

# Design & Appraisal Stage Quality Assurance Report

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**Form Status: Approved**

<b>Overall Rating:</b>	Highly Satisfactory
<b>Decision:</b>	Approve: The project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
<b>Portfolio/Project Number:</b>	00110424
<b>Portfolio/Project Title:</b>	Securing Landscape Multi-functionality in Critical River
<b>Portfolio/Project Date:</b>	2023-01-02 / 2027-01-01

**Strategic****Quality Rating: Exemplary**

1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?

- 3: *The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks.*
- 2: The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.
- 1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change.

**Evidence:**

The Project is expected to contribute to - PFSD Outcome 2: “Urbanization, economic growth, and climate change actions are converging for a resilient, equitable, and sustainable development path for communities” and the underlying Country Program -Output 2.3: “Partnerships strengthened, and economic models introduced to reduce biodiversity degradation from unsustainable practices and climate impact” The project objective is to create an enabling environment for the realization of the LDN target and to mainstream BDFA practices in CDORB through national policy framework implementation and capacity strengthening. To achieve this objective, the GEF alternative aims to remove the barriers to the long-term solution by strengthening policy, legal and institutional measures for the contribution of LDN, SLM and BDFA in the productive landscape of CDORB, and by enhancing river basin managers’ and planners’ capacity for planning, management and monitoring of LDN, SLM and BDFA. It will increase the effective implementation of SLM and BDFA practices to counteract trends in land degradation and improve ecosystem services deriving from the agroecosystems. This in turn will create better habitat conditions for biodiversity associated with the CDORB agricultural and agroforestry landscapes. The project recognizes the importance of SLM and BDFA practices for positively influencing the ecological balance, economic and social development, and the fact that appropriate land management and farming practices underpins the lives, livelihoods, food security and employment of local stakeholders particularly in rural and upland areas of CDORB, as well as providing for climate resilience and local elasticity towards coping with emergency situations such as that brought about by the COVID-19 pandemic.

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No documents available.			

2. Is the project aligned with the UNDP Strategic Plan?

- 3: *The project responds to at least one of the development settings as specified in the Strategic Plan<sup>1</sup> and adapts at least one Signature Solution<sup>2</sup>. The project's RRF includes all the relevant SP output indicators. (all must be true)*
- 2: The project responds to at least one of the development settings as specified in the Strategic Plan<sup>4</sup>. The project's RRF includes at least one SP output indicator, if relevant. (both must be true)
- 1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.

**Evidence:**

The project will specifically work with small holders and IP communities who depend on farming for their livelihoods on restoring agroecosystems in the productive landscape. Thus, addressing, in one way or the other the following development settings in UNDP 2018 - 2021 Strategic Plan: - Eradicate poverty in all its forms and dimensions; - Accelerate structural transformations for sustainable development; and - Build resilience to shocks and crises. The following Signature Solutions of UNDP 2018-2021 Strategic Plan will be adopted by the Project: - Keeping people out of poverty -Strengthening effective, inclusive and accountable governance -Promotion of nature-based solutions for a sustainable planet -Strengthening gender equality and the empowerment of women and girls.

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No documents available.			

3. Is the project linked to the programme outputs? (i.e., UNDAF Results Group Workplan/CPD, RPD or Strategic Plan IRRF for global projects/strategic interventions not part of a programme)

- Yes
- No

**Evidence:**

At the national level, the project will do this by facilitating the creation of the legal and regulatory framework for the implementation of both the LDN priorities/targets and the BDFAP Framework. This will include the development and approval of JAOs, which will enable multi-sectoral coordination involving relevant agencies related to agriculture, land-use planning and development, transportation etc. The JAOs will also provide guidance on the individual mandates of relevant agencies, financing and programming, as well as outline guiding principles and linkages to relevant policies and tools such as, for instance the approved guidance for SLM mainstreaming developed under the GEF funded project Implementation of Sustainable Land Management Practices to Address Land Degradation and Mitigate Effects of Drought. Furthermore, guidelines for accessing the global LDN fund and other funding sources will be developed, and training provided, to expand on the potential funding mechanisms available to the government and other stakeholders. At sub-national level the project will support CDORB to generate land, biodiversity benefits and improve ecosystems services stemming from the production landscape within CDORBs agroecosystems by improving the technical capacity of basin planners and managers to use decision-support tools and methods for integrated landscape planning. The project will create stakeholder awareness and will build the capacity of river basin managers and national agency staff to support the scaling up of integrated landscape management approaches in five critical river basins targeted by the national LDN program.

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No documents available.			

**Relevant**

**Quality Rating: Highly Satisfactory**

4. Do the project target groups leave furthest behind?

- 3: The target groups are clearly specified, prioritising discriminated, and marginalized groups left furthest behind, identified through a rigorous process based on evidence.
- 2: *The target groups are clearly specified, prioritizing groups left furthest behind.*
- 1: The target groups are not clearly specified.

**Evidence:**

Reducing land degradation within the agroecosystem will have positive ecological and socio-economic consequences, where the latter will have impact on the local farmer communities' livelihoods, as well as financial implications. More than 10,000 ha of farmlands will benefit from direct project interventions. More than 10,000 local community members including farmers, farmers cooperatives, agribusinesses and indigenous people etc. will be capacitated in the use of BDFA and SLM management technologies reducing land degradation and improving local agrobiodiversity and traditional varieties. This will among other result in that at least 2,500 households (11,250 persons) will have a 10% increase in household's income stemming from improved cropland management using BDFA and SLM practices. Of these, 50% of the beneficiaries will be women. As part of this at least 1,000 households from IP communities will be actively engaged in growing selected local varieties and traditional crops and 750 IP households will be supported to adopt or re-adopt/adapt improved farming practices mimicking traditional farming systems and their ecological functions. Specific Indigenous People and Local Communities will, however, be identified during Project implementation following the selection criteria and process that will be developed.

**List of Uploaded Documents**

#	File Name	Modified By	Modified On
1	<a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex10.PIMS6500LandscapeprofileandsituationanalysisFirstDraftversion1MAR222021_8053_104_16394_104">Annex10.PIMS6500LandscapeprofileandsituationanalysisFirstDraftversion1MAR222021_8053_104_16394_104</a> ( <a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex10.PIMS6500LandscapeprofileandsituationanalysisFirstDraftversion1MAR222021_8053_104_16394_104.docx">https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex10.PIMS6500LandscapeprofileandsituationanalysisFirstDraftversion1MAR222021_8053_104_16394_104.docx</a> )	joy.camille.baldo@undp.org	4/7/2023 4:35:00 AM

5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?

- 3: *Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.*
- 2: The project design mentions knowledge and lessons learned backed by evidence/sources but have not been used to justify the approach selected.
- 1: There is little, or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.

**Evidence:**

The Project has taken into consideration into consideration UNDP and related Projects, including: - The GEF-UNDP-BMB New Conservation Areas in the Philippines Project which facilitated the establishment of a Payment for Ecosystem Services in Mt. Kalatungan. - The jointly DA-BSWM/UNDP implemented GEF project Implementation of Sustainable Land Management Practices to Address Land Degradation and Mitigate Effects of Drought developed Supplemental Guidelines for mainstreaming SLM which are to be used by local government units in the revision of their comprehensive land use plans (CLUP) to accommodate relevant aspects of LDN, BDFa and SLM in said plans. The SLM mainstreaming guideline was adopted by the Department of Human Settlements and Urban Development (DHSUD) in November 2019 and the current project will facilitate its roll-out via its activities. - The FAO project Dynamic Conservation and Sustainable use of Agro-Biodiversity in Traditional Agro-ecosystems of the Philippines which is of specific relevance. One avenue for this will be through the project management unit (PMU) while the project will also rely on the internal government mechanisms to ensure appropriate coordination and information exchange etc. Refer to Table 1 (Project relevant for the Securing Long-Term Sustainability of Multi-Functional Landscapes in Critical River Basins of the Philippines Project) of the Project Document.

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#	File Name	Modified By
No documents available.		

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national / regional / global partners and other actors?

- 3: *An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. (all must be true)*
- 2: Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans.
- 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.



**Evidence:**

The project is designed to build on, expand and sustain existing plans, programs and activities by national government agencies and their entities at regional and local levels. The project will thus work with provincial, municipal and city government units, as well as multisectoral governance bodies such as CDORB MC, CSOs, private sector associations and people's organization including Ancestral Domain holders, CBFMA holders, farmers associations and women and youth groups. The project will collaborate with government agencies and benefit from knowledge and lessons learned from relevant ongoing and recently completed projects. The project will also incorporate knowledge and contribution from NGO and CSO projects and community initiatives at the river basin level to ensure that the lessons obtained will be continued. Just as important, is that the project's policy interventions are designed to complement and strengthen new and emerging policies from key government agencies such as DA, DENR, DHSUD, DILG and NCI P. The project's engagement with the private sector will expand and accelerate the work which CDORB MC has initiated with the MNCs to get them to support PES within CDORB. The project interventions will also directly engage with MNCs and large national companies on expanding the SLM and BDFFA practices in their plantation operations, as well as engage said companies in directly assisting SLM work of small farmers by supporting value addition and social enterprise development together with these farmers, as a form of corporate social responsibility. The project will also work with the local chambers of commerce to organize one sharing session each year where the experience of firms already practicing SLM and BDFFA will be shared.

### List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_106_16394_106 ( <a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_106_16394_106.docx">https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_106_16394_106.docx</a> )	joy.camille.baldo@undp.org	4/7/2023 4:36:00 AM

### Principled

Quality Rating: **Exemplary**

7. Does the project apply a human rights-based approach?

- 3: *The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true)*
- 2: The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. (both must be true)
- 1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

**Evidence:**

The project recognizes and affirms Indigenous Peoples (IP) communities' rights and ownership of natural resources and acknowledges their roles in protecting the ecosystems within their Ancestral Domains. This underlying principle was assured during consultations with various IP groups and NGOs pertaining to their roles and benefits in the project's design and implementation of 1.) Sustainable Land Management, 2.) Biodiversity and ecosystem conservation, 3.) Preservation of Indigenous Knowledge Systems and Practices (IKSP) and consent to identify relevant use, 4.) Sustainable Livelihoods, and 5.) Fair valuation of ecosystem services. These and all future consultations, as well as project engagements will be aligned with the IP communities' rights as covered by the following requisite frameworks: 1.) Philippine Republic Act 8371 Indigenous Peoples' Rights Act, 2.) National Commission on Indigenous People (NCIP) Administrative Order (AO) 1-2004 Guidelines on the Formulation of the Ancestral Domain Sustainable Development and Protection Plan, 3.) NCIP AO 3-2012 Revised Guidelines for Free and Prior Informed Consent, and 4.) AO 03-2012 Rules on Delineation and Recognition of Ancestral Domain and Lands). Consent from the IP communities and expressed interest for participation in the project were obtained through community resolutions during the Project Preparation Grant (PPG) phase. Additionally, a formal Free, Prior and Informed Consent (FPIC) will be obtained in Year 1 prior to implementation of the project activities pertaining to rights of the Indigenous Peoples or Ancestral Domains, as outlined in the Environment and Social Management Framework which is annexed to the project document. Thereby the project ensures that the IPs' rights to maintain and develop their own political, economic and social systems are upheld, as well as secures IPs free engagement in all their traditional and other economic activities. The project will, through its right-based approach, also have a focus on small holder farmers whose rights to access to resources are also to be considered. For examples, under Component 1 the revision of Comprehensive Land Use Plans (CLUP) of the five Local Government Units (LGU) in the Cagayan de Oro river basin (CDORB) will include the communities and strictly ensure that the communities are consulted on land use decisions etc. Under Component 2, consultation with IPs communities on IKSPs, consideration of IKSPs on strengthening existing and developing new Payment for Ecosystem Services (PES) mechanisms. Small holder farmers perceptions and inputs will also be taken into account in equal measures. Finally, the Project Board will through its structure ensure participatory process at all levels. where particularly the Cagayan de Oro River Basin (CROB) is concerned.

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No documents available.			

8. Does the project use gender analysis in the project design?

- 3: *A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. (all must be true)*
- 2: A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. (all must be true)
- 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.

**Evidence:**

The project aims to improve gender equality and women's empowerment by focusing on their current and potential opportunities to improve employment access, community management, and representation in planning and decision-making bodies. To this end the project will strive to achieve a 50/50 gender balance during implementation of trainings and capacity building project activities. The project also plans to achieve gender balance by actively promoting women engagement in the project livelihood activities. The project activities and policy work in local realities will be alignment with Gender and Development (GAD) plans of Region 10 and participating LGUs. The detailed project strategy for improving gender equality and women empowerment is presented in the project's Gender Action Plan which is annexed to the project document. The plan incorporates several measures to promote social inclusion, gender equality and youth engagement, as well as promote the role of women (rural and indigenous women in particular) in various activities. The Gender Action Plan (GAP) will address the gender-based constraints and opportunities for the adoption of a dual approach of gender mainstreaming and targeting women to deliver multiple benefits through sustainable land management (SLM) and biodiversity friendly agricultural (BDFAP) practices in CDORB. The project through its design will pursue strong entry points for the inclusion, and addressing, gender concerns in connection with for instance policy development such as the Joint Administrative Orders (JAO) on LDN and biodiversity-friendly agriculture practices (BDFAP) and local zoning ordinances. Another identified entry point is on the empowerment of women through capacity development. The project's engagement in knowledge management and communication will also provide an avenue for furthering gender equality and women's empowerment. Furthermore, project monitoring and evaluation will measure process towards gender equality and women empowerment by collecting youth and gender-disaggregated data and other relevant gender statistics. The project team will include a Gender, Environment and Social Safeguard Specialist with the responsibilities to ensure that the project uphold the UNDP standards for gender equality and women empowerment during its implementation. This will be achieved through, for example, equal gender representation in trainings, that consultant contracting is gender neutral and encourages women to apply. The specialist will also take the lead for the implementation of the GAP as well as provide training on gender equality and women empowerment to project staffs and the staffs of project partners. Additional support to ensure the improve gender equality and women's empower

### List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Annex12.PIMS6500GenderAnalysisandGenderActionPlan-FirstDraftSubmissionversion2MAR092021_8053_108_16394_108 ( <a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex12.PIMS6500GenderAnalysisandGenderActionPlan-FirstDraftSubmissionversion2MAR092021_8053_108_16394_108.docx">https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex12.PIMS6500GenderAnalysisandGenderActionPlan-FirstDraftSubmissionversion2MAR092021_8053_108_16394_108.docx</a> )	joy.camille.baldo@undp.org	4/7/2023 4:37:00 AM

9. Did the project support the resilience and sustainability of societies and/or ecosystems?

- 3: *Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true)*
- 2: The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. (both must be true)
- 1: Sustainability and resilience dimensions and impacts were not adequately considered.



**Evidence:**

Implementing the project recommended practices in the context of river basins, provide the opportunity of these practices being progressively owned, not by single sectoral agencies, but by the multi stakeholder constituency of CDORB management councils, where local governments, business and civil society would be among the key stakeholders, in addition to the DA, DENR and NCIP. The core foundations for sustainability would be actions to incorporate the values and practices of LDN, SLM and BDFA in the strategic directions and investment programs of national agencies (represented in the basin), as well as local governments. The biggest source would be the program resources of the DA (for which LGUs largely depend) and the key pathway is to ensure mainstreaming during the updating of the Sectoral Medium Term Development Plan as initiated by the Regional Agri-Fisheries Modernization Plans. Current DA banner programs cover a wide spectrum of farmer needs, including those of commodity farmers, rural women and rural youth. The accountable officials mandated to implement the recently inked DA-NCIP joint program would be a natural advocate for a dramatic increase in funding for agri support services for IP communities. The same process would be advocated for the DENR and NCIP.

The project would help LGUs incorporate the concepts of LDN, SLM and BDFA in the CLUP, as well as other local policy instruments such as the CDP, Watershed programs and local ordinances relevant to agriculture (e.g. Soil Conservation Ordinance, Organic Agriculture Ordinance). The provincial government would have a crucial sustainability role to play, because it has the power and potential resources to guide municipality LGUs on agricultural concerns and co-finance programs. Also relevant is the recently approved Supreme Court ruling that re-visited the formula for national revenues dedicated to LGUs. Based on this, LGU revenues is expected to increase by at least 27%. The mentioned ruling will enter into effect in 2022. The project can thus aim to advocate that a substantial portion of this "windfall" could support SLM and BDFA initiatives.

The project's planned extension approach will not only be a purely farm household directed extension system but will support a culture and gender sensitive community-based agriculture land use planning and management. This approach helps ensure sustainable agricultural landscapes that is based on a combination of community level actions (such as protecting water sources, nutrient cycles and pollination services) as well as household level actions.

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No documents available.			

10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]

- Yes
- No
- SESP not required because project consists solely of (Select all exemption criteria that apply)
- 1: Preparation and dissemination of reports, documents and communication materials
  - 2: Organization of an event, workshop, training
  - 3: Strengthening capacities of partners to participate in international negotiations and conferences
  - 4: Partnership coordination (including UN coordination) and management of networks
  - 5: Global/regional projects with no country-level activities(e.g.activities such as knowledge management, inter-governmental processes)
  - 6: UNDP serves as Administrative Agent
  - 7: Development Effectiveness projects and Institutional Effectiveness projects

**Evidence:**

### List of Uploaded Documents

#	File Name	Risk Category	Risk Requirements	Document Status	Modified By	Modified On
1	Anne x6.PI MS65 00SE SP-Fi rstDra ftSub missi onver sion3 Mar0 8202 1_80 53_1 10_1 6394 _110 (http s://intr anet. undp. org/a pps/P roject QA/Q AFor mDoc umen ts/An nex6. PIMS 6500 SESP -First Draft Subm ission versio n3Ma r0820 21_8 053_ 110_ 1639 4_11 0.doc x)	Moderate	Human Rights; Gender Equality and Women's Empowerment; Biodiversity Conservation and Sustainable Natural Resource Management; Climate Change and Disaster Risks; Community Health, Safety and Security; Cultural Heritage; Indigenous Peoples	Final	joy.camille.baldo@undp.org	4/7/2023 4:39:00 AM

**Management & Monitoring****Quality Rating: Highly Satisfactory**

11. Does the project have a strong results framework?

- 3: *The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. (all must be true)*
- 2: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. (all must be true)
- 1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. (if any is true)

**Evidence:****List of Uploaded Documents**

#	File Name	Modified By	Modified On
1	PIMS6500ProjectResultsFramework_8053_111_16394_111 ( <a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/PIMS6500ProjectResultsFramework_8053_111_16394_111.docx">https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/PIMS6500ProjectResultsFramework_8053_111_16394_111.docx</a> )	joy.camille.baldo@undp.org	4/7/2023 4:39:00 AM

12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?

- 3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true)
- 2: *The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true)*
- 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

**Evidence:**

The governance mechanism has been defined with the Implementing Partner and GEF-Office of the Focal Point. Specifically, - The Implementing Partner for this project is the Bureau of Soils and Water Management of the Department of Agriculture (DA-BSWM). 247. The Director of DA-BSWM will serve as the National Project Director to oversee the tasks of the Bureau as the Implementing Partner as described above. The National Project Director (NPD) will closely work with UNDP and the Project Management Unit in all aspects of planning, implementation and management of the Project. - UNDP is accountable to the GEF for the implementation of this project. This includes oversight of project execution to ensure that the project is being carried out in accordance with agreed standards and provisions. - Members of the Project Board will include the Department of Agriculture Central Office, DA-BSWM, Department of Environment and Natural Resources Central Office (specifically the Foreign Assistance and Special Projects Services or FASPS), BMB, NCIP, National Economic and Development Authority (NEDA), Department of Interior and Local Government (DILG), DA Region 10, CDO RBMC, IP and CBFM Network representatives and UNDP. The DA-Office of the Undersecretary for Agri-Industrialization and the Fisheries, which also serves as the GEF focal of the Department, will serve as the Chair of the Project Board.

**List of Uploaded Documents**

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No documents available.			

13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?

- 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the programme’s theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks, reflected in project budgeting and monitoring plans. (both must be true)
- 2: Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.
- 1: Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified, no initial risk log is included with the project document and/or no security risk management process has taken place for the project.

**Evidence:**

Refer to UNDP Project Risk Log

**List of Uploaded Documents**

#	File Name	Modified By	Modified On
1	Annex7.PIMS6500UNDPRiskRegisterFirstDraftversion3MAR162021_8053_113_16394_113 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex7.PIMS6500UNDPRiskRegisterFirstDraftversion3MAR162021_8053_113_16394_113.docx)	joy.camille.baldo@undp.org	4/7/2023 4:40:00 AM

**Efficient**

**Quality Rating: Satisfactory**

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include, for example:

- i) Using the theory of change analysis to explore different options of achieving the maximum results with the resources available.
- ii) Using a portfolio management approach to improve cost effectiveness through synergies with other interventions.
- iii) Through joint operations (e.g., monitoring or procurement) with other partners.
- iv) Sharing resources or coordinating delivery with other projects.
- v) Using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.

- Yes
- No

**Evidence:**

The cost-efficiency of the Project rests on the stakeholder engagement and stakeholder management intertwined in the Project design. The Project will build on current governance mechanisms at the national and CDORB levels as well as existing and previous projects and programs from which lessons learned have been processed and integrated in the project design. See Partnership Section of the Project Document and Stakeholder Engagement Plan.

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#	File Name	Modified By	Modified On
1	Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_114_16394_114 ( <a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_114_16394_114.docx">https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_114_16394_114.docx</a> )	joy.camille.baldo@undp.org	4/7/2023 4:41:00 AM

15. Is the budget justified and supported with valid estimates?

- 3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.
- 2: *The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.*
- 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.



**Evidence:**

Real co-financing resources have been discussed with the Implementing Partner to complement GEF resources. However, these are yet to be lobbied with the Department of Budget and Management for approval during the annual budget planning process. Specific resources of Projects of the Department of Agriculture, too, which are aligned with the Project objective are yet to be discussed to serve as complementary resources for this Project during implementation period.

**List of Uploaded Documents**

#	File Name	Modified By	Modified On
No documents available.			

16. Is the Country Office / Regional Hub / Global Project fully recovering the costs involved with project implementation?

- 3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)
- 2: *The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.*
- 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

**Evidence:**

Direct Project Costs have not been programmed in the Project budget as this is planned to be implemented under a full National Implementation Modality (NIM).

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#	File Name	Modified By	Modified On
No documents available.			

**Effective****Quality Rating: Exemplary**

17. Have targeted groups been engaged in the design of the project?

- 3: Credible evidence that all targeted groups, prioritising discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)*
- 2: Some evidence that key targeted groups have been consulted in the design of the project.
- 1: No evidence of engagement with targeted groups during project design.
- Not Applicable

**Evidence:**

During the PPG phase the project has consulted a wide-range of stakeholders representing state and non-state actors, academe, private sector, individual experts, and affected/impacted community groups comprising of small holder farmers, rural and indigenous women, men, and young people, and the PIF prepared stakeholder analysis was reviewed and updated. The stakeholders identified in the PIF was expanded following consultations on 23 September 2020 and 7 October 2020 held with the project Technical Working Group (TWG) and the CDORBMC, respectively.

The stakeholder engagement during the PPG phase was undertaken in compliance with UNDP Social and Environmental Standards, as well as applicable regulatory framework of the Philippine Government. In light of the current pandemic situation (COVID-19), the stakeholder consultations were done virtually. It should be noted that no on-site community visits were done by the PPG Team and close interactions with project related communities and individuals were not undertaken, thus, complicating the information collection and interaction with said stakeholders. However, the process was improved with the help of local facilitators based in CDORB who assisted the PPG Team with their interactions at local level. Despite challenges posed by the COVID-19 pandemic, a deliberate effort was made to engage rural, IP, and women farmers, and representatives of youth groups.

Refer to Stakeholder Engagement Plan for the consultation processes undertaken during the PPG phase.

### List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_106_16394_117 ( <a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_106_16394_117.docx">https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_106_16394_117.docx</a> )	joy.camille.baldo@undp.org	4/7/2023 4:42:00 AM

18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?

- Yes  
 No

#### Evidence:

The M and E Plan outlines activities which will serve as opportunities to identify adaptive management measures to be undertaken during Project implementation.

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#	File Name	Modified By	Modified On
1	Annex5.PIMS6500MonitoringPlanFirstDraftversion1Mar192021_8053_118_16394_118 ( <a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex5.PIMS6500MonitoringPlanFirstDraftversion1Mar192021_8053_118_16394_118.docx">https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex5.PIMS6500MonitoringPlanFirstDraftversion1Mar192021_8053_118_16394_118.docx</a> )	joy.camille.baldo@undp.org	4/7/2023 4:42:00 AM

19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

- Yes  
 No

**Evidence:**

As outlined in the Gender Action Plan the project will directly support efforts towards gender equality and women empowerment in five specific areas 1) Access to and adoption of work burden solutions or options; 2) Eliminate gender bias, traditional practice and cultural norms that affect women's rights; 3) Foster women's participation, leadership and involvement in decision-making at all levels; 4) Capacity Development of rural and indigenous women and 5) Engage with key state actors (DA, DA-BSWM, DENR, DENR-BMB, DENR-FMB, NCIP at the national/provincial/municipal levels) and non-state actors (academe, NGOs, CSO, IPOs) to strengthen their gender mainstreaming and gender analysis skills.

In addition, in the design of project activities and as part of their implementation the project will be gender-responsive and promote gender equality and women's empowerment. This would include generating socio-economic benefits or services for women particularly via their engagement in activities under Component 2. Women's improved participation and decision making would also be pursued through their engagement mainly under Component 1. Furthermore, the project includes gender-responsive indicators where at least 2,500 households (comprising of 11,250 persons, including 48,9 % women) involved in improved cropland management using BDFA and SLM practices, with a minimum of 10% increase in household's income. Approximately 20,000 people (of which about 50% are estimated to be women) will benefit from participation in capacity building events focusing on SLM and BDFA practices, as well as preservation of traditional varieties and enhancement of the ecosystems in the productive landscape. There will be at least 75,000 people involved in the project's activities for improved management of the agroecosystems in the CDORB. It is anticipated that through scaling up to other river basins the number of indirect beneficiaries will be in the hundreds of thousands. The aim is to have 50/50 gender-ratio at the end of the project cycle and the project will collect gender disaggregated data as part of its monitoring protocol and its indicator 1 and 12 related to people's engagement and participation are gender disaggregated. Although gender concerns and engagement are integrated into all of the project's activities by ensuring/aiming for equal gender representation of participants in working groups, trainings, events etc. the main contribution towards gender equality and women empowerment will stem from the project work under Component 2 which is focused on the on-the-ground work with local communities (including IP communities). Here in particular the project will be active in engaging wo

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#	File Name	Modified By	Modified On
1	Annex12.PIMS6500GenderAnalysisandGenderActionPlan-FirstDraftSubmissionversion2MAR092021_8053_1191_16394_119 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex12.PIMS6500GenderAnalysisandGenderActionPlan-FirstDraftSubmissionversion2MAR092021_8053_1191_16394_119.docx)	joy.camille.baldo@undp.org	4/7/2023 4:43:00 AM

### Sustainability & National Ownership

Quality Rating: **Exemplary**

20. Have national / regional / global partners led, or proactively engaged in, the design of the project?

- 3: *National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP.*
- 2: The project has been developed by UNDP in close consultation with national / regional / global partners.
- 1: The project has been developed by UNDP with limited or no engagement with national partners.

**Evidence:**

More than 65 provincial, municipal, and community level consultations were conducted to obtain the insights from the following stakeholder groups: •State actors (national/regional/provincial/municipal/barangay levels); •Non-state actors (NGOs; CSOs, IPOs; conservation organizations and private sector organizations); •Impacted communities; and •Vulnerable groups (rural farmers, rural and IP women, men and youth, forest guardians).

The objectives of the stakeholder engagement consultations were to ensure that stakeholders expectations and concerns of project partners were heard and are considered in the project development. The consultations were a main entry point for the project's development of the: (i) Gender Analysis and Gender Action Plan; (ii) Stakeholder Engagement Plan; (iii) Environmental Social and Management Framework, as well as the Capacity Development Score Card review and the Social and Environment Screening Procedures.

The consultations provided valuable insight into local/indigenous knowledge and information on integrated land management, sustainable land management, and biodiversity friendly agricultural practices, the range of social development impacts (environment, gender, IP and human rights) of land degradation at the CDORB, views on how stakeholders (particularly women leaders, small holder farmers, IP women, and youth) can be effectively involved and equally represented throughout the project's implementation process. The consultations were also used to mobilize actors (state and non-state actors, particularly the private sector) at all levels to co-finance the project in order to address environmental challenges and opportunities across the CDORB, as well as to obtain relevant information on ongoing projects and programs.

Refer to Stakeholder Engagement Plan.



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#	File Name	Modified By	Modified On
1	Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_106_16394_120 ( <a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_106_16394_120.docx">https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex13.PIMS6500StakeholderEngagementPlan-FirstDraftversion2Mar082021_8053_106_16394_120.docx</a> )	joy.camille.baldo@undp.org	4/7/2023 4:44:00 AM

21. Are key institutions and systems identified, and is there a strategy for strengthening specific / comprehensive capacities based on capacity assessments conducted?

- 3: *The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.*
- 2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.
- 1: Capacity assessments have not been carried out.
- Not Applicable

#### Evidence:

Capacity scorecards have been generated for key P project partners and improvement of capacities of the se institutions have been included in the Project Res ults Framework.

The project design has integrated improved capacity -building in the different components of the Project.

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#	File Name	Modified By	Modified On
1	Annex9.PIMS6500DescriptionofProjectActivities-FirstDraftversion2MAR112021_8053_121_16394_121 ( <a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex9.PIMS6500DescriptionofProjectActivities-FirstDraftversion2MAR112021_8053_121_16394_121.docx">https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Annex9.PIMS6500DescriptionofProjectActivities-FirstDraftversion2MAR112021_8053_121_16394_121.docx</a> )	joy.camille.baldo@undp.org	4/7/2023 4:45:00 AM

22. Is there a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?

- Yes  
 No  
 Not Applicable

**Evidence:**

It has been agreed with the Implementing Partner that the national government systems pertaining to procurement of goods and services, recruitment of Project staff and Consultants and financial management will be used with the full National Implementation Modality (NIM) to be undertaken for the Project.

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23. Is there a clear transition arrangement / phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?

- Yes  
 No

**Evidence:**

The potential for upscaling strategies and good practices generated by the project, may be achieved through several pathways. As a demonstration project for a river basin, the experience and learnings can be adapted in other river basins in the country. Initial upscaling could be in other areas within the territories of the CDORB's LGUs which are not part of the Cagayan de Oro river basin. Upscaling could also be done to other river basins and watersheds outside of CDORB but still inside Region 10. If convinced of the applicability of the concept, the natural advocate for this would be the project stakeholder Regional Development Council (RDC) and the immediate targets would be nearby the Tagoloan Watershed and the Marudugao Watershed of Iligan City (a major water source contributing to the catastrophe which impacted Iligan City under Sendong typhoon in 2011). Secondly, as the project will be providing capacity building and sensitization to the river basin management councils of the Cagayan, Pampanga, Mindanao, Agusan, and Iloilo Batiano river basins the potential for upscaling of project developed processes and actions will be high in these river basins. Based on the publicity and knowledge dissemination undertaken by the project it is expected that interest will be sparked in other river basins in Mindanao and the key advocate would be the MinDA. Furthermore, DENR-RBCO being a key stakeholder in the project it will exert its influence not only towards the five already mentioned river basins but to all of the 18 priority river basins identified by DENR.

The anticipated experience of the specific tribes in the 6 pilot Ancestral Domains under the project, can with project knowledge management support, be shared among these IP communities, as well as between other IP communities belonging to the same ethnic group (Talaanding tribe in Talakag to share with other Talaanding tribes in the river basin). At the same time, the experience of specific CBFM groups covered under the project, can be shared with other CBFM groups through the platform provided by respective municipal and provincial Federation of CBFM-POs (peoples organizations). Involved NGOs can help share the learnings through the regional and provincial CSO networks where they belong.

LGUs in CDORB can share their experience with other municipal LGUs in Region 10 through the peer-based League of Municipalities. Project good practices can be shared by LGU public service professionals such as Agriculture Officers and ENR officers to their respective professional leagues (League of Agriculturists and League of ENR officers). These leagues

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No documents available.			

**QA Summary/LPAC Comments**