

**United Nations Development Programme
Philippines**



Empowered lives.
Resilient nations.

**Project Title: Strengthening Institutions and Empowering Localities Against Disasters and
Climate Change (SHIELD) Program Initiation Plan (PIP)
2021 Annual Work Plan**

Implementing Partner: United Nations Development Programme (UNDP)

Project Description

The Philippines is the third most disaster-prone and fifth most exposed to climate change impacts globally. Climate change is exacerbating the impacts of weather-related events in the Philippines. With 7,000+ islands and major coastal population centres, it is highly exposed to rising sea levels and extreme weather events, and associated storm surges and flooding.

The Philippines is one of the fastest growing economies in Southeast Asia and plays an important role in the stability of the region. Environmental degradation and more frequent climatic events are likely to be key political, economic, and security disrupters over the longer term. Humanitarian crises can undermine growth, reverse development gains, increase poverty, and cause instability that can last for decades.

The nexus between gender equity, disability, and social inclusion (GEDSI), disaster risk reduction and management (DRRM), and climate change adaptation (CCA) is a well-established human development issue. Climate change and inequality interlink to create a vicious vulnerability-poverty cycle. Socio-economic inequalities are a key determinant in the disproportionate adverse effects of climate hazards on marginalized people and these impacts in turn create greater inequality and marginalisation. At the same time, disasters and conflict are integrally linked to the broader national development context in which they occur and can contribute to each other by making a situation better or worse

The Government of Australia (GOA) is investing AUD18 million in the Strengthening Institutions and Empowering Localities Against Disasters and Climate Change (SHIELD) Program to support the Government of the Philippines (GPH) in building institutional and community resilience to climate change and natural hazards. The goal of the SHIELD Program is to make all people in target communities safer and more resilient to the impacts of natural hazard events and climate change. Following the Call for Proposals by DFAT which led to the identification of a UNDP-led consortium of partners, the objective of the Initiation Plan is to conduct the inception phase and prepare the Project Document for the SHIELD Program.

Country Programme Period: 2019-2023

Project/Output ID: 00128629/00122575

Project Start Date: 22 January 2021

Project End Date: 30 September 2027

Project Board Meeting/LPAC Date: TBD

2021 AWP budget:

With 1% levy: USD 713,383.00

Without 1% levy: USD 709,290.00

Total resources required: USD 713,383.00

Total allocated resources: USD 713,383.00

- Regular: USD 0.00
- Other:
 - Donor (DFAT): USD 413,383.00
 - UNDP (CRU): USD 300,000
 - Government: USD 0.00

Unfunded budget: USD 0.00

In-kind Contributions: USD 0.00

Agreed by UNDP:

ENRICO GAVEGLIA, Deputy Resident Representative

Date:

25-Feb-2021

MVC

A.4 Sustainable Development Goals Target Alignment	<p><i>Indicate applicable SDG targets. See [link] for full list of targets and indicators.</i></p> <p>11.b By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015–2030, holistic disaster risk management at all levels</p> <p>13.1 Strengthen resilience and adaptive capacity to climate- related hazards and natural disasters in all countries</p>
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A.5 Project Document Outcome Indicators	<p><i>To be determined in the full project document.</i></p> <table border="1" data-bbox="577 528 2085 687"> <thead> <tr> <th colspan="2">Baseline</th> <th colspan="6">Targets / Cumulative Results</th> <th colspan="2">End of Project Target</th> </tr> <tr> <th>Year</th> <th>Quantity/Points /Rating</th> <th>2021</th> <th>2022</th> <th>2023</th> <th>2024</th> <th>2025</th> <th>2026</th> <th>Target</th> <th>Actual</th> </tr> </thead> <tbody> <tr> <td>NA</td> <td>NA</td> <td>NA</td> <td>NA</td> <td>NA</td> <td>NA</td> <td>NA</td> <td>NA</td> <td>NA</td> <td>NA</td> </tr> </tbody> </table>	Baseline		Targets / Cumulative Results						End of Project Target		Year	Quantity/Points /Rating	2021	2022	2023	2024	2025	2026	Target	Actual	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
Baseline		Targets / Cumulative Results						End of Project Target																							
Year	Quantity/Points /Rating	2021	2022	2023	2024	2025	2026	Target	Actual																						
NA	NA	NA	NA	NA	NA	NA	NA	NA	NA																						

I. 2021 ANNUAL WORK PLAN

Project Title: Strengthening Institutions and Empowering Localities Against Disasters and Climate Change (SHIELD) Program Initiation Plan

Project ID: 00128629

Output ID: 00122575

Implementing Partner: United Nations Development Programme

EXPECTED OUTPUTS					
Output 1. Technical reports prepared					
<i>Guidance: Indicate output statement per Project Document</i>					
Project Output Indicator/s	Baseline		Annual Target (Annual)	Cumulative Target (from Start Year)	End-of-Project Target
				Start year: 2021	End year: 2021
1.1 Technical assessments meet requirements of ProDoc	2020	Technical assessments completed during IDD preparation stage	Technical assessments completed during IDD preparation stage updated for ProDoc development	Technical assessments completed during IDD preparation stage updated for ProDoc development	Technical assessments completed during IDD preparation stage updated for ProDoc development

PLANNED ACTIVITIES (for Output No.1)							PLANNED BUDGET (for Output No.1)				
Activity/Sub-Activity Description ¹	Activity Target ²	TIMEFRAME				RESPONSIBLE PARTY ³	IA CODE	Funding Source/Donor	Budget		Amount US\$ (1= PHP 48.106)
		Q1	Q2	Q3	Q4				Code	Description	
1.1 Organize TWG	Technical working group for SHIELD created, with representation from consortium members and stakeholders from national government					UNDP	1981	30000/11854	64397	DPC-Staff	19,650.40
1.2 Identify entry points for COVID-19 Recovery and Resilience	Mapping of entry points for integration of COVID-19 recovery and resilience in SHIELD program					UNDP	1981	30000/11854	74596	DPC-GOE	8,421.60
1.3 Review and update GEDSI analysis undertaken at IDD stage	Updated GEDSI analysis/report/section on ProDoc					UNDP	1981	30000/11854	71300	Local Consultants	65,750.00
1.4 Review and update SESP undertaken during IDD stage	Updated SESP analysis/report/section on ProDoc					UNDP	1981	30000/11854	71400	Contractual Services – Individuals	10,200.00
1.5 Review prioritization criteria of LGUs, conduct consultations and identify year 1 priority sites	Updated prioritization and phasing of target LGUs					UNDP	1981	30000/11854	75700	Training, Workshops and Conferences	25,000.00
1.6 Review and update the political economy analysis done in the IDD stage	Updated political economy analysis/report/section on ProDoc										
1.7 Conduct the humanitarian, development and peace nexus analysis for BARMM	Analysis on humanitarian, development and peace nexus for BARMM										

¹ For UPL/LPL rates, please refer to the latest UPL/LPL rate issuance and ensure that the support service is specified in the LOA with UNDP (reviewed annually).

² Specify units, e.g., number of trainings, number of participants, number of representations, etc.

³ Indicate who will deliver the activity, e.g., UNDP, IP, or Responsible Parties (indicate name of RP)

PLANNED ACTIVITIES (for Output No.1)						PLANNED BUDGET (for Output No.1)					
Activity/Sub-Activity Description ¹	Activity Target ²	TIMEFRAME				RESPONSIBLE PARTY ³	IA CODE	Funding Source/Donor	Budget		Amount US\$ (1= PHP 48.106)
		Q1	Q2	Q3	Q4				Code	Description	
<i>Guidance: Include UPL/LPL rates for UNDP support services</i>											
OUTPUT 1 Sub TOTAL										129,022.00	

EXPECTED OUTPUTS Output 2. ProDoc and mandatory annexes prepared and approved <i>Guidance: Indicate output statement per Project Document</i>				
Project Output Indicator/s	Baseline	Annual Target (Annual)	Cumulative Target (from Start Year) Start year: 2021	End-of-Project Target End year: 2021
2.1 ProDoc with complete annexes completed	2020	<i>DFAT IDD and UNDP proposal completed</i>	<i>ProDoc meeting quality criteria and ready for submission to LPAC</i>	<i>ProDoc meeting quality criteria and ready for submission to LPAC</i>

PLANNED ACTIVITIES (for Output No.2)								PLANNED BUDGET (for Output No.2)			
Activity/Sub-Activity Description ⁴	Activity Target ⁵	TIMEFRAME				RESPONSIBLE PARTY ⁶	IA CODE	Funding Source/Donor	Budget		Amount
		Q1	Q2	Q3	Q4				Code	Description	US\$ (1= PHP 48.106)
2.1 Review background documents (IDD, technical annexes, and technical reports)						UNDP	1981	30000/11854	71300	Local Consultants	68,750.00
2.2 Conduct consultations with stakeholders	At least 4 consultations					UNDP	1981	30000/11854	71400	Contractual Services – Individuals	10,200.00
2.3 Conduct activity and financial planning	1 planning workshop					UNDP	1981	30000/11854	71600	Travel	20,000.00
2.4 Prepare Draft ProDoc and Annexes	Draft ProDoc with complete draft annexes					UNDP	1981	30000/11854	74100	Professional Services	15,000.00
2.5 Conduct TWG review meetings	At least 3 TWG review meetings					UNDP	1981	30000/11854	74500	Miscellaneous Expenses	1,500.00
2.6 Undertake capacity assessment of partners using Partner Capacity Assessment Tool (PCAT)	Completed PCAT for 4 consortium members					UNDP	1981	30000/11854	75700	Training, Workshops and Conferences	25,000.00
2.7 Undertake Harmonized Approach to Cash Transfer (HACT) assessment of partners	Completed HACT microassessment for 3 consortium members										
2.8 Perform QA on Project Design											
<i>Guidance: Include UPL/LPL rates for UNDP support services</i>											
OUTPUT 2 Sub TOTAL											140,450.00

⁴ For UPL/LPL rates, please refer to the latest UPL/LPL rate issuance and ensure that the support service is specified in the LOA with UNDP (reviewed annually).

⁵ Specify units, e.g., number of trainings, number of participants, number of representations, etc.

⁶ Indicate who will deliver the activity, e.g., UNDP, IP, or Responsible Parties (indicate name of RP)

EXPECTED OUTPUTS Output 3. Validation, LPAC review and report completed <i>Guidance: Indicate output statement per Project Document</i>					
Project Output Indicator/s	Baseline		Annual Target (Annual)	Cumulative Target (from Start Year)	End-of-Project Target
				Start year: 2021	End year: 2021
3.1 ProDoc ready for LPAC	2020	<i>DFAT IDD and UNDP proposal submitted</i>	<i>Signed ProDoc</i>	<i>Signed ProDoc</i>	<i>Signed ProDoc</i>

PLANNED ACTIVITIES (for Output No.3)							PLANNED BUDGET (for Output No.3)				
Activity/Sub-Activity Description ⁷	Activity Target ⁸	TIMEFRAME				RESPONSIBLE PARTY ⁹	IA CODE	Funding Source/Donor	Budget		Amount
		Q1	Q2	Q3	Q4				Code	Description	US\$ (1= PHP 48.106))
3.1 Conduct validation workshop	1 validation workshop with stakeholders					UNDP	1981	30000/11854	72400	Communication & Audio Visual Equipment	3,000.00
3.2 Organize LPAC	1 LPAC meeting					UNDP	1981				
3.3 Prepare LPAC documentation and submit ProDoc for signing	Final ProDoc with complete final annexes					UNDP	1981	30000/11854	74500	Miscellaneous Expenses	1,500.00
								30000/11854	75700	Training, Workshops and Conferences	5,000.00
<i>Guidance: Include UPL/LPL rates for UNDP support services</i>											
OUTPUT 3 Sub TOTAL										9,500.00	

⁷ For UPL/LPL rates, please refer to the latest UPL/LPL rate issuance and ensure that the support service is specified in the LOA with UNDP (reviewed annually).

⁸ Specify units, e.g., number of trainings, number of participants, number of representations, etc.

⁹ Indicate who will deliver the activity, e.g., UNDP, IP, or Responsible Parties (indicate name of RP)

EXPECTED OUTPUTS**Output 4. Supported response, recovery, and resilience-building in disaster-affected areas***Guidance: Indicate output statement per Project Document*

Project Output Indicator/s	Baseline		Annual Target (Annual)	Cumulative Target (from Start Year)	End-of-Project Target
	2020			Start year: 2021	End year: 2021
4.1 Extent to which recovery and resilience-building interventions implemented in disaster-affected areas are more responsive due to improved PDNA and planning	2020	Not adequately – Absence of PDNA-informed recovery and resilience-building plans	Largely – Recovery and resilience-building interventions implemented in disaster-affected areas are more responsive due to improved PDNA and planning	Largely – Recovery and resilience-building interventions implemented in disaster-affected areas are more responsive due to improved PDNA and planning	Largely – Recovery and resilience-building interventions implemented in disaster-affected areas are more responsive due to improved PDNA and planning

Activity/Sub-Activity Description ¹⁰	Activity Target ¹¹	TIMEFRAME				RESPONSIBLE PARTY ¹²	IA CODE	Funding Source/Donor	Budget		Amount
		Q1	Q2	Q3	Q4				Code	Description	US\$ (1= PHP 48.106))
4.1 Conduct of post-disaster needs assessment in target areas	Post-disaster needs assessment report in target areas					UNDP	1981	04120/00012	64397	DPC-Staff	1,400.00
									74596	DPC-GOE	600.00
4.2 Prepare Recovery, Rehabilitation and Resilience Plan	Local recovery, rehabilitation and resilience plans developed							04120/00012	71300	Local Consultants	68,000.00
									71600	Travel	10,000.00
4.3 Support to implementation of priority	Recovery and resilience interventions implemented										

¹⁰ For UPL/LPL rates, please refer to the latest UPL/LPL rate issuance and ensure that the support service is specified in the LOA with UNDP (reviewed annually).

¹¹ Specify units, e.g., number of trainings, number of participants, number of representations, etc.

¹² Indicate who will deliver the activity, e.g., UNDP, IP, or Responsible Parties (indicate name of RP)

Activity/Sub-Activity Description ¹⁰	Activity Target ¹¹	TIMEFRAME				RESPONSIBLE PARTY ¹²	IA CODE	Funding Source/Donor	Budget		Amount
		Q1	Q2	Q3	Q4				Code	Description	US\$ (1= PHP 48.106))
recovery and resilience activities						UNDP	1981	04120/00012	74500	Miscellaneous Expenses	2,000.00
								04120/00012	75700	Training, Workshops and Conferences	18,000.00
								04130/00012	64397	DPC-Staff	4,200.00
								04130/00012	74596	DPC-GOE	1,800.00
								04130/00012	71400	Contractual Services – Individuals	20,500.00
								04130/00012	71600	Travel	7,000.00
								04130/00012	72100	Contractual Services – Companies	153,000.00
								04130/00012	72400	Communication & Audio Visual Equipment	7,500.00
								04130/00012	74500	Miscellaneous Expenses	2,000.00
								04130/00012	75700	Training, Workshops and Conferences	4,000.00
								30000/11854	72100	Contractual Services – Companies	100,000.00

Activity/Sub-Activity Description ¹⁰	Activity Target ¹¹	TIMEFRAME				RESPONSIBLE PARTY ¹²	IA CODE	Funding Source/Donor	Budget		Amount
		Q1	Q2	Q3	Q4				Code	Description	US\$ (1= PHP 48.106))
<i>Guidance: Include UPL/LPL rates for UNDP support services</i>											
OUTPUT 4 Sub TOTAL										400,000.00	

Subtotal – Outputs (DFAT)	30000/11854	378,972.00
Subtotal – Outputs (TRAC)	04120/00012	100,000.00
Subtotal – Outputs (TRAC)	04130/00012	200,000.00
GMS 8% (DFAT)	30000/11854	30,318.00
TOTAL BUDGET (DFAT/11854 + UNDP/00012)		709,290.00
<i>1% UN Coordination Levy* (DFAT)</i>	30000/11854	4,093.00
TOTAL BUDGET, including levy		713,383.00

*UN Coordination Levy applicable to DFAT funding is being transferred by UNDP directly to the UN Secretariat

Prior Year Commitments¹³: (Not Applicable – First Year of Project)

Activity/Sub-Activity Description	Year of commitment	RESPONSIBLE PARTY	IA CODE	Funding Source/Donor	Budget		Amount
					Code	Description	US\$ (1=NA)
NA	NA	NA	NA	NA	NA	NA	NA
TOTAL							NA

¹³ Purchase Orders issued in prior years that are not yet received and paid in Combined Delivery Report

II. MANAGEMENT ARRANGEMENTS

The management arrangements for the project shall be identified as part of the development of the full project document. For the Initiation Plan, UNDP Philippines will lead the project development process and management of the budget, in full consultation with DFAT and consortium partners

The Initiation Plan shall be guided by the UNDP Senior Management, in close consultation with DFAT and participation from the Consortium partners. A Technical Working Group comprised of representatives from UNDP, DFAT, Consortium partner representatives, and partner government agencies such as Department of Interior and Local Government (DILG), Department of Science and Technology (DOST), Climate Change Commission (CCC), Office of Civil Defense (OCD), National Economic and Development Authority (NEDA), Department of Finance (DOF), and BARMM, shall be constituted to provide inputs and participate in the review of the Project Document, before it is submitted to LPAC.

The Initiation Plan team will be composed of the following:

- *Team Leader/CC-DRR Specialist*
- *Stakeholder Engagement Specialist*
- *Gender, Disability and Social Inclusion (GEDSI) Specialist*
- *Social and Environmental Safeguards Specialist*
- *Monitoring, Evaluation and Learning Specialist*
- *Political Economy Specialist*
- *Humanitarian, Development and Peace Nexus Specialist*
- *Project Development Associate*
- *Project Assistant*

III. MONITORING PLAN

Monitoring Activity	Purpose	Frequency	Expected Action
Tracking of results/progress	Progress data against the output and activity indicators in the initiation plan 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
Monitoring and management of risks	Identify specific risks that may threaten achievement of intended outputs. Identify and monitor risk management actions using a risk log.	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
Initiation Phase Report	An initiation phase report will be presented to the Technical Working Group, consisting of progress data showing the results achieved against pre- defined targets, lessons learned, and an updated risk log with mitigation measures.	At the end of the initiation phase	

IV. ANNUAL PROCUREMENT PLAN

Project Title:	Strengthening Institutions and Empowering Localities Against Disasters and Climate Change (SHIELD)
Project Type: <i>(DIM or NIM with CO Support or Management Project)</i>	DIM
Date Prepared:	8 February 2021

Instructions:

Please include ONLY the procurement items that will be done by UNDP (i.e., DIM project needs, Management project needs, CO support-to-NIM projects and UN Agency service requirements)

Atlas Project ID No.	Category (Identify if Goods, IC, Civil Works, Recurring Cost, Consulting Services)	Brief Description of goods, services or works required	Unit of Measure	Quantity	Estimated Unit Price in USD	Estimated Total Price in USD	Requested delivery date (for goods and works) or start of services (if services)	Target Date for the Submission of TOR/Specs/SOWs to Procurement Team	Delivery Location (for goods)	Home-based (Yes or No, if consulting services)	Duty Station (if consulting services)
128629	Individual Consultant	Team Leader/CC-DRR Expert (Local Consultant)	ea	1	\$ 36,000.00	\$ 36,000.00	March 1, 2021	February 15, 2021	NA	Yes	Metro Manila
128629	Individual Consultant	Stakeholder Engagement Specialist (Local Consultant)	ea	1	\$ 13,500.00	\$ 13,500.00	March 1, 2021	February 15, 2021	NA	Yes	Metro Manila
128629	Individual Consultant	Gender, Disability, and Social Inclusion (GEDSI) Specialist (Local Consultant)	ea	1	\$ 18,000.00	\$ 18,000.00	March 1, 2021	February 15, 2021	NA	Yes	Metro Manila

128629	Individual Consultant	Social and Environmental Safeguards Specialist (Local Consultant)	ea	1	\$ 13,500.00	\$ 13,500.00	March 1, 2021	February 15, 2021	NA	Yes	Metro Manila
128629	Individual Consultant	Monitoring, Evaluation, and Learning (MEL) Specialist (Local Consultant)	ea	1	\$ 13,500.00	\$ 13,500.00	March 1, 2021	February 15, 2021	NA	Yes	Metro Manila
128629	Individual Consultant	Political Economy Specialist (Local Consultant)	ea	1	\$ 12,000.00	\$ 12,000.00	March 1, 2021	February 15, 2021	NA	Yes	Metro Manila
128629	Individual Consultant	Humanitarian, Development, and Peace Specialist (Local Consultant)	ea	1	\$ 12,000.00	\$ 12,000.00	March 1, 2021	February 15, 2021	NA	Yes	Metro Manila
128629	Consulting Firm (Third Party Service Provider)	Firm to Conduct Capacity Assessment and Microassessment for SHIELD Program Partners	ea	1	\$ 15,000.00	\$ 15,000.00	March 1, 2021	February 15, 2021	NA	Yes	Metro Manila
128629	Individual Consultant	Workshop Facilitator (Local Consultant)	ea	1	\$ 10,000.00	\$ 10,000.00	April 1, 2021	February 15, 2021	NA	Yes	Metro Manila
128629	Individual Consultant	Workshop Documenter (Local Consultant)	ea	1	\$ 6,000.00	\$ 6,000.00	April 1, 2021	February 15, 2021	NA	Yes	Metro Manila
128629	Consulting Firm (Third Party Service Provider)	Call for Proposals – NGO to Manage Cash Grants for Early Recovery Support Activities (Typhoon Rolly) in Albay	ea	1	\$ 90,000.00	\$ 90,000.00	March 1, 2021	February 15, 2021	NA	No	Albay

128629	Consulting Firm (Third Party Service Provider)	Call for Proposals – NGO to Manage Cash Grants for Early Recovery Support Activities (Typhoon Rolly) in Catanduanes	ea	1	\$ 90,000.00	\$ 90,000.00	March 1, 2021	February 15, 2021	NA	No	Catanduanes
128629		Geospatial Mapping Consultant	ea	1	\$ 60,000.00	\$ 60,000.00	March 1, 2021	February 15, 2021	NA	Yes	Metro Manila
		TOTAL			\$ 389,500.00	\$ 389,500.00					

V. RISK LOG (UPLOAD IN ATLAS: GRANTS > PROJECT MANAGEMENT > APPROVED PROJECTS > RISKS)

No.	Description	Date Identified	Type	Countermeasures/ Management Response	Owner	Last Update	Status
1	Pacing of initiation may be affected by delays in procurement	2/8/2021	Operational	Upload the procurement plan, TORs, requests, and other attachments to PROMPT; for small value items, use the Micropurchasing tool to cut down on time	Project Manager	2/8/2021	No change
2	COVID-19 restrictions may affect some project initiation activities (e.g. scoping, LGU planning, etc.)	2/8/2021	Environmental	Online meetings will be the main platform for coordination	Project Manager	2/8/2021	No change
3	LGU prioritization may affect strategic partnerships	2/8/2021	Strategic	Review initial LGU priority list from Investment Design Document and conduct an internal sensing of which LGUs should be first pursued (ideally those with existing/previous engagement with UNDP) and work from there	Project Manager	2/8/2021	No change

