks identified or quantified and inclusive financial and policy instruments assessed and applied to reduce risks and incentivize participation of private sector in NDC implementation;
- 3.1.3: National actors (public and private) capacitated to access, blend, catalyse and coordinate climate finance, including targets for women's enterprises.

#### **3.2: Sustainable finance mechanism(s) established to scale up NDC mitigation action in 2 priority sectors, including mechanisms that are gender-responsive**

##### Activities:

- 3.2.1: Social and gender impact analyses of financing for adaptation and mitigation projects conducted to identify policy recommendations for gender-responsive finance mechanisms;
- 3.2.2: Climate finance strategies/mechanisms as well as the proposed institutional arrangements reviewed for the oversight and coordination of climate finance activities, based on the NDC Roadmap/Framework developed by the LECB PHL Project;
- 3.2.3: Project pipeline and financing propositions/mechanisms developed that can be put forward to different financing sources for consideration.

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#### **Output 4: Enabling environment enhanced for private sector engagement**

Public-private partnerships can create an environment of trust, openness and informational symmetry and help governments to address regulatory and legislative hurdles that are impeding low-carbon investments. Under this output, the annual business summits and associated outreach efforts that were initiated as part of National Climate Change Consciousness Week Celebrations in 2013 will be continued to create a proactive and participatory approach to identifying the areas in which the private sector can best contribute to NDC implementation and support the transparency and credibility of efforts.

As a result of this work, private sector engagement will be continuously strengthened by providing a defined role in the implementation plan of the NDC and promotional plan of the private sector LEDS roadmap. Policies and incentives will be designed for the private sector to pursue inclusive NDC investment opportunities that can equally contribute to the Philippines Development Plan and SDG targets.

#### **4.1: Private sector systematically engaged on inclusive NDC investment opportunities**

##### Activities:

- 4.1.1: Business summits conducted to provide periodic engagement on NDC design and implementation and promote benefits of low-emission, risk-informed actions;
- 4.1.2: Women's roles in management and private sector decision-making promoted to enhance women's access to non-traditional jobs;
- 4.1.3: Subnational and non-state actors' initiatives mapped and emission reductions quantified against emission reference level in NDC;
- 4.1.4: Development of Online GHG Registry for Private Sector and Seals Program Protocol;
- 4.1.5: Partnerships with subnational and non-state actors formalised for inclusive NDC investment opportunities.

##### Strategic linkages to UNDP programming

The project directly supports the UNDAF, CPD (2012-18) and UNDP's Strategic Plan (2018-2021) by:

- advancing support of Agenda 2030 as part of the UN system and focusing on poverty eradication as the highest priority;
- supporting and advancing options to promote solutions for a sustainable planet by promoting sustainable use of natural resources in solving pressing development challenges such as poverty, climate change, and the shortage of food and clean water; ;
- helping to accelerate structural transformations required to transition to zero-carbon development, while addressing inequalities and exclusion, and by building more effective governance systems that can respond to megatrends such as urbanisation, technological change and demographic change;
- strengthening partnerships with the private sector;
- advancing gender equality and empowering women by mainstreaming gender considerations into NDC implementation; and
- advancing youth empowerment and mainstreaming equity considerations for persons with disabilities and vulnerable populations.

The project has applied UNDP's mandatory Social and Environmental Standards (Annex 2) to integrate the overarching principles (human rights, gender equality and environmental sustainability) into project design. The project is also guided by UNDP's Gender Equality Strategy (2014-17), which seeks to advance gender equality and empower women as agents of change and leaders in the development processes that shape their lives to achieve a more inclusive, sustainable and resilient world, as well as UNDP's Empowered Youth, Sustainable Future strategy 2014-17, which is about resilience, sustainable and human development, and effective and democratic governance, calls on the young generations to become even more committed agents of change in the development processes.

### **Resources Required to Achieve the Expected Results**

Additional funding of \$802,500 has been allocated to this project for national and international experts and other associated costs (e.g. stakeholder consultations, awareness raising materials, etc). The goal is to leverage these funds to remove barriers to implementation and unlock private capital to significantly scale up mitigation actions, as described in the NDC.

The Philippines is one of 20 countries receiving direct financial assistance through UNDP's global NDC Support Programme. As such, technical assistance is also provided project counterparts via a Global Support Unit, which is located at UNDP HQ.

The global NDC Support Programme is funded by the German government (BMUB and BMZ), the European Union and the government of Spain (AECID). Regular engagement of Programme donors is expected and donor visibility guidelines will be provided to ensure appropriate recognition and use of donor logos on project materials.

### **Partnerships**

At the **national** level, the CCC and the project team has already been regularly engaging with other development partners to achieve more comprehensive results. For example, many activities have been conducted in collaboration with GIZ (through its SupportCCC and Information Matters projects) and USAID (through its B-LEADERS project).

For future work and in alignment with the guiding principles of the NDC Partnership, of which the Philippines is now a member, the following partnerships will be the most critical to pursue (see table).

<b>Project title</b>	<b>Development partner</b>	<b>Donor</b>	<b>Sector</b>	<b>Key deliverables/linkage to project theory of change</b>
Support to Philippines for developing NDCs	GIZ	IKI	N/A	Supports CCC on broad range of actions, including mobilization of climate finance for low-carbon, climate-resilient solutions.  Links to Outputs 1, 2, 3 and 4 and helps deliver NDC support fully in line with project outputs.
Mitigation Action Implementation Network (MAIN)	CCAP	IKI	N/A	
Mobilization of Private Investments for the	SouthSouthNorth, CDKN, LEDS GP	IKI	TBD?	Aims to mobilize private finance to support NDC implementation by identifying key sectors and

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Implementation of INDCs and LEDS				helping build climate-friendly investment plans  Links to Outputs 2, 3 and 4 and helps address investor risk barriers
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At the **global** level, UNDP is engaged a range of strategic partnerships through the NDC Support Programme, including the IKI NDC Support Cluster, the NDC Partnership, the LEDS Global Partnership, and the Partnership on Transparency in the Paris Agreement. The Programme's Global Support Unit will tap these networks to identify examples of challenges, good practices and solutions that can be shared with Filipino experts, and also promote experiences emerging from the Philippines with the same networks to illustrate the government's ambition on climate change.

#### UNDP synergies

The project will also seek synergies and exchange of best practices and tools with other key UNDP projects and initiatives on climate change that are relevant for NDC implementation, and more broadly with relevant initiatives on biodiversity conservation, disaster risk reduction, livelihoods and good governance. For example, the UNDP Regional Service Centre in Bangkok is advancing on gender-responsive budget planning in several other countries in Asia. The lessons could be valuable for this project. Among the key initiatives that UNDP Philippines is implementing are:

Project title	Donor	Sector	Key deliverables/ linkage to project theory of change
Development for Renewable Energy Applications Mainstreaming and Market Sustainability (DREAMS)	GEF	Renewable energy	<ul style="list-style-type: none"> <li>Promote RE through policy, financing, institutional strengthening, market development</li> <li>Potentially RE NAMA development</li> <li>Can provide inputs for sectoral mitigation plan (Output 2), investor risks (Output 3) and private sector engagement (Output 4)</li> </ul>
Commercialization of low-carbon urban transport systems	GEF	Transport	<ul style="list-style-type: none"> <li>Create enabling environment for urban transport systems</li> <li>Can provide inputs for sectoral mitigation plan (Output 2), investor risks (Output 3) and private sector engagement (Output 4)</li> </ul>
GCF Readiness Programme (with UNEP and WRI)	IKI/BMUB	N/A	<ul style="list-style-type: none"> <li>GCF pipeline elaborated can be used as input for sectoral mitigation plans (Output 2)</li> <li>Lessons from support to development of public-private partnerships to implement mitigation and adaptation solutions can feed into Output 4</li> </ul>

Furthermore, given the critical importance of aligning climate change efforts with the broader sustainable development agenda, the project will seek to identify linkages between the NDC implementation activities and Agenda 2030 and seek to align efforts wherever possible.

#### ***Risks and Assumptions***

Key risks and assumptions are summarised in the table below. For the full risk log, see Annex 3.

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Risks	Risk level (H/M/L)	Mitigating measures
Weak support of private sector stakeholders for NDC implementation.	L	Obtain strong buy-in of all key stakeholders through early engagement to ensure sufficient and sufficiently-capable resources are obtained. Address capacity building needs, especially at local level, to encourage full engagement. Need for stronger mechanism for private sector engagement and integration of initiatives into the NDC.
Lack of active participation of business associations, private sector and financial sector to finance, support and implement technically sound and financially viable mitigation actions.	L	Ensure that the prioritization process of mitigation actions includes business associations and private sector to secure buy-in as well as technical, social, and environmental review of options. Continuous advocacy of public, private and financial sectors to overcome mistrust and increase common understanding of mutual benefits to the achievement of NDC targets and SDGs.
Lack of appreciation by the government of the benefits of an ambitious NDC.	H	Demonstrate that the benefits of more ambitious NDC targets will accelerate development initiatives and processes (e.g. women's empowerment, youth employment, health improvements, etc).
Insufficient capacity of the government to implement the NDC.	M	Build the capacity of the government to maximize opportunities to support the NDC implementation.
<b>Assumptions</b>		
Political support for NDCs and the Paris Agreement does not diminish. The government will be willing to engage a broad range of stakeholders to progress towards NDC implementation. Private sector will be increasingly aware of the relevance of the national climate action and development agendas for both business continuity and development, and will understand that early participation will deliver long-term security for a wide range of inter-locking business interests. Private sector will thus welcome the opportunity to participate in NDC implementation. Financial sector will be interested in providing new products if a critical mass of technically qualified national and international enterprises will engage in governmental promoted NDC actions with completed pre-feasibility studies.		

### **Stakeholder Engagement**

The Climate Change Commission will continue to be the lead government agency tasked to oversee the project. The CCC shall also engage directly with the Philippine Commission on Women on implementation of all gender-responsive activities.

The following key stakeholders have been identified drawing upon the experience of the LECB project. The project will put in place inclusive processes to ensure that key stakeholders are engaged throughout the project's duration.

- **Government entities at national and sub-national level and autonomous agencies:** these stakeholders are essential for national ownership and to implement NDC actions through a "whole of government" approach. The project will target key line agencies in the priority AWIT-FE sectors as well as the Department of Finance and NEDA.
- **Women, women's groups and women-owned businesses:** NDCs need to recognize and support the role of women as active agents in addressing and responding to climate change. Based on the in-depth gender analysis that will be conducted, an action plan will be prepared to

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engage women, women's groups and women-owned businesses so that women can become more active in NDC implementation (e.g., "green" jobs programmes for women, more women in decision-making bodies, climate finance tools that support women's grassroots enterprises, etc).

- The **private sector** will continue to be vital partners for implementing and financing climate mitigation actions. However, as with other government-led endeavors, private sector has always been wary of additional policy or regulatory imposition especially those that would compel them to divulge data or information which they may deem harmful to their operations and/or would affect their competitiveness.

#### List of Stakeholders for Project Development and Implementation

Name of institutions / stakeholders	Reasons for inclusion (e.g. leading institution of a given sector/area, relevant research, data management, etc.)	Role in the implementation or assessment process (e.g. consultation, preparation of draft report, data provider)
Department of Agriculture	Leading Institution for Agriculture Sector	Consultation/Data Provider
Philippine Statistics Authority	Support Institution for Agriculture Sector and source of statistical data	Consultation/Data Provider
Department of Environment and Natural Resources – Climate Change Service	Leading Institution for Waste and Industry Sector	Consultation/Data Provider
National Solid Waste Management Commission Secretariat and EMB Solid Waste Management Division	Leading Institution for Solid Waste Sector	Consultation/Data Provider
Department of Environment and Natural Resources – Environmental Management Bureau – Climate Change Division	Leading Institution for Industry Sector	Consultation/Data Provider
Department of Trade and Industry – Board of Investments	Leading Institution for Industry Sector	Consultation/Data Provider
Department of Transportation	Leading Institution for Transportation Sector	Consultation/Data Provider
Department of Environment and Natural Resources – Forest Management Bureau	Leading Institution for Forestry Sector	Consultation/Data Provider
Department of Energy	Leading Institution of Energy Sector	Consultation/Data Provider
Department of Finance	Leading Institution for providing relevant information on the available financing schemes that the government can tap for the implementation of the NDC	Consultation/Data Provider
Department of Science and Technology	Leading institution for providing scientific and technological research	Consultation/Data Provider
National Economic and Development Authority	Oversight Institution/ Relevant agency for	Consultation/Approval

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	gender mainstreaming considering its mandates under R.A. 7192	
Philippine Commission on Women	Relevant for Gender Mainstreaming Research	Consultation/Data Provider

Other stakeholders include **vulnerable communities** who can be key beneficiaries of this project through expanded opportunities for livelihoods. Other important **national actors** for defining and delivering carbon-neutral, climate-resilient development include finance providers, civil society organizations, academia, vocational and training institutions, and the media.

### ***South-South and Triangular Cooperation (SSC/TrC)***

Experience has shown that countries benefit to a high degree from exchange among peers, advancing their own innovative solutions to climate change and drawing on indigenous knowledge. As the Philippines is one of 20 countries participating in the global NDC Support Programme, there is an opportunity to receive and apply innovative insights emerging from the global programme through structured peer-to-peer exchanges. Furthermore, the global Programme will tap other relevant initiatives where there are useful experiences, such as on gender-responsive budget tagging noted earlier.

Knowledge and lessons codified from the Programme and its partner networks will also be identified and disseminated by the Global Support Unit to all national project partners.

### ***Knowledge***

At the **global** level, knowledge management and learning is a core component of the global NDC Support Programme and thus the Global Support Unit will engage with all project partners, including the Philippines, to identify good practices and key results for dissemination. Therefore, the Philippines will benefit from the learning of others, as well as be able to disseminate results to a global audience via UNDP networks and those of key strategic partners including the IKI NDC Support Cluster and the NDC Partnership.

At the **national** level, it is recognised that the media will be key stakeholder for awareness raising and dissemination of results. Publications and media products will have full compliance with UNDP's Branding Guidelines as well as the visibility requirements of donors. Furthermore, given the capacity development and awareness raising focus of some activities, knowledge products will be developed that are targeted to particular audiences building on the experience and lessons of the LECB project.

### ***Sustainability and Scaling Up***

The project specifically aims to strengthen and adapt existing systems, as needed, for NDC implementation, including through mainstreaming of gender-responsive actions. A particular focus is the continued strengthening and enhancement of the NICCDIES system as well as the institutional framework for CCC activities.

The focus on private sector engagement and sustainable financing mechanisms will support the government to scale up and sustain mitigation actions that support low-carbon development by demonstrating the business case for, and opportunities afforded by, investment in climate change actions. Through the strengthening of institutional capacities and policy mechanisms, the Philippines will create an enabling environment that reduces investment risks, creates the conditions for reduced

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dependency on grant-funded initiatives by instead attracting private finance, and ensure gender responsiveness of national climate action.

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## **V. PROJECT MANAGEMENT**

### ***Cost Efficiency and Effectiveness***

This project will directly support the implementation of the Philippine NDC by laying the foundation to scale up public and private investments in climate change initiatives through a gender-responsive and inclusive approach. The project team will proactively engage, under CCC guidance, with other development partners supporting NDC implementation efforts in the Philippines in order to maximise use of resources and minimise potential areas of duplication. Applying a programmatic approach, while requiring coordination, will ensure synergies and learning can mutually benefit all partners.

The national project also benefits from participating within the UNDP global NDC Support Programme and the IKI NDC Support Cluster, which allows for continued exchange with other countries undertaking similar efforts around the world. As such, Filipino practitioners can identify opportunities for peer exchange and study visits and thus benefit from the learning and experiences of other governments and the Programme's strategic partners.

### ***Project Management***

The main change to the existing project management structure is the need to include a dedicated expert in the project team to support the gender-focused work stream.

## VI. RESULTS FRAMEWORK<sup>16</sup>

<b>Intended Outcome as stated in the UNDAF/Country Programme Results and Resource Framework:</b> CP Outcome 54 Adaptive capacities of vulnerable communities and ecosystems are strengthened to be resilient to threats, shocks, disasters and climate change.									
<b>Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:</b> Number of mechanisms, tools, systems and procedures on Environment and natural Resources, sustainable energy development and use, climate change adaptation and environment risk management									
<b>Applicable Output(s) from the UNDP Strategic Plan: SP Output 1.4 Scaled up action on climate change mitigation and adaptation across sectors funded and implemented</b>									
<b>Project title and Atlas Output Number: NDC Support Project for the Philippines, ATLAS Output 00109317</b>									
EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>17</sup>	DATA SOURCE	BASELINE		TARGETS (cumulative)				DATA COLLECTION METHODS & RISKS
			Value	2017	2018	2019	2020	FINAL	
Output 1 <i>Integrated governance enhanced to deliver NDC outcomes (GEN2)</i>									

<sup>16</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

<sup>17</sup> It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

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EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>17</sup>	DATA SOURCE	BASELINE		TARGETS (cumulative)				DATA COLLECTION METHODS & RISKS
			Value	2017	2018	2019	2020	FINAL	
	<p>1.1 Number of gender-responsive approaches integrated into institutional frameworks</p> <p>Baseline: No NDC office is officially established. Gender responsiveness of institutional frameworks will be reviewed during gender analysis (Output 2.1) and action plan prepared.</p>	<p>Documented gender-responsive policies and processes (reviewed annually); Highlights of meetings; List of Participants; Recommendation paper on NDC Office;</p>	0	2017	1	2	3	3	<p>Review government processes annually, against gender action plan. Formal adoption of institutional frameworks may be difficult</p>
	<p>1.2 Number of monitoring and transparency systems enhanced for NDC implementation</p> <p>Baseline: NICCDIES system designed but sectoral and sub-national aspects need improvement</p>	<p>Monitoring systems &amp; guidance documents</p>	1	2017	0	1 (pilot testing)	2 (tools, capacity building)	2	<p>Update logs and manuals for NICCDIES system. Lack of Inter-agency cooperation/collaboration</p>
<p><b>Output 2</b> Evidence based design and planning of mitigation options delivered (GEN2)</p>	<p>2.1 Action plan developed and implemented for mainstreaming gender into NDC implementation/MRV/Financial Plans</p> <p>Baseline: No targeted gender analysis of NDC implementation has been conducted.</p>	<p>Gender analysis</p>	0	2017	1	0	0	1	<p>Gender analysis results</p>

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EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>17</sup>	DATA SOURCE	BASELINE		TARGETS (cumulative)				DATA COLLECTION METHODS & RISKS
			Value	2017	2018	2019	2020	FINAL	
	2.2 No. of gender-responsive NDC sectoral implementation/action plans developed and costed  Baseline: NDC roadmap developed but no NDC sectoral implementation/action plans.	Sectoral roadmaps	0	2017	0	4	0	4	Review roadmaps Defining sector targets requires strong-buy in from sector stakeholders.
<b>Output 3</b> <i>Capacities developed to design climate-friendly investment opportunities (GEN2)</i>	3.1 No. of investment de-risking strategies implemented  Baseline: Some initial analysis undertaken on barriers to investment, but no systematic analysis.	Investor risk analyses	0	2017	0	0	2	2	Two sectors will be prioritized drawing from the Private Sector LEADS roadmap and sectoral NDC roadmaps as reference. May be difficult to put in place measures to address identified barriers & risks.
	3.2 No. of sectors with identified gender-responsive financing propositions/mechanisms to support NDC Implementation  Baseline: No gender-responsive financing propositions/mechanisms identified.	Philippine Commission on Women's policies and guidelines on gender-responsive planning/ financing of projects	0	2017	0	0	2	2	Two sectors will be prioritized. Should include both public and private financing opportunities.
<b>Output 4</b> <i>Enabling environment enhanced for private sector development (GEN2)</i>	4.1 No. of summits held to systematically engage private sector (including one dedicated session for women)  Baseline: Five (5) national annual summits and four (4) regional summits.	Summit Activity Reports; Private sector mapping	7	2017	1	2	3	3	Private sector may not see value in business summits. Gender targets may be difficult to meet.
	4.2 No. of private companies monitoring and reporting GHG emissions	GHG Reporting Protocol	Update by Dec 2018	2018					Update by Dec 2018

## VII. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans.

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	N/A	0
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	N/A	0
Learn	Knowledge, good practices and lessons will be captured regularly and communications products prepared, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions. Communications products prepared for national and international awareness raising.	IKI NDC Support Cluster partners	15,000
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	N/A	0

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<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	N/A	0
<b>Project Report</b>	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period. Contributions to the global programme's annual report will also be provided.	Annually, and at the end of the project (final report)		N/A	0
<b>Project Review (Project Board)</b>	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Quarterly	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	N/A	0

#### Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Final Evaluation	N/A	1.4		March 2020		

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### VIII. MULTI-YEAR WORK PLAN <sup>1819</sup>

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

Phase 1: ATLAS Output 00079132	PLANNED ACTIVITIES <sup>20</sup>	Planned Budget by Year			RESPONSIBLE PARTY	PLANNED BUDGET		
		2018 <sup>21</sup>	2019	2020		Funding Source	Budget Description	Amount
Component 1		\$ 47,481.72						
Component 2		\$ 92,715.20						
Component 3		\$ 72,030.44						
<b>Phase 1 Total Budget</b>		<b>\$212,227.36</b>						

NDC Support Project for the Philippines (NSPP): ATLAS Output 00109317	PLANNED ACTIVITIES	Planned Budget by Year			RESPONSIBLE PARTY	PLANNED BUDGET		
		2018 <sup>22</sup>	2019	2020		Funding Source	Budget Description	Amount
Output 1	1.1 Formalise and strengthen Gender-responsive institutional framework for NDC implementation	\$65,081.68	\$ 41,448.80	\$ 8,495.00	CCC	(i.e. IKI-BMUB)		

<sup>18</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>19</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

<sup>20</sup> Per approved 2018 AWP

<sup>21</sup> January 1 to August 31, 2018

<sup>22</sup> August 1, 2018 to July 31, 2020

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NDC Support Project for the Philippines (NSPP): ATLAS Output 00109317	PLANNED ACTIVITIES	Planned Budget by Year			RESPONSIBLE PARTY	PLANNED BUDGET		
		2018 <sup>22</sup>	2019	2020		Funding Source	Budget Description	Amount
Integrated governance enhanced to deliver NDC outcomes (GEN2)	1.2: Enhance Monitoring and transparency systems for NDC implementation	\$ 82,376.41	\$ 39,771.39	\$ 17,101.78	CCC			
	MONITORING							
	<b>Sub-Total for Output 1</b>	<b>\$ 147,458.09</b>	<b>\$81,330.19</b>	<b>\$ 25,596.78</b>	<b>CCC</b>			
Output 2 Evidence-based design and planning of mitigation actions delivered	2.1: Gender action plan developed and implemented	\$4,896.32	\$2,983.18	\$0.00	CCC			
	2.2: Refine and/or disaggregate NDC mitigation targets	\$10,165.00	\$18,404.00	\$8,239.00	CCC			
	MONITORING							
	<b>Sub-Total for Output 2</b>	<b>\$15,061.32</b>	<b>\$21,387.16</b>	<b>\$8,239.00</b>	<b>CCC</b>			
Output 3 Capacities developed to design climate-friendly investment opportunities (GEN2)	3.1: Assess Investors risks and remove barriers	\$33,812.00	\$6,420.00	\$0.00	CCC			
	3.2: Establish Gender-responsive sustainable finance mechanism(s) to scale up NDC mitigation action	\$38,872.03	\$56,987.37	\$18,274.53	CCC			
	MONITORING							
	<b>Sub-Total for Output 3</b>	<b>\$72,684.03</b>	<b>\$63,407.37</b>	<b>\$18,274.53</b>	<b>CCC</b>			
Output 4 Enabling environment enhanced for private sector development (GEN2)	4.1: Systematically engage private sector on inclusive NDC investment opportunities	\$83,371.96	\$89,139.56	\$9,335.75	CCC			
	MONITORING							
	<b>Sub-Total for Output 4</b>	<b>\$83,371.96</b>	<b>\$89,139.56</b>	<b>\$9,335.75</b>	<b>CCC</b>			
	EVALUATION							

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NDC Support Project for the Philippines (NSPP): ATLAS Output 00109317	PLANNED ACTIVITIES	Planned Budget by Year			RESPONSIBLE PARTY	PLANNED BUDGET		
		2018 <sup>22</sup>	2019	2020		Funding Source	Budget Description	Amount
<b>Output 5</b> Project Management and Monitoring	Includes Preliminary Inception and Implementation arrangement	\$53,666.90	\$81,825.00	\$31,722.38	CCC			
	<b>Sub-Total for Output 5</b>	<b>\$53,666.90</b>	<b>\$81,825.00</b>	<b>\$31,722.38</b>	<b>CCC</b>			
<b>Evaluation (as relevant)</b>								
<b>General Management Support</b>		\$24,325.98	\$22,087.89	\$6,095.13			\$52,500.00	
<b>NSPP Total Budget</b>		<b>\$372,242.30</b>	<b>\$337,089.27</b>	<b>\$93,168.43</b>			<b>\$802,500.00</b>	
<b>Overall LECB Budget</b>		<b>\$584,469.66</b>	<b>\$337,336.76</b>	<b>\$93,168.43</b>			<b>\$1,014,727.36</b>	

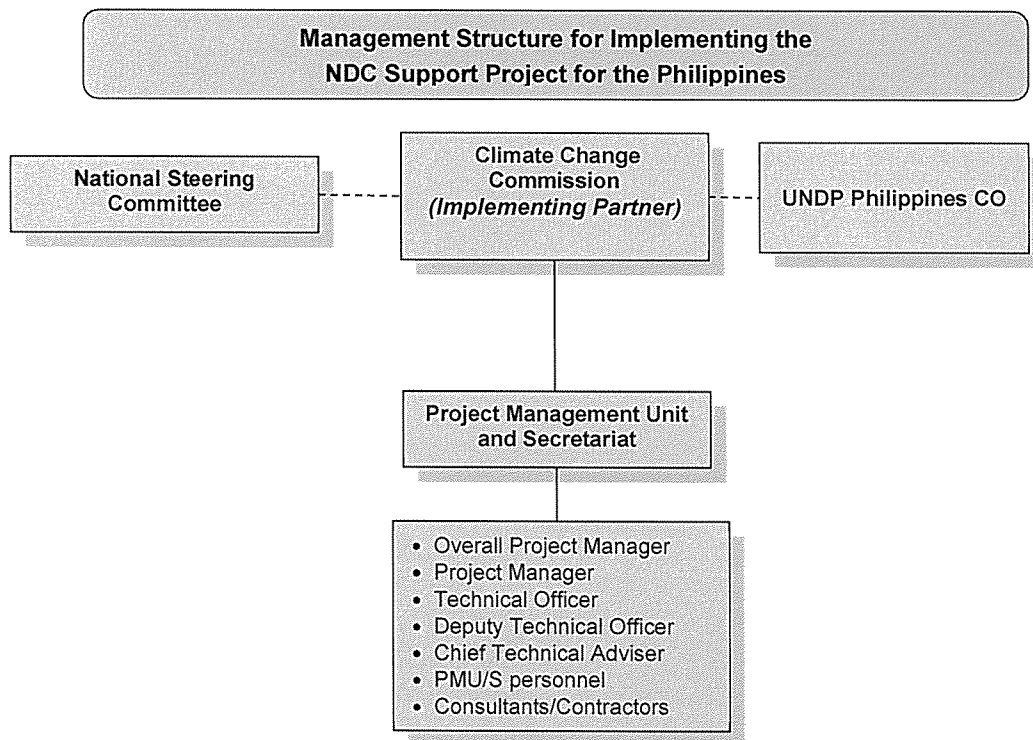
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## IX. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Project management would follow the existing or current LECB PHL Project structure with some modifications. The national project management arrangement is characterized as a multilateral system, comprised of the designated government institution at a lateral level with the UNDP Country Office on a nationally-executed scheme. While this project focuses on the Agriculture, Waste, Industry, Transport, Forestry and Energy (AWIT-FE) sectors, it also primarily aligns itself with the National Climate Change Action Plan (NCCAP) which covers all the sectors under all programs and projects of the Government of the Philippines (GoP) on climate change through the Climate Change Commission (CCC). This project management arrangement therefore pertains to this NDC Support Project for the Philippines (NSPP) only and the scope it has on climate change mitigation.

The management/organizational structure that define the implementing arrangements among the project participants through the Project Management Unit and Secretariat is shown in **Fig. 1** below.

**Figure 1: Management Arrangements for Implementing the Project**



### Implementing Partner

The CCC shall continue to be the designated government institution and lead implementing partner. Being the Implementing Partner (IP), the CCC is fully responsible and accountable for managing the project and ensuring the on-the-ground implementation of the project, the achievement of the expected project outcomes and outputs and the effective use of the project resources. The IP chairs the project National Steering Committee (NSC). Specifically, the IP shall prepare the Annual Work Plan (AWP) for the approval of the National Steering Committee; review and sign the Combined Delivery Report (CDR) at the end of the year; and sign the Financial Report (FR) or the Funding Authorization and Certificate

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of Expenditures (FACE). The IP works closely with the UNDP Country Office (CO) in defining, assessing and monitoring program outputs and achievements towards desired development outcomes. The project relies on strong collaboration among the participating Philippine government departments and agencies and other stakeholders for which the CCC is at the vantage point as it is also administratively under the GoP Office of the President. Given the gender work stream, the Philippine Commission on Women will be a Responsible Party. The CCC Secretary will still be the Project Focal Point (PFP), thus ensuring country ownership and the effective and efficient steering of the project towards outcomes and outputs that are of relevance and interest to the Philippines.

### **UNDP Country Office**

The UNDP CO (through the Country Director or designated UNDP staff) would continue to be responsible for the successful execution of program outcomes and monitoring of interdependencies between projects and managing changes within and among projects. At the same time, UNDP CO co-chairs the NSC. While project assurance is the responsibility of each NSC member, the UNDP assumes the overall project assurance role in support of the NSC by carrying out objective and independent project oversight and monitoring functions, and ensures that appropriate project management milestones are managed and completed.

### **National Steering Committee/Project Management Board**

Under existing set-up, the NSC acts as the Project Management Board and provides the overall guidance and direction in implementing the project with the full cooperation of all the NSC members from relevant main government and sectoral counterparts. It is responsible for making consensus management decisions for the project. It is consulted by the Project Management Unit and Secretariat (PMUS) for decisions when project management tolerances (normally in terms of time and budget) have been exceeded.

Based on the approved Annual Work Plan (AWP), the NSC will meet at least twice a year to report on the progress, success, issues and challenges and for guidance and approval by the board. One meeting shall be dedicated for an Annual Review to review and approve project annual and quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. While these meetings should take place in person, ad referendum approvals may be undertaken in special or extreme cases and thorough minutes must be kept. Follow-up actions will be identified and concrete recommendations made on how to address specific issues that may arise during the implementation of the project.

The NSC, taking into consideration the gender-responsiveness of the NDC, would be modified and shall compose of the following members to be represented by designated key officials:

Chair: Climate Change Commission

Vice Chair: UNDP Philippine Country Office

Members:

- Department of Transportation (DOTr)
- Department of Energy (DOE)
- Department of Trade and Industry (DTI)
- Department of Agriculture (DA)
- Department of Finance (DoF)
- Department of Environment and Natural Resources (DENR)
- Department of Science and Technology (DOST)
- Philippine Statistics Authority (PSA)
- National Economic and Development Authority (NEDA)

- National Solid Waste Management Commission (NSWMC)
- Philippine Commission on Women (PCW)<sup>23</sup>
- Representative from the Private Sector (PCCI)
- Representative from the Academe (PATLEPAM)
- Representative from the Civil Society (AKSYON-KLIMA)
- Relevant Bilateral Donors: German and Spanish<sup>24</sup> Governments, EU/EC

### **Project Management Unit and Secretariat/ Project Manager**

The Project Management Unit and Secretariat (PMUS) group is headed by the designated Project Focal Point (PFP) from CCC (Executive Director/Secretary) who acts as the Overall Project Manager (OPM) and assisted by the Project Manager (PM), the Assistant Secretary of the CCC-Climate Change Office. The PM is assisted by a Technical Officer, a Deputy Technical Officer and PMU personnel and team of consultants/contractors to be hired by the Project. The NSC provides guidance whenever required by the PFP, the PM and the Technical Officer.

The PM has the authority to run the project on a day-to-day basis on behalf of the IP and the NSC within the policies and guidelines set by the NSC. The PM will facilitate the hiring of a team of consultants to help in delivering the Project Outputs. The personnel complement of PMUS is as follows:

#### **A. Project Management Unit/Secretariat**

- 1) Project Manager
- 2) Technical Officer
- 3) Deputy Technical Officer
- 4) Chief Technical Adviser
- 5) Senior Technical Assistants (2)
- 6) Technical Assistants (3)
- 7) Administrative Assistant
- 8) Finance Assistant
- 9) Liaison Officer

#### **B. Consultants and Contractors**

- 1) National Consultant for the NDC Gender Analysis
- 2) Contractor/Consulting Firm for NDC Action/Implementation Plan
- 3) Contractor/Consulting Firm for Sectoral MRV Plans for NDCs
- 4) Contractor/Consulting Firm for the NDC Financial/Investment Plan
- 5) Contractor/Consulting Firm for Online GHG Registry for Private Sector
- 6) National Consultant for the GHG Reporting Protocol's Seals/Recognition Program
- 7) National Consultant for Final Project Evaluation

The Terms of Reference (TOR) for PMU staff and major consultancies are included in the annex of this Prodoc. TORs for other consultants will be developed at the time of hiring.

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<sup>23</sup> New member

<sup>24</sup> For confirmation

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## X. LEGAL CONTEXT AND RISK MANAGEMENT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of the Philippines and the United Nations Development Programme (UNDP), signed on 21 July 1977. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by the Climate Change Commission (CCC) ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

1. Consistent with the Article III of the SBAA [or the Supplemental Provisions to the Project Document], the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
  - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; and
  - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).
4. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its

financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

8. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
9. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
10. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

11. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

12. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
13. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.



14. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, mutatis mutandis, in all sub-contracts or sub-agreements entered into further to this Project Document.

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# XI. ANNEXES

## Annex 1. Implementation and Monitoring Stage Quality Assurance Report

Overall Project Rating : Satisfactory

Decision : Continue as planned: The project is of sufficient quality to continue as planned. All management actions must be addressed in a timely manner.

Project Number : 00061970

Project Title : Philippines' Context-Assessment for the Preparation of the National Climate Change Capacity Building Programme Proposal

Project Date : 09-Jun-2011

### Strategic

Quality Rating: Highly Satisfactory

#### 1. Is the project pro-actively taking advantage of new opportunities, adapting its theory of change to respond to changes in the development context, including changing national priorities? (select the option from 1-3 that best reflects this project)

3: The project team completed and documented a horizon scanning exercise in the past year to identify new opportunities and changes in the development context that require adjustments in the theory of change. There is clear evidence that the project board has considered the implications, and documented changes to the project's theory of change, RRF, partnerships, etc. made in response, as appropriate. (both must be true to select this option)

2: *The project team has undertaken some horizon scanning in the past year to identify new opportunities and changes in the development context. The project board discussed the scanning and its implications for the project, as reflected in the board minutes. There is some evidence that the project took action as a result, but changes may not have been fully integrated in the project's theory of change, RRF, partnerships, etc.*

1: The project team may have considered new opportunities and changes in the development context since implementation began, but this has not been discussed in the project board. There is limited to no evidence that the project team has considered changes to the project as a result. This option would also be selected if no horizon scanning has been done to date during project implementation.

#### Evidence

Conducted an NSC Board Meeting on 31 March 2017 to review the performance of the project to identify new opportunities and changes in the development context.

#### 2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project)

3: *The project responds to one of the three areas of development work as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas; implementation is consistent with the issues-based analysis incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. (all must be true to select this option)*

2: The project responds to one of the three areas of development work as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true to select this option)

1: While the project may respond to one of the three areas of development work as specified in the Strategic Plan, it is based on a sectorial approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This option is also selected if the project does not respond to any of the three SP areas of development work.

#### Evidence

The Project responds to the area of Sustainable Development Pathways and addresses the emerging area of sustainable production technologies as the project develops mitigation options such as renewable energy, energy efficiency, waste to energy technologies.

The Project is linked to SP Outcome 1 and reports against Output 1.4 as reflected in the projects' annual workplan

#### Management Response

**3. Evidence generated through the project has been explicitly used to confirm or adjust the programme/CPD's theory of change.**

- Yes
- No

**Evidence**

The processes and outputs under the LECB had influenced the enabling condition statement of the Theory of Change (TOC) for the CPD being formulated.

**Relevant**

**Quality Rating: Satisfactory**

**4. Are the project's targeted groups being systematically engaged, with a priority focus on the excluded and marginalized, to ensure the project remains relevant for them? (select the option from 1-3 that best reflects the project)**

◦ 3: *Systematic and structured feedback has been collected over the past year from a representative sample of beneficiaries, with a priority focus on the excluded and marginalized, as part of the project's monitoring system. Representatives from the targeted groups are active members of the project's governance mechanism (i.e., the project board or equivalent) and there is credible evidence that their feedback informs project decision making. (all must be true to select this option)*

2: Targeted groups have been engaged in implementation and monitoring, with a priority focus on the excluded and marginalized. Beneficiary feedback, which may be anecdotal, has been collected over the past year to ensure the project is addressing local priorities. This information has been used to inform project decision making. (all must be true to select this option)

1: Some beneficiary feedback may have been collected over the past year, but this information has not been used to inform project decision making. This option is also selected if no beneficiary feedback has been collected.

Not Applicable

**Evidence**

**Management Response**

The main objective of the project is to build both the capacity of the public and private sectors in climate change mitigation. The target beneficiaries are all members of the National Steering Committee (NSC) or Project Board. Feedback from these stakeholders and beneficiaries are sought /collected and informed the project's decision making as reflected in the minutes of the meetings. Refer to the minutes of the meetings uploaded under item 1.

**5. Is the project generating knowledge – particularly lessons learned (i.e., what has worked and what has not) – and has this knowledge informed management decisions and changes/course corrections to ensure the continued relevance of the project towards its stated objectives, the quality of its outputs and the management of risk? (select the option from 1-3 that best reflects the project)**

3: Knowledge and lessons learned backed (gained, for example, from Peer Assists, After Action Reviews or Lessons Learned Workshops) by credible evidence from evaluation, corporate policies/strategies, analysis and monitoring have been discussed in project board meetings and reflected in the minutes. There is clear evidence that the project's theory of change has been adjusted, as needed, and changes were made to the project to ensure its continued relevance. (both must be true to select this option)

◦ 2: *Knowledge and lessons learned backed by relatively limited evidence, drawn mainly from within the project, have been considered by the project team. There is some evidence that changes were made to the project as a result to ensure its continued relevance. (both must be true to select this option)*

1: There is limited or no evidence that knowledge and lessons learned have been collected by the project team. There is little or no evidence that this has informed project decision making.

**Evidence**

**Management Response**

Quarterly progress reports were regularly prepared and

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submitted and include knowledge and lessons learned from the implementation of the project. Please refer to quarterly progress reports uploaded and the annual progress report posted under item 11.

**6. Are the project’s measures (through outputs, activities, indicators) to address gender inequalities and empower women relevant and producing the intended effect? If not, evidence-based adjustments and changes have been made. (select the option from 1-3 that best reflects the project)**

3: The project team has systematically gathered data and evidence through project monitoring on the relevance of the measures to address gender inequalities and empowering women. Analysis of data and evidence were used to inform adjustments and changes, as appropriate. (both must be true to select this option)

2: The project team has some data and evidence on the relevance of the measures to address gender inequalities and empowering women. There is evidence that at least some adjustments were made, as appropriate. (both must be true to select this option)

1: *The project team has limited or no evidence on the relevance of measures to address gender inequalities and empowering women. No evidence of adjustments and/or changes being made. This option should also be selected if the project has no measures to address gender inequalities and empowering women relevant to the project results and activities.*

Evidence	Management Response
The project had no special measures in addressing gender inequalities and empowering women relevant to project results and activities.	The Philippines was selected as one of 10 countries to participate in the Gender-Responsive NDC Implementation Component of the LECB Programme.

**7. Is the project sufficiently at scale, or is there potential to scale up in the future, to meaningfully contribute to development change? (select the option from 1-3 that best reflects the project)**

3: *There is credible evidence that the project is reaching a sufficient number of beneficiaries (either directly through significant coverage of target groups, or indirectly, through policy change) to meaningfully contribute to development change.*

2: While the project is currently not at scale, there are explicit plans in place to scale up the project in the future (e.g. by extending its coverage or using project results to advocate for policy change).

1: The project is not at scale, and there are no plans currently to scale up the project in the future.

Evidence
The project developed toolkits, manuals to support its Capacity Building Plan for all the stakeholders.

**Social & Environmental Standards** **Quality Rating: Satisfactory**

**8. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project)**

3: Credible evidence that the project furthers the realization of human rights, on the basis on applying a human rights based approach. Any potential adverse impacts on enjoyment of human rights are actively identified, managed and mitigated through the project’s management of risks. (all must be true to select this option)

2: *Some evidence that the project furthers the realization of human rights. Potential adverse impacts on the enjoyment of human rights have been identified, and are adequately mitigated through the project’s management of risks.*

1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights are managed.

Evidence	Management Response
Human rights is one of the goals of the National Climate Change Action Plan(2011 -2028) which the LECB Project is	

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aligned with. The Nationally Determined Contributions (NDC) Roadmap which the Project supports the formulation of takes into account climate justice whereby human-centered approach to development is employed to safeguard the rights of the most vulnerable and share the benefits and burden of climate change. Please refer to the 2016 QA documents, e.g. NCCAP, NDC roadmap under this item.

**9. Are social and environmental impacts and risks (including those related to human rights, gender and environment) being successfully managed and monitored in accordance with project document and relevant action plans? (for projects that have no social or environmental risks the answer is "Yes")**

- Yes
  
- No

**Evidence**

The Project remains to have no social and environmental risks as indicated in the Project document already posted in the 2016 QA.

**10. Are unanticipated social and environmental issues or grievances that arise during implementation assessed and adequately managed, with relevant management plans updated? (for projects that have not experienced unanticipated social and environmental risks or grievances the answer is "Yes")**

- Yes
  
- No

**Evidence**

The Project did not experience unanticipated social and environmental risks or grievances.

**Management & Monitoring**

**Quality Rating: Satisfactory**

**11. Is the project's M&E Plan being adequately implemented? (select the option from 1-3 that best reflects the project)**

3: The project has a comprehensive and costed M&E plan. Baselines, targets and milestones are fully populated. Progress data against indicators in the project's RRF is being reported regularly using credible data sources and collected according to the frequency stated in the Plan, including sex disaggregated data as relevant. Any evaluations conducted, if relevant, fully meet decentralized evaluation standards, including gender UNEG standards. Lessons learned, including during evaluations and/or After Action Reviews, are used to take corrective actions when necessary. (all must be true to select this option)

2: *The project has a costed M&E Plan, and most baselines and targets are populated. Progress data against indicators in the project's RRF is collected on a regular basis, although there may be some slippage in following the frequency stated in the Plan and data sources are not always reliable. Any evaluations conducted, if relevant, meet most decentralized evaluation standards. Lessons learned have been captured but may not have been used to take corrective actions yet. (all must be true to select this option)*

1: The project has an M&E Plan, but costs are not clearly planned and budgeted for, or are unrealistic. Progress data is not being regularly collected against the indicators in the project's RRF. Evaluations may not meet decentralized evaluation standards. Lessons learned are rarely captured and used. Select this option also if the project does not have an M&E plan.

**Evidence**

**Management Response**

Progress reporting against indicators are done on a regular basis and reflected in the quarterly and annual progress reports and the Annual workplan. A final evaluation was costed and initiated. Please refer to the QPRs and the AWP under items 5 and 14, respectively.

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**12. Is project's governance mechanism (i.e., the project board or equivalent) functioning as intended? (select the option from 1-3 that best reflects the project)**

\* 3: *The project's governance mechanism is operating well, and is a model for other projects. It has met in the agreed frequency stated in the project document and the minutes of the meetings are on file. There is regular (at least annual) progress reporting to the project board or equivalent on results, risks and opportunities. It is clear that the project board explicitly reviews and uses evidence, including progress data, knowledge, lessons and evaluations, as the basis for informing management decisions (e.g., change in strategy, approach, work plan.) (all must be true to select this option)*

2: The project's governance mechanism has met in the agreed frequency and the minutes of the meeting are on file. A project progress report has been submitted to the project board or equivalent at least once in the past year, covering results, risks and opportunities. (both must be true to select this option)

1: The project's governance mechanism has not met in the frequency stated in the project document over the past year and/or the project board or equivalent is not functioning as a decision making body for the project as intended.

**Evidence**

**Management Response**

The project conducted more than 1 NSC meeting in 2017, March and December where the Project's performance were discussed and decisions informed by the quarterly progress reports prepared and submitted regularly. Please refer to the minutes of the meetings posted under item 1 and the QPRs under item 5.

**13. Are risks to the project adequately monitored and managed? (select the option from 1-3 that best reflects the project)**

3: The project has actively monitored risks every quarter including consulting with key stakeholders at least once in the past year to identify continuing and emerging risks to project implementation and to assess if the main assumptions remain valid. There is clear evidence that relevant management plans and mitigating measures are being fully implemented to address each key project risk, and have been updated to reflect the latest risk assessment. (all must be true to select this option)

\* 2: *The project has monitored risks every quarter, as evidenced by an updated risk log. Some updates have been made to management plans and mitigation measures.*

1: The risk log has not been updated every quarter as required. There may be some evidence that the project has monitored risks that may affect the project's achievement of results, but there is no explicit evidence that management actions have been taken to mitigate risks.

**Evidence**

**Management Response**

The project records and reports risks on a quarterly basis as reflected in the quarterly progress reports and these were consulted with the stakeholders during the NSC meetings where the emerging risks were captured and used to update the risk log. Refer to QPRs under item 5.

**Efficient**

**Quality Rating: Satisfactory**

**14. Adequate resources have been mobilized to achieve intended results. If not, management decisions were taken to adjust expected results in the project's results framework.**

\* Yes

No

**Evidence**

The annual workplan was prepared and submitted to cover all the planned activities for the year.

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**15. Are project inputs procured and delivered on time to efficiently contribute to results? (select the option from 1-3 that best reflects the project)**

3: The project has an updated procurement plan. Implementation of the plan is on or ahead of schedule. The project quarterly reviews operational bottlenecks to procuring inputs in a timely manner and addresses them through appropriate management actions. (all must be true to select this option)

\* 2: *The project has an updated procurement plan. The project annually reviews operational bottlenecks to procuring inputs in a timely manner and addresses them through appropriate management actions. (all must be true to select this option)*

1: The project does not have an updated procurement plan. The project may or may not have reviewed operational bottlenecks to procuring inputs in a timely manner, however management actions have not been taken to address them.

**Evidence**

**Management Response**

The project prepared and submitted its Procurement Plan as part of its AWP submission. Likewise, annual and quarterly progress reports were also submitted. Please refer to the AWP under item 14 for the Procurement Plan and items 5 and 11 for the QPRs and APR, respectively.

**16. Is there regular monitoring and recording of cost efficiencies taking into account the expected quality of results? (select the option from 1-3 that best reflects the project)**

3: There is evidence that the project regularly reviews costs against relevant comparators (e.g., other projects or country offices) or industry benchmarks to ensure the project maximizes results that can be delivered with given resources. The project actively coordinates with other relevant ongoing projects and initiatives (UNDP or other) to ensure complementarity and seek efficiencies wherever possible (e.g. joint activities.) (both must be true to select this option)

\* 2: *The project monitors its own costs and gives anecdotal examples of cost efficiencies (e.g., spending less to get the same result,) but there is no systematic analysis of costs and no link to the expected quality of results delivered. The project coordinates activities with other projects to achieve cost efficiency gains.*

1: There is little or no evidence that the project monitors its own costs and is considering ways to save money beyond following standard procurement rules.

**Evidence**

The LECB coordinates with other CCC implemented projects such as the USAID B-LEADERS Program, GIZ Support CCC through the conduct of stakeholders' consultation on the Enhanced Mitigation Cost Benefit Analysis and in the conduct of related trainings (refer to Annual Progress Report under item 11).

Effective

Quality Rating: Highly Satisfactory

**17. Is the project on track to deliver its expected outputs?**

\* Yes

No

**Evidence**

Delivery of Project outputs are on track except that the following activities were delayed: (1) launch of the recognition/awards system to encourage private sector to develop and implement low carbon initiatives; and (2) launch of the climate information system (refer to Annual Progress Report under item 11)

**18. Have there been regular reviews of the work plan to ensure that the project is on track to achieve the desired results, and to inform course corrections if needed? (select the option from 1-3 that best reflects the project)**

\* 3: Quarterly progress data has informed regular reviews of the project work plan to ensure that the activities implemented are most likely to achieve the desired results. There is evidence that data and lessons learned (including from evaluations and/or After Action Reviews) have been used to inform course corrections, as needed. Any necessary budget revisions have been made. (both must be true to select this option)

2: There has been at least one review of the work plan during the year to assess if project activities are on track to achieving the desired development results (i.e., outputs.) There may or may not be evidence that data or lessons learned has been used to inform the review(s). Any necessary budget revisions have been made.

1: While the project team may have reviewed the work plan at least once over the past year to ensure outputs are delivered on time, no link has been made to the delivery of desired development results. Select this option also if no review of the work plan by management has taken place over the past year.

**Evidence**

**Management Response**

Status of Project implementation are submitted through the Progress Reports (please refer to item 5).

**19. Are targeted groups being systematically identified and engaged, prioritizing the marginalized and excluded, to ensure results are achieved as expected? (select the option from 1-3 that best reflects the project)**

3: The project is targeting specific groups and/or geographic areas, identified by using credible data sources on their capacity needs, deprivation and/or exclusion from development opportunities relevant to the project's area of work. There is clear evidence that the targeted groups are being reached as intended. The project has engaged regularly with targeted groups over the past year to assess whether they are benefiting as expected and adjustments were made if necessary to refine targeting. (all must be true to select this option)

\* 2: The project is targeting specific groups and/or geographic areas, based on some evidence of their capacity needs, deprivation and/or exclusion from development opportunities relevant to the project's area of work. Some evidence is provided to confirm that project beneficiaries are members of the targeted groups. There has been some engagement with beneficiaries in the past year to assess whether they are benefiting as expected. (all must be true to select this option)

1: The project does not report on specific targeted groups. There is no evidence to confirm that project beneficiaries are populations have capacity needs or are deprived and/or excluded from development opportunities relevant to the project area of work. There may have been some engagement with beneficiaries to assess whether they are benefiting as expected, but it has been limited or has not occurred in the past year.

Not Applicable

**Evidence**

The project involves multiple stakeholders and involves various sectors in the areas of mitigation. Several workshops and learning activities have been conducted during the course of the year. Please refer to the Progress reports where the different activities conducted for the various stakeholders (items 5 and 11)

**20. Are at least 40 per cent of the personnel hired by the project, regardless of contract type, female?**

\* Yes

No

**Evidence**

75% or 6 out of 8 members of the PMO were female -  
Mr. Francis Benito; Mark Anthony Tableza; Dianne Krizzia Alanigue; Yoshiko de Villa; Shirley Llagas, Honeymae Samson, Raquel Abellon; Aimee Evangelista

**Sustainability & National Ownership**

**Quality Rating: Needs Improvement**

**21. Are stakeholders and national partners fully engaged in the decision-making, implementation and monitoring of the project? (select the option from 1-3 that best reflects the project)**

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3: Only national systems (i.e., procurement, monitoring, evaluation, etc.) are used to fully implement and monitor the project. All relevant stakeholders and partners are fully and actively engaged in the process, playing a lead role in project decision-making, implementation and monitoring. (both must be true to select this option)

\* 2: National systems (i.e., procurement, monitoring, evaluation, etc.) are used in combination with other support (such as country office support or project systems) to implement and monitor the project, as necessary. All relevant stakeholders and partners are fully and actively engaged in the process, playing an active role in project decision-making, implementation and monitoring. (both must be true to select this option)

1: There is relatively limited or no engagement with national stakeholders and partners in the decision-making, implementation and/or monitoring of the project.

Not Applicable

**Evidence**

**Management Response**

While the Project commenced implementation in 2015 using National Implementation Modality (NIM), due to the requirement of the donor, the Project continued to be implemented as NIM with full country office support since June 2016. Nonetheless, all activities were subjected to stakeholders' consultations.

**22. There is regular monitoring of changes in capacities and performance of national institutions and systems relevant to the project. The implementation arrangements have been adjusted according to changes in partner capacities. (select the option from 1-3 that best reflects the project)**

3: In the past year, changes in capacities and performance of national institutions and systems have been comprehensively assessed/monitored using clear indicators, rigorous methods of data collection and credible data sources including HACT assurance activities. Implementation arrangements have been formally reviewed and adjusted, if needed, in agreement with partners according to changes in partner capacities. (both must be true to select this option)

\* 2: In the past year, aspects of changes in capacities and performance of relevant national institutions and systems have been monitored by the project using indicators and reasonably credible data sources including HACT assurance activities. Some adjustment has been made to implementation arrangements if needed to reflect changes in partner capacities. (both must be true to select this option)

1: Some aspects of changes in capacities and performance of relevant national institutions and systems may have been monitored by the project, however changes to implementation arrangements have not been considered. Also select this option if changes in capacities and performance of relevant national institutions and systems have not been monitored by the project.

Not Applicable

**Evidence**

**Management Response**

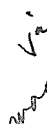
Review of the Progress of the Project was done through the NSC meeting and based on the minutes of the 2 NSC meetings held in 2017, no recommendations regarding the adjustments on the implementation arrangements were made. Relatedly, and as part of the HACT assurance activities, a spotcheck was conducted from 11 to 13 October 2017. The results showed moderate risk of the project.

**23. The transition and phase-out arrangements are reviewed regularly and adjusted according to progress (including financial commitments and capacity). (select the option from 1-3 that best reflects the project)**

3: The project's governance mechanism has reviewed the project's sustainability plan in the past year, including arrangements for transition and phase-out, to ensure the project is on track in meeting the requirements set out by the plan. The plan has been adjusted according to progress as needed. (both must be true to select this option)

2: There has been a review of the project's sustainability plan, including arrangements for transition and phase-out, to ensure the project is on track in meeting the requirements set out by the plan.

\* 1: The project may have a sustainability plan, but there has not been a review of this strategy since it was developed. Also select this option if the project does not have a sustainability strategy.



**Evidence**

The project does not have a sustainability strategy

**Management Response**

Sustainability Plan will be developed during the Phase

QA Summary/Project Board Comments:

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## Annexes 2 & 3. Social and Environmental Screening Template and Risk Analysis

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the Social and Environmental Screening Procedure and Toolkit for guidance on how to answer the 6 questions.

### Project Information

<b>Project Information</b>	
1. Project Title	NDC Support Project for the Philippines
2. Project Number	ATLAS Output 00109317
3. Location (Global/Region/Country)	Philippines

### Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

<b>QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?</b>
<i>Briefly describe in the space below how the Project mainstreams the human-rights based approach</i>
The NDC Support Project for the Philippines mainstreams human-rights based approach by ensuring that marginal groups, indigenous peoples and women, are recipients of pro-active and anticipatory measures. Additionally, its key outcome is capacity-building to claimholder access to increase its resilience to climate change.
<i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i>
The project features a strong gender dimension that builds upon the results of a 2016 UNDP assessment of the extent to which the NDCs recognized and/or integrated gender equality (UNDP 2016). It is consistent with the goal of the Philippines' National Climate Change Action Plan to "build the adaptive capacities of women and men in their communities, increase the resilience of vulnerable sectors and natural ecosystems to climate change, and optimize mitigation opportunities towards gender-responsive and rights-based sustainable development".
The project supports the role of women as active agents in addressing and responding to climate change. Based on the in-depth gender analysis that will be conducted, an action plan will be prepared to engage women and women's groups so that women can become more active in NDC implementation (e.g., "green" jobs programmes for women, more women in decision-making bodies, climate finance tools that support women's grassroots enterprises, etc).

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*Briefly describe in the space below how the Project mainstreams environmental sustainability*

The project is consistent with UNDP's Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>). The project's activities and outcomes have been designed to likewise ensure sustainability and replicability beyond the LECB Global Programme's life.

**Part B. Identifying and Managing Social and Environmental Risks**

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.</i>		<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>		<b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b>
<i>Risk Description</i>	<i>Impact and Probability (1-5)</i>	<i>Significance (Low, Moderate, High)</i>	<i>Comments</i>	<i>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</i>
Risk 1: There is a risk that duty-bearers do not have the capacity to meet their obligations in the Project.	I = P =	Medium		Obtain strong buy-in of all key stakeholders through early engagement to ensure sufficient and sufficiently-capable resources are obtained. Address capacity building needs, at national and local levels, to encourage full engagement.
Risk 2: Weak support of private sector stakeholders for NDC implementation	I = P =	Low		Obtain strong buy-in of all key stakeholders through early engagement to ensure sufficient and sufficiently-capable resources are obtained.  Address capacity building needs, especially at local level, to encourage full engagement. Need for stronger mechanism for private sector engagement and integration of initiatives into the NDC.
Risk 3: Lack of active participation of business associations, private sector and financial sector to finance, support and	I = P =	Low		Ensure that the prioritization process of mitigation actions includes business associations and private sector to secure

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implement technically sound and financially viable mitigation actions				buy-in as well as technical, social, and environmental review of options.  Continuous advocacy of public, private and financial sectors to overcome mistrust and increase common understanding of mutual benefits to the achievement of NDC targets and SDGs.
Risk 4: Lack of appreciation by the government of the benefits of an ambitious NDC.	I = P =	High		Demonstrate that the benefits of more ambitious NDC targets will accelerate development initiatives and processes (e.g. women's empowerment, youth employment, health improvements, etc).
Risk 5: Insufficient capacity of the government to implement the NDC		Medium		Build the capacity of the government to maximize opportunities to support the NDC implementation
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
Select one (see SESP for guidance)			Comments	
Low Risk			<input checked="" type="checkbox"/>	
Moderate Risk			<input type="checkbox"/>	
High Risk			<input type="checkbox"/>	
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>				
Check all that apply			Comments	
Principle 1: Human Rights			<input checked="" type="checkbox"/>	The risk that duty-bearers do not have the capacity to meet their obligations in the Project could mean that climate change mitigation and adaptation goals are not met.
Principle 2: Gender Equality and Women's Empowerment			<input type="checkbox"/>	
1. Biodiversity Conservation and Natural Resource Management			<input type="checkbox"/>	
2. Climate Change Mitigation and Adaptation			<input type="checkbox"/>	
3. Community Health, Safety and Working Conditions			<input type="checkbox"/>	
4. Cultural Heritage			<input type="checkbox"/>	
5. Displacement and Resettlement			<input type="checkbox"/>	
6. Indigenous Peoples			<input type="checkbox"/>	
7. Pollution Prevention and Resource Efficiency			<input type="checkbox"/>	

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### Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

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**SESP Attachment 1. Social and Environmental Risk Screening Checklist**

<b>Checklist Potential Social and Environmental Risks</b>		<b>Answer (Yes/No)</b>
<b>Principles 1: Human Rights</b>		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>25</sup>	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women’s Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
<b>Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below</b>		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No

<sup>25</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

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1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>26</sup> greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No

<sup>26</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

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3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? <sup>27</sup>	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		

<sup>27</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

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7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?  <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

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# Annex 4. Capacity Assessment – Results of Hact Micro Assessment of the Climate Change Commission (CCC) as the Implementing Partner<sup>1</sup>

## EXECUTIVE SUMMARY

The Micro Assessment process involves a general review of the IP's system of accounting, reporting, auditing and internal controls. It aims to provide an overall risk rating of the IP's financial management capacity specifically in the following areas: capability to record all transactions and balances, to support the preparation of regular and reliable financial statements, to safeguard its assets and are subject to acceptable auditing arrangements. The assessment which is open and transparent is not a conduct of AUDIT and do not establish conditionality for the provision of cash from UN Agencies but the procedures will vary depending on the level of risk rating.

The overall objectives of the Micro Assessment are as follows:

- **Capacity Development.** To review the strengths and weaknesses of an Implementing Partner's (IPs) financial management system.
- **Financial Management.** To help United Nations (UN) Agencies identify the most appropriate assurance methods, and best procedures to use for transferring cash.

This Micro Assessment was fully discussed with the Implementing Partner (IP), CLIMATE CHANGE COMMISSION (CCC) whose mission is to build the adaptive capacity of communities and increase the resilience of natural ecosystems to climate change, and optimize mitigation opportunities towards sustainable development. For the period October 2012 to June 2015, CCC has accepted to act as the IP for the project, "Resilience Capacity Building for Cities and Municipalities to Reduce Disaster Risks from Climate Change and Natural Hazards, Phase 1" funded by the New Zealand Aid Programme (NZAP) and administered by the United Nations Development Programme (UNDP), Project Climate Twin Phoenix with Ausaid and UNDP, Secure Phil with UNDP, Low Emission Capacity Building (LECB) with EU, Australia, Germany and UNDP.

### Overall Risk Rating

Based on the standard HACT instrument which is the Financial Management Capacity Questionnaire Checklists A and B and the additional procedures performed, CCC is classified as **LOW RISK**. Below shows the risk rating for each tested subject area:

I.	Implementing Partner	-	Low Risk
II.	Funds Flow	-	Low Risk
III.	Staffing	-	Low Risk
IV.	Accounting Policies and Procedures	-	Low Risk
V.	Internal Audit	-	Not Applicable
VI.	External Audit	-	Low Risk
VII.	Reporting and Monitoring	-	Low Risk
VIII.	Information Systems	-	Low Risk

Prepared by:

  
Marcelo O. Orta

  
Ms. Victoria Gregori

Concurred by:

  
Alexis Lapiz  
Chief, Strategic Partnerships Division

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## Annex 5. Terms of Reference for Contractors/Consultants

### 1) National Consultant for the NDC Gender Analysis

#### *Objective/Responsibilities*

- a) The development of an in-depth gender analysis to better understand where women and men are situated in climate change priority sectors, the barriers for women's empowerment and participation in contributing to each sector, and the opportunities for policy articulation to strengthen the integration of gender equality into NDC planning and implementation processes.
- b) This includes sectorial analyses, analysis of sex and gender disaggregated data for evidence-based identification of gender differences in vulnerabilities, gaps in resources, and opportunities for supporting climate change adaptation and mitigation actions; setting of programming objectives/actions in at least 2 key sectors, development of indicators, and a baseline for monitoring and reporting; multi-stakeholder consultations (interviews, surveys, working sessions, etc) and one national workshop. The analysis proposed will include the following components alongside any other relevant analysis as deemed necessary by the national gender specialist:
  - i. **Situational analysis of national context**
    - a. An understanding of the situation of women and men in the country, as well as gender differences in contributions, division of labour, employment, access to resources, and participation in decision making in key climate change sectors. Resources and analysis for this activity includes collection and analysis of sex and gender disaggregated data as well as identifying data gaps in important climate-change affected areas of the economy and natural resources management.
  - ii. **Relevant sector policies or strategies**
    - a. An analysis of the current climate change legal, policy and institutional frameworks in key sectors and their connection to national policy or strategy on integrating gender equality and 2030 Agenda/SDGs. For example, a review of the mechanisms and bodies which allow or encourage participation from gender machineries, women's organizations or involve women in decision making, policy development or implementation of climate programmes. In addition, a review of legal rights or mechanisms connected to climate change sectors including rights to land for women; equal employment and equal pay legislation for participation in climate change-related sectors of the economy (energy, transportation, etc.), linkages to address gender-based violence issues, etc will be relevant under this component.
  - iii. **Analysis of the integration of gender into national climate policy and planning instruments, such as LEDS, NAPs, NAMAs, REDD+, DRR planning, National Communications/ BURs.**
    - a. An assessment of the extent to which gender has been integrated into these instruments and how these are aligned with the NDC to enhance and implement gender-responsive mitigation and adaptation. In addition, this component will include an identification of the specific and relevant actions for gender integration if there are no significant references.
  - iv. **Capacity for monitoring and reporting**
    - a. An assessment of the capacity to develop monitoring and reporting frameworks which incorporate gender dimensions, including definition of indicators, outcomes or outputs; analysis or inputs on gender responsive monitoring and reporting suggested by government officials and by civil society.

#### *Tasks:*

- a) Develop a detailed methodology and work plan for the in-depth gender analysis, an approximate timeline needed to complete the study and the required technical resources.
- b) Conduct a desk review of the relevant climate and gender-related policies, mechanisms, institutional structures and frameworks to assess the national gender situational analysis. It will also identify

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priority sectors and conduct a capacity needs assessment within key climate sectors and gender machineries for gender mainstreaming in the NDC process.

- c) Conduct interviews, surveys, working session as part of a multi-stakeholder consultative process to key Government actors and other stakeholder groups (i.e. civil society, academia, private sector, UN Agencies) involved in the relevant climate and gender decision making and planning processes to ensure broad integration of perspectives.
- d) Organize a national workshop on gender integration into the NDC planning process.
- e) Develop a concise report on the process and outcome of the gender analysis, and identify opportunities and recommendations for policy articulation to strengthen gender integration into the NDC process.

## 2) Contractor/Consulting Firm for NDC Action/Implementation Plan

### *Objective/Responsibilities*

To develop an NDC implementation plan as appropriate to the national circumstances. The work should take off from the NDC Roadmap and Framework developed by the LECB PHL Project. The NDC implementation plan should clearly set out actions, timings and responsibilities. It can then act as a programme management tool for NDC implementation, allowing responsible agencies to track progress on the actions against the suggested timings. In addition, the plan should make clear links to the vision of what the government aims to achieve, as set out in its NDC, not only over the implementation period but also the longer term.

### *Tasks:*

- a) **Undertake gap analysis.** To identify priority activities, i.e., which activities have already been undertaken, and which could usefully be done; the latter potentially will become part of the NDC implementation plan.
- b) **Assessment of resource needs.** Having carried out the gap analysis, an initial assessment of the resources needed for implementing the activities identified can be undertaken. This includes, among others, the finance required, but also staff time, expertise, technology and tools (e.g. emissions-scenario models), the expected duration of the different activities, for example distinguishing between those that could be completed in less than a year and those that will be multi-year.
- c) **Sequencing of activities.** To identify which activities should be started immediately and which can be started in the future. Consider if any activities are sequential, or are contingent on others. It should be noted that activities can be sequential and contingent upon each other.
- d) **Integration into sectoral and sub-national action plans.** To develop sectoral action plans to set out clear and detailed instructions for activities in the sector in which they will be implemented. These are likely to cover all aspects of NDC implementation, detailing what needs to happen to deliver mitigation and adaptation outcomes, and if possible MRV, financing and governance arrangements.
- e) **Delivering the plan.** Achieving NDC commitments will involve ongoing effort, coordination and engagement across governments to implement the activities contained in the NDC implementation plan. Inasmuch as majority of implementation activities are likely to be undertaken at the sectoral and subnational level, then many actions will need to be delivered by non-state actors. Consequently, a number of cross-cutting issues should be considered: e.g. the coordination of climate actions; capacity-building; stakeholder engagement; and updating the NDC.

## 3) Contractor/Consulting Firm for Sectoral MRV Plans for NDCs

### *Objective/Responsibilities*

Building upon the MRV System Framework developed by the LECB PHL Project, to set up a detailed, clear, robust national MRV system for mitigation actions, supported by guidance and reporting templates. This is to maintain oversight of the quality and comparability of information

provided on the results achieved by the mitigation actions. The system should be integrated into national M&E processes and meets international MRV requirements. It would also ensure actions are contributing to NDC commitments and capture lessons learned on which policies work best (and why) to inform the design of future policies.

**Tasks:**

- a) **Review MRV system framework** that was developed by the Project under Outcome No.3 of Project Component 1: Design of MRV System.
- b) **Establish/Finalize institutional arrangements for the oversight and coordination of MRV activities.** This would include the (i) the setting up of an MRV steering group to oversee the stepwise design and implementation of the national MRV system.
- c) **Establish data management processes.** These processes should take into consideration systems to improve data quality, data management system, as well as address data gaps.
- d) **Finalize the overall design of the MRV system** for mitigation, adaptation and finance. This should build upon the MRV system framework developed by the LECB Phase 1 Project.
- e) **Build MRV capacity.** To assess capacity-building needs for the design and implementation of the system. Capacities of subnational and local governments should be enhanced to coordinate cohesive tracking of development plans linked to the NDC as well as the SDGs.
- f) **MRV System Improvement Plan.** To ensure MRV reports are relevant by establishing a mechanism to ensure that the outputs from the MRV systems can inform regular updates of the mitigation, adaptation and climate finance planning processes, and lessons learned can be integrated into subsequent actions within the implementation of the NDC.

#### 4) Contractor/Consulting Firm for the NDC Financial/Investment Plan

**Objective/Responsibilities**

A climate finance framework should match a country's needs against funding streams, and include strategies to access these. Finance is also critical for implementing the mitigation and adaptation actions set out in the NDCs. International public financing sources, such as the Green Climate Fund, will not be able to provide the large-scale investment needed alone; financing sources such as the private sector and domestic fiscal budgets will therefore be needed. There are key activities that can be undertaken to strengthen financing of the NDC.

**Tasks**

- a) **Review the climate finance landscape.** To review the NDC Roadmap/Framework developed by the Project and determine, among others, the current status of climate finance strategies as well as the proposed institutional arrangements for the oversight and coordination of climate finance activities.
- b) **Establish institutional arrangements for the oversight and coordination of climate finance activities:** (i) Identify and delineate key roles on climate finance within the country, (ii) Identify a team within government, if there is none yet, to lead on national climate finance coordination, and (iii) Mainstream climate change into national budgeting processes.
- c) **Compile an overall costing for the NDC:** (i) Undertake a desk review to identify and cost the main sub-actions within each mitigation and adaptation action, and (ii) Check desk-based estimates with relevant national experts and stakeholders.
- d) **Identify funding gaps and needs:** (i) Scope and prioritise the actions to be undertaken during NDC implementation, (ii) Assess the funding status of each priority NDC action, and (iii) Identify the level and type of support needed to address each funding gap.
- e) **Assess public and private financing options.** (i) Assess the potential for further domestic fiscal support for each action, (ii) Assess the eligibility of each action against bilateral and multilateral funding sources, and (iii) Assess options for private sector investment for each action.
- f) **Develop country climate investment plan.**
- g) **Secure direct access to international climate funds for national and subnational institutions.**

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- h) **Develop a project pipeline and financing propositions** that can be put forward to different financing sources: (i) Build technical and relational capacities within government ministries to develop a project pipeline, (ii) Develop funding proposals that can be shared with bilateral and multilateral funders, and (iii) Develop funding proposals that can be shared with potential private sector financing sources.
- i) **Increase private sector engagement and overcome barriers to investment:** (i) Assess and enhance the domestic investment environment, (ii) Strengthen the capacity of relevant departments to identify and develop financially viable opportunities for the private sector, and (iii) Increase private sector engagement in national climate policies, strategies, coordinating committees and national financing bodies.
- j) **Design and implement a climate finance MRV system:** (i) Identify climate-related spending across all relevant finance flows, (ii) Track and report climate-related spending across all relevant finance flows, and (iii) Expand and improve the MRV of climate finance.

## 5) Contractor/Consulting Firm for Online GHG Registry for Private Sector

### **Objective/Responsibilities**

The LECB Phase 1 Project established the National GHG Reporting Protocol and Inventory Management Plan for Business Sector where entity-level GHG accounts/emissions are consolidated per entity or company and consolidated bottom-up through a database and information exchange system. The objectives are to: (i) Encourage GHG emission inventories as a business practice; (ii) Encourage companies to improve data quality and consistency through third party verification of data; (iii) Support climate change policies, programs, and strategies; and (iv) Identify opportunities for GHG emission reduction. The Online Registry would provide a platform for investors and consumers information on GHG emissions of the private sector.

### **Tasks**

- a) **Conduct of Scoping Study** to identify data availability, data gaps, data formats, and data readiness of the NICCDIES for the online system.
- b) **Conduct capacity needs assessment** of CCC and the private sector for the online registry.
- c) **Design, develop and establish a central database and a reliable online registry and knowledge management system** on corporate GHG inventories using the GHG Inventory Protocol and IMP Manual for Business Sector that would:
  - i. Include a registry and an interactive website that would enable participants to log and report their GHG emissions;
  - ii. Allow reporting of GHG emissions by Calendar year or Fiscal year;
  - iii. Allow to privately report the emissions, or publicly report the emissions at the facility level when reporting a carbon footprint. If publicly reporting emissions, no source-level information is published – only facility summaries of emissions by scope, activity type and gas (private reports include a breakdown of GHGs at the source level). If an organization would like to report publicly but is concerned about confidential business information, it can publicly report at the entity level, without the facility level emission totals;
  - iv. Consider the facilities and sources of GHG inventory reports in the online platform;
  - v. Put in place functionalities that would provide some data and analysis to generate useful information for business decisions, policy formulation, among other purposes; and
  - vi. Make the registry as detailed as possible while ensuring that it will be user friendly.
- d) **Establish a verification system** that should match the scope of reporting such as:
  - i. Geographical, organizational, and operational boundaries;
  - ii. Physical infrastructure, activities, technologies employed by reporter
  - iii. Types of GHGs (e.g. reporting of CO<sub>2</sub>, CH<sub>4</sub>, N<sub>2</sub>O, HFCs, PFCs, SF<sub>6</sub>, and NF<sub>3</sub>)
  - iv. Time period (calendar year or fiscal year);
  - v. Level of assurance.

- e) **Assess, evaluate and recommend location for the online registry/system**, i.e., the existing NICCDIES system or in a separate website to be managed possibly by an Administrator.
- f) **Set-up and test the computer hardware and software systems**;
- g) **Assess, evaluate and recommend possible Program Administrator** (i.e., government agency or private sector/association) for the system who would, among others, confirm administrative completeness of reporting such as:
  - i. Similarities of all sources/gases in the sector; and
  - ii. Any large or unusual changes in emissions from the previous year.

## 6) National Consultant for the GHG Reporting Protocol's Seals/Recognition Program

### **Objective/Responsibilities**

The project has established a Philippine GHG inventory and reporting program for the business sector. Private sector project partners are encouraged to set corporate-wide greenhouse gas (GHG) inventory as a business practice to track or measure the same. Through the inventory, industries would identify their own LEDS initiatives (management plan) as part of their mitigation action to reduce or manage GHG emissions from their operations.

A recognition program has been recommended to ensure that GHG reporters get the value of their effort in providing their GHG inventory data. This is also to encourage more organizations to participate in the reporting program.

### **Tasks**

- a) **Review of recommended GHG Protocol Recognition Program** including its main characteristics, in terms of recognition schemes, criteria and institutional arrangements.
- b) **Develop implementation process and/or protocol** for the following:
  - i. Recognition schemes: Effort-based recognition, and Performance-based recognition;
  - ii. Seal approach: GHG Reporter Seal, Verified GHG Inventory Seal, and Low Carbon Intensity or low carbon product seal; and
  - iii. Use of Quantitative Marks, e.g. "“this product is produced with 20% lower carbon emissions compared to industry benchmark”".
- c) **Develop verification criteria for the recognition program**. Determine whether all GHG emission reports should be verified by a third entity, or only those with a scope 3 approach or process emissions should be verified. Verification processes regarding further steps - emissions reduction, compensation and neutralization- and their appropriateness to the projects scope should also be considered.
- d) **Identify host organization**. The programme should be hosted by an appropriate institution to avoid information and responsibility overlaps and double accountings.

## 7) National Consultant for Final Project Evaluation

### **Objective/Responsibilities**

Final project evaluation would provide conclusions and recommendations about the relevance, impact, efficiency, effectiveness and sustainability of the project. The evaluation should enable the CCC, UNDP Country Office (CO), the donor and other stakeholders to draw lessons from the implementation for future similar undertakings and to assess what are the next steps that may need to be taken to ensure the sustainability of the actions undertaken.

The overall objective of the evaluation is to assess the extent to which the specific project outputs have been achieved and what progress (attributable to the project) was made towards achieving the project outcomes. Specific objectives are:

- a) To evaluate the relevance of the project for the main beneficiaries;
- b) To evaluate the efficiency of the project and to assess the appropriateness of the integrated approach of the project;
- c) To evaluate the effectiveness of the project;

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- d) To identify factors directly influencing the level of achievement of the desired results;
- e) To evaluate the impact of the project;
- f) To identify areas in which the implementation mechanism could have been improved; and
- g) To identify the level of the ownership by stakeholders of the project results and provide prioritized list of recommendations for actions (with respective addressees) in case of any identified need for improvement/future similar undertakings.

#### **Tasks**

- a) **Review of the Project Strategy/Design** including: (i) the problem addressed by the project and the underlying assumptions, (ii) the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the project document, (iii) the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results, (iv) how the project addresses country priorities, (v) decision-making processes, and (vi) organizational structure.
- b) **Assess Results Framework/Logframe:** (i) undertake a critical analysis of the project's logframe indicators and targets, (ii) assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and (iii) suggest specific amendments/revisions to the targets and indicators as necessary.
- c) **Assessment of Project Results.** Assess achievement of the project's objective, outcomes and outputs and provide ratings for the targeted objective and outcomes.
- d) **Assessment of Sustainability of Project Outcomes.** Assess the likelihood of sustainability of outcomes at project termination, and provide a rating for this. Sustainability will be understood as the likelihood of continued benefits after the project ends. The sustainability assessment will give special attention to analysis of the risks that are likely to affect the persistence of project outcomes.
- e) **Evaluate Catalytic Role.** Describe any catalytic or replication effect of the project. If no effects are identified, the evaluation will describe the catalytic or replication actions that the project carried out.
- f) **Project Implementation and Adaptive Management.** Among other factors, when relevant, consider the following aspects of project implementation and attainment of project results: (i) Work planning (preparation and readiness), (ii) Finance and co-finance, (iii) Monitoring and Reporting Systems, (iv) Communications, and (v) Management Arrangements.

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## Annex 6. Theory of Change

The theory of change for this project draws up the global programme framework while taking into account the Philippines context. The project recognises the urgent and critical need to combat global climate change and its impact that is substantiated in the United Nations' Sustainable Development Goals (SDGs). Goal 13 contains five tangible targets to compact global climate change, including, among others: i) Integrate climate change measures into national policies, strategies and planning, ii) Improve human and institutional capacity on climate change mitigation, and iii) Promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries and small island developing states<sup>28</sup>. Similar urgency and required prioritization to combat global climate change is emphasized in UNDP's Strategic Plan for 2014–2017 where climate change mitigation efforts are seen as key to sustainable human development. Outcome 1 and 5 of the Strategic Plan directly address mitigation of climate change<sup>29</sup>.

### Project Theory of Change

<p><b>Development Challenge:</b> Governments are not moving to zero-carbon pathways quickly enough to deliver on the ambition of the Paris Agreement</p>	<p><b>Solution:</b> Governments adopt fully inclusive, zero carbon pathways to deliver on NDC targets in context of sustainable development</p>
<p><b>Immediate causes:</b></p> <ul style="list-style-type: none"> <li>• Investors and private sector unwilling to provide finance for climate change mitigation</li> <li>• High-level leadership lacking to promote zero-carbon pathways</li> </ul>	<p><b>Solution</b></p> <ul style="list-style-type: none"> <li>• Govts put in place financing mechanisms and strengthen enabling environment to attract climate finance, technology transfer and capacity development for zero-carbon pathways</li> <li>• Govts recognised as champions of climate change ambition by international community (thereby attracting donor support)</li> </ul>
<p><b>Underlying causes:</b></p> <ul style="list-style-type: none"> <li>• Zero-carbon opportunities lack business case and evidence base</li> <li>• Enabling environment doesn't address key barriers for reducing investor risk</li> </ul>	<p><b>Solution</b></p> <ul style="list-style-type: none"> <li>• Identify and promote business cases and evidence base for ambitious mitigation actions</li> <li>• Risk analyses conducted to support low-carbon actions designed with financing strategies that attract private sector interest</li> </ul>
<p><b>Root causes (pervasive and long-standing development constraints):</b></p> <ul style="list-style-type: none"> <li>• Stakeholders not fully engaged in decision-making process</li> <li>• Lack of capacities to design robust mitigation actions and to mainstream zero carbon planning into sectoral strategies and national development plans</li> <li>• Business-as-usual creates disincentive to move to zero-carbon pathways (lack of alignment between private/public sectors and sustainable development goals)</li> <li>• Underdeveloped private sector and/or high financing costs in less mature markets</li> </ul>	<p><b>Solution</b></p> <ul style="list-style-type: none"> <li>• Establish inclusive stakeholder engagement and institutional coordination mechanisms with gender targets</li> <li>• Build technical and institutional capacities to design mitigation actions and strategies, and related financing schemes, to attract investors and private sector</li> <li>• Create mechanisms for public-private partnerships, trust building, and alignment of incentives</li> </ul>

<sup>28</sup> United Nations 2015. Transforming our world: The 2030 agenda for sustainable development.

<sup>29</sup> United Nations Development Programme 2014. Changing the world. Strategic Plan for 2014 – 2017.

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