

United Nations Development Programme



Country: Philippines Initiation Plan

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

The SHIELD Program is expected to contribute to the following PFSD/CP Outcome(s) and Outputs:

Outcome 2: Urbanization, economic growth, and climate change actions are converging for a resilient, equitable, and sustainable development path for communities.

CPD Output(s):

Output 2.1 Climate-sensitivity models and hazard maps developed and applied to help NGAs and LGUs better understand and plan for the extent, scope, and distribution of medium and long-term risks.¹

Output 2.2 Enabling policies, private sector engagement, monitoring, reporting and verification systems strengthened to help the country meet its commitments to the Paris Climate Agreement.²

SHIELD Program Outcomes:

1. Government, private sector, and civil society stakeholders in targeted local government units (LGUs) are collaborating to unlock funding and implementing informed and inclusive resilience actions.
2. Relevant national government agencies (NGAs) are prioritizing action on local climate and disaster resilience.
3. Philippine scientific agencies are producing tailored and accessible information for local resilience action.

Start/End Dates³:

Arrangement Period: 22 January 2021 to 30 September 2027⁴

Project Initiation Phase: 22 January 2021 to 30 April 2021⁵

Actual Project Implementation: 1 May 2021 to 31 December 2026

Project Reporting and Closure: 1 January 2027 to 30 September 2027

Implementing Partner: United Nations Development Programme⁶

¹ Output Indicator 2.1.1. Number of UNDP-assisted LGUs with risk-informed development and investment plans, integrating solutions for disaster risk reduction (DRR) and climate change adaptation and mitigation.

² Output Indicator 2.2.1 Extent to which low emission and climate-resilient development targets are reflected in: a) National plans, strategies and budgets; b) Local development plans, strategies and budgets; c) Private sector business plans and strategies

³ The project will be implemented over a six-year, nine-month period (from 22 January 2021 to 30 September 2027) that will cover the entire project cycle, from planning/initiation, implementation, to closure and final reporting. Actual project implementation will be from 1 May 2021 to 31 December 2026. The arrangement will be in effect until 30 September 2027 to allow sufficient time for the development, submission, and acceptance of final project reports and certified financial statements.

⁴ With the option of a no-cost extension of up to two years, subject to the approval of the Donor

⁵ The full project document will be developed as an output of the project initiation phase and will be mutually agreed upon by the Donor and UNDP. The project initiation phase may be shorter depending on the early achievement of project initiation plan outputs.

⁶ In partnership with UN-Habitat; Philippine Business for Social Progress; Carlos P. Romulo Foundation/National Resilience Council; and Consortium of Bangsamoro Civil Society

Brief 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.

Programme Period:	2019-2023
Atlas Project Number:	00128629
Atlas Output ID:	00122575
Gender Marker:	Gen 2
Management Arrangement:	DIM

Total resources required (Initiation Plan):	
	USD 713,383
Total allocated resources:	USD 713,383
• Regular	_____
• Other:	
○ Donor (DFAT)	USD 413,383
○ UNDP (CRU)	USD 300,000
○ Government	_____
Unfunded budget:	_____
In-kind Contributions	_____

Agreed by UNDP:



Selva Ramachandran

mw Resident Representative
Date: 21-Jan-2021

I. PURPOSE AND EXPECTED OUTPUT OF THE INITIATION PHASE

Objective & Final Outputs

The objective of the Initiation Plan is to conduct the inception phase and prepare the Project Document for the SHIELD Program.

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. This will be realized by achieving three inter-dependent outcomes/components:

- Component 1: Government, private sector, and civil society stakeholders in targeted local government units (LGUs) are collaborating to unlock funding and implementing informed and inclusive resilience actions. (*LGU DRRM/CCA Resiliency Resourcing & Implementation*)
- Component 2: Relevant national government agencies (NGAs) are prioritizing action on local climate and disaster resilience. (*Policy Engagement*)
- Component 3: Philippine scientific agencies are producing tailored and accessible information for local resilience action. (*Science to Practice*)

Following the Call for Proposals by DFAT which led to the identification of a UNDP-led consortium of partners, it now becomes necessary to translate the UNDP led-proposal into a Project Document that will detail the following:

- Development Challenge (to include COVID-19 situation)
- Theory of Change, justifying the selection of approach and strategy
- Results and partnerships
- Project management
- Results Framework
- Monitoring and evaluation
- Multiyear work plan and budget
- Governance and management arrangements
- Risk management

This will incorporate the negotiation points with DFAT, including on the programming principles, integration of the COVID-19 context, governance and management arrangements, and the conduct of the inception phase. Outputs required by the SHIELD program will also be produced as part of the inception phase.

The following documents are to be consulted as background for the preparation of the Project document:

- SHIELD Program Investment Design Document (IDD) and the political economy and gender equality, disability and social inclusion (GEDSI) analyses conducted at the program design stage
- Proposal of UNDP-led Consortium to DFAT, dated 20 February 2020
- Responses by UNDP to SHIELD Program Proposal Evaluation Clarificatory Questions, dated April 20, 2020
- UNDP Program and Operations Policies and Procedures

Support to disaster response, recovery and resilience-building in SHIELD target areas

The SHIELD Program also recognizes that natural hazard and conflict events as potential risks, particularly in the target areas. The Program will provide surge capacity and response and recovery support to affected SHIELD areas, as agreed with DFAT.

On 1 November 2020, Super Typhoon Goni (locally known as Rolly), the world's most powerful tropical cyclone for the year thus far, brought torrential rains, violent winds, mudslides, and

storm surges to the Philippines' largest island of Luzon. Typhon Goni left extensive destruction and damages in its path, killing at least 25 people, injuring 399 and displacing 82,980 people as of 11 November 2020⁷. The typhoon has affected more than 2 million people in 8 of the country's 17 regions.

Of the 32 affected provinces, government reports indicate significant damage in Albay, Catanduanes, Camarines Sur and Quezon. Several local authorities have declared a state of calamity to access emergency funds and reprogram other funds for disaster response. Typhoon Goni caused significant damages to livelihoods, houses, critical infrastructure, community-level water systems, health facilities, school buildings/classrooms and essential services.

While the affected areas continue to reel from the consequences of Typhoon Goni and three preceding cyclones in October, Typhoon Vamco (Ulysses) wreaked havoc across Luzon on 11-12 November, hampering response efforts and causing further destruction. Typhoon Vamco affected more than three million people, hitting areas previously affected by Typhoon Goni as well as Metro Manila (Marikina City) and Cagayan Region.

All these are happening as the country faces multifaceted challenges, including the health and socioeconomic crisis brought about by high level of COVID-19 cases. As of 22 November, there were a total of 418,818 COVID-19 cases recorded, of which 24,209 were active.

During the inception phase of the SHIELD Program, immediate recovery and resilience-building support will be provided to affected areas, focusing on SHIELD target sites, particularly Province of Albay. This will be complemented by resources to be provided by UNDP. The aim is to provide immediate assistance to enable people to move quickly from humanitarian relief towards self-sustaining development and ensure that they are more resilient than before the crisis.

The final outputs of the Initiation Plan are:

1. UNDP Project Document (ProDoc), using the 2019 standard template⁸;
2. Mandatory annexes to the ProDoc and project specific annexes, particularly:
 - a. Operations Manual, that includes:
 - Governance Arrangements covering Multi-Stakeholder Partnerships at national and local levels;
 - Partner Engagement Strategy
 - Monitoring, Evaluation, and Learning (MEL) Plan;
 - Risk Register/Management Strategy;
 - Gender Equality and Disability Inclusion Action Plan
 - Knowledge Management Plan (including Communications and Advocacy);
 - Procurement Plan
 - Sustainability Plan (including exit strategy)
 - Disaster Response Protocols (noting the emergency response allocation in program sites)
 - b. Analytical and baseline studies such as:
 - Update to the IDD political economy and institutional analysis, including the validation and confirmation of the program sites listed on page 43 of the SHIELD IDD (10 priority provinces + Metro Manila and BARMM) in coordination with the DILG;
 - Baseline Indicators;
 - Safeguards Assessment (covering potential risks to the environmental, child protection, women and girls, etc);
 - Update to the SHIELD IDD GEDSI Analysis;
 - Scoping for Component 3 (Science to Action); and

⁷ National Disaster Risk Reduction and Management Council

⁸ Attached as Annex A to this PIP.

- Analysis of the humanitarian, peace, and development nexus in BARMM and entry points for the SHIELD Program
- c. Project Quality Assurance Reports
- d. Terms of Reference for Project Board and key management positions
- 3. Partner Capacity Assessment and HACT Assessment Report on Consortium partners (Carlos P. Romulo Foundation/National Resilience Council [CPR/NRC]; Philippine Business for Social Progress [PBSP] and Consortium of Bangsamoro Civil Society [CBCS]) or other partners, should the assessment of these partners not be 'low risk' and the project would need to identify alternative partners;
- 4. Validation Workshop report (as appropriate for projects with a moderate and high Social and Environmental Screening Procedure (SESP) risk rating);
- 5. Local Project Appraisal Committee (LPAC) Review and related documentation.
- 6. Supported the recovery and resilience-building interventions in disaster-affected areas

Once finalized and approved, the Project Document will serve as an Annex to the Third-Party Cost-Sharing Arrangement between the Department Of Foreign Affairs And Trade and the United Nations Development Programme (DFAT Instrument No. 76490).

The SHIELD Program will run for six years, with the option of no-cost extension for up to two years, subject to approval of DFAT.

Initiation Plan Activities

OUTPUT 1: TECHNICAL REPORTS COMPLETED

Identification of entry points for COVID-19 Recovery and adjustments in implementation strategy

An assessment of how COVID-19 Recovery can be addressed from a climate change – disaster risk resilience perspective shall be made in order to determine appropriate entry points for SHIELD to contribute to long term health security, social stability and economic recovery efforts. Likewise, an evaluation of the likely impacts of COVID-19 on the phasing of implementation, engagement protocols, and operational/logistics concerns shall be made to input into the overall strategy. These analyses shall be used to inform the updating of the Theory of Change (TOC), annual work plans and budgets and relevant sections of the ProDoc, which will be developed as an output of this initiation phase, in close partnership with all consortium members.

Gender, Equality, Disability and Social Inclusion (GEDSI) Analysis

A GEDSI analysis will be prepared and reviewed regularly to fully consider the different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) given a project's context, and to identify appropriate measures to address these and promote gender equality and women's empowerment. The GEDSI analysis performed during preparation of the IDD shall be reviewed and updated, if necessary. The analysis will form the basis of a GEDSI Action Plan and Budget to guide gender mainstreaming and ensuring social inclusion during project implementation. The Gender Analysis, and the Gender Action Plan and Budget must be attached as Annexes to the Project Document.

Environmental and Social Safeguard Assessments

The social and environmental safeguards pre-screening (pre-SESP) prepared during the IDD design phase shall be reviewed. If the overall risk categorization of the Project is Moderate, highlighting potential safeguard risks during the detailed preparation phase. The purpose of

these assessments is to identify ways to avoid negative environmental and social impacts where possible (e.g., through site selection). If risk avoidance is not possible, then mitigation and management measures must be identified, in line with the UNDP Social and Environmental Standards. If the required assessments cannot be undertaken or finalized during the Initiation Plan, they must be completed during the first phase of project implementation.

Validation/Prioritization and capacity assessment of project sites

The IDD has identified the following sites/provinces as priorities:

Luzon – provinces of Quezon, Albay, Pampanga, and Pangasinan

Visayas – provinces of Cebu, Eastern Samar, Northern Samar

Mindanao – Davao Oriental, Agusan del Sur, Agusan del Norte

Special regions – Metro Manila, BARMM

The Initiation Plan shall gather additional data, consult with agencies and provincial governments to validate and prioritize the provinces for year 1 implementation. A mapping of hazard vulnerability, economic losses, institutional capacity, donor activity and political commitment, to be informed by the political economy analysis and will take into account COVID-19 impacts, shall be made to identify the first sets of provinces for year 1. A capacity assessment will also be done for the target sites.

Political Economy Analysis

This will provide an analysis of the political and economic aspect, at national and local level, to inform the implementation of the SHIELD program. This will build on the analysis conducted at IDD design phase and will be validated with the Government.

Humanitarian, Development and Peace Nexus Analysis for BARMM

This will provide an analysis on the nexus, as well as the risk and capacities, in BARMM, which will inform the identification of entry points and target areas under the SHIELD program. This will identify the interventions and strategies to be employed that will showcase the nexus. This will be done in close coordination with the BARMM Government.

Other required data/information

In addition, other data/information that will be required shall be gathered and analyzed to inform the preparation of the ProDoc.

OUTPUT 2: PROJECT DOCUMENT AND MANDATORY ANNEXES PREPARED AND APPROVED

Based on the technical reports prepared and reviews undertaken under **Output 1** (detailed above), the full UNDP Project Document will be developed.

The Team Leader and the Project Development Specialist will be responsible for the consolidation and finalization of all required materials. Preparation of the ProDoc includes a specific focus on the following areas:

Theory of Change

The detailed theory of change (ToC), based on the IDD, further consultations and technical reports and data collection undertaken in **Output 1**, will be further articulated. The selected approach will be identified, with a clear rationale backed by credible evidence, integrating gender concerns into the approach. Additional guidance is available in the Annotated ProDoc template. The ToC will be refined in close partnership with the consortium members.

Results Framework

Based on the IDD, technical reports and data collection undertaken in **Output 1**, the Results Framework will be further defined with appropriate Objective-level and Outcome-level

quantitative and qualitative SMART indicators and mid-term and end-of-project targets. It will be designed in line with the following parameters:

- Do not include outputs or activities in the results framework. Outputs and corresponding indicators can be included in the results section and/or in Annex to the project document.
- Prepare a maximum of 2-3 indicators for the Objective and each Outcome. Aim to keep the total number of indicators in the results framework to 15-16.
- Give special attention to include gender-responsive outcomes and other socio-economic benefits.
- Collect baseline data for each indicator using existing national sources when feasible.
- Disaggregate indicators by sex, including number of direct project beneficiaries.
- Set realistic mid-term targets and end-of-project targets that can be achieved by project closure.
- Summarize risks and assumptions, and sources of verification/data.

See the annotated UNDP Project Document template for additional guidance on developing the Results Framework (Annex A).

Monitoring, Evaluation, and Learning (MEL) Plan and Budget

Clarify the roles of various groups involved in project M&E, how project-level monitoring links with data collected at the national level, and specify the frequency of monitoring. Specify monitoring tools to be used; clarify responsibilities for completing the mid-term and terminal evaluation. Provide budget and activities to design and implement the Program Monitoring, Evaluation and Learning (MEL) as specified in the IDD.

Stakeholder Engagement Plan

Based on the consultations undertaken during the Initiation phase, a Stakeholder Engagement Plan will be developed. This will detail the agencies and sectors to be involved in the Multi stakeholder Partnership (MSP) at different levels, and their responsibilities.

Knowledge Management Plan

This will include a scoping of the knowledge and communication gaps and challenges that will need to be addressed. The plan will outline the strategies and actions to be employed on knowledge management, communication and advocacy to support the achievement of the program objectives.

Gender, Disability, and Social Inclusion (GEDSI) Action Plan and Budget

Based on the GEDSI Analysis conducted during the IDD design phase, the GEDSI Action Plan and Budget will outline the GEDSI specific outputs to be delivered during project implementation in order to promote gender equality and women's empowerment and to ensure that inequalities are not exacerbated. As part of the work of preparing the Gender, Disability, and Social Inclusion Action Plan, indicators should be proposed for inclusion in the Results Framework to facilitate the monitoring of the proposed mainstreaming actions.

Social and Environmental Standards

In line with the assessments conducted during **Component 1** (above) and in line with [UNDP's Social and Environmental Standards \(SES\) policy and all associated SES Guidance Notes](#), the SESP will be finalized and all moderate and high risks identified in the SESP will be reflected in the risk table and risk section of the project document. The assessment will include fiduciary risks and risks of financing terrorism. Mitigation and management measures for moderate and high risks will be developed and included in the project document, or included as a separate management plan in Annex to the project document, as required per UNDP's SES. If the mitigation and management measures cannot be fully detailed at the Initiation Phase, an environmental and social management framework (ESMF) will be prepared outlining

the steps to be taken during the first phase of project implementation to address the moderate and high risks. The ProDoc – to be developed as an output of this initiation phase and mutually agreed upon with the Donor - must clearly state that none of the associated project activities will commence until: the assessment(s) have been completed; the required management plan(s) have been prepared; the plan(s) have been disclosed and approved by the Project Board.

Project Management Arrangements

Based on the stakeholder analysis and consultations undertaken in **Component 1** above, agreement(s) on project management and governance arrangements—including roles, responsibilities and accountabilities of UNDP partners — will be secured early in the project development phase and will be fully detailed in the ProDoc.

Financial and procurement Plan

Annual budget and procurement plans shall be prepared and cost-sharing commitments from Consortium members and partners shall be secured with first set of provinces/sites. This will be done through a series of consultations with partners to ensure a coherent and sustainable financing package for the project, including post-project phase to the extent possible.

OUTPUT 3: VALIDATION WORKSHOP, LPAC REVIEW AND REPORT

A validation workshop will be held with relevant stakeholders to present, discuss and validate the project activities, and the final draft of the project document if possible. A validation workshop report will be prepared for projects with an overall safeguards risk rating of moderate or high.

The LPAC shall be organized to discuss the ProDoc, and the proceedings documented as part of the Program documentation.

OUTPUT 4: SUPPORTED RESPONSE, RECOVERY AND RESILIENCE-BUILDING IN DISASTER-AFFECTED AREAS

Support to local post-disaster needs assessment and planning efforts

This will provide upstream technical advice and support to sub-national government offices in the preparation of the Post-Disaster Needs Assessment [PDNA] and Disaster Recovery Frameworks for areas affected by recent typhoons Rolly and Ulysses. The PDNA will inform the recovery and resilience planning in the affected areas.

Interventions to support recovery and resilience-building

Based on the PDNA conducted, immediate assistance will be provided to priority affected areas to enable people and communities to move quickly from humanitarian relief towards self-sustaining development and ensure that they are more resilient than before the crisis. Interventions will also take into account the COVID-19 context.

II. MANAGEMENT ARRANGEMENTS

Management Arrangements

The UNDP Philippines will lead the project development process and manage the Initiation Plan budget, in full consultation with DFAT. The budget is presented in Section IV: Total Budget and Work Plan.

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

Draft Terms of Reference (TORs) for key team members are included in Annex 2 of this Initiation Plan.

Stakeholder Engagement, public disclosure and other requirements

To ensure strong country ownership, and in line with the stakeholder engagement requirements outlined in UNDP's [Social and Environmental Standards](#) (SES), the development of the project to be undertaken during this Project Initiation phase will be done in full consultation and close engagement with government, CSOs, and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project (i.e. direct project beneficiaries). A list of these stakeholders will be prepared and included in Annex to the project document.

III. MONITORING

In accordance with UNDP's programming policies and procedures, the initiation plan will be monitored through the following monitoring plans:

Monitoring Activity	Purpose	Frequency	Expected Action
Track 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.
Monitor and Manage Risk	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. TOTAL BUDGET AND WORK PLAN

Award ID:	00128629
Project ID:	00122575
Award Title:	SHIELD
Business Unit:	PHL10
Project Title:	Strengthening Institutions and Empowering Localities Against Disasters and Climate Change (SHIELD) Program
Implementing Partner:	UNDP
Period:	January 2021 to April 30, 2021

EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME					RESPONSIBLE PARTY	PLANNED BUDGET				Budget Notes		
		Month 1	Month 2	Month 3	Month 4	Month 5		Funding Source	Budget Description	Amount (USD)	Amount (AUD)			
Output 1 – Technical Reports prepared <i>Baseline: Technical assessments completed during IDD preparation stage</i> <i>Indicators: Technical assessments meet requirements of ProDoc</i> <i>Targets: Technical assessments updated for ProDoc development</i> <i>Related CP outcome: Climate-sensitivity models and hazard maps developed and applied to help NGAs and LGUs better understand and plan for the extent, scope, and distribution of medium and long-term risks.</i>	1.1 Organize TWG						UNDP	DFAT	71300 - Local Consultants	65,750	86,330	A		
	1.2 Identify entry points for COVID-19 Recovery and Resilience										71400 - Contractual Services Individuals	10,200	13,393	B
	1.3 Review and update GEDSI analysis undertaken at IDD stage										75700 - Learning Costs	25,000	32,825	C
	1.4 Review and update SESP undertaken during IDD stage													
	1.5 Review prioritization criteria of LGUs, conduct consultations and identify year 1 priority sites													
	1.6 Review and update the political economy analysis done in the IDD stage													
	1.7 Conduct the humanitarian, development and peace nexus analysis for BARMM													

EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME					RESPONSIBLE PARTY	PLANNED BUDGET				Budget Notes
		Month 1	Month 2	Month 3	Month 4	Month 5		Funding Source	Budget Description	Amount (USD)	Amount (AUD)	
Output 2 – ProDoc and Mandatory Annexes prepared and approved <i>Baseline: DFAT IDD and UNDP proposal completed</i> <i>Indicators: ProDoc with complete annexes completed</i> <i>Targets: ProDoc meeting quality criteria and ready for submission to LPAC</i> <i>Related CP outcome: Climate-sensitivity models and hazard maps developed and applied to help NGAs and LGUs better understand and plan for the extent, scope, and distribution of medium and long-term risks.</i>	2.1 Review background documents (IDD, technical annexes, and technical reports) 2.2 Conduct consultations with stakeholders 2.3 Conduct activity and financial planning 2.4 Prepare Draft ProDoc and Annexes 2.5 Conduct TWG review meetings 2.6 Undertake capacity assessment of partners using Partner Capacity Assessment Tool (PCAT) 2.7 Undertake Harmonized Approach to Cash Transfer (HACT) assessment of partners 2.7 Perform QA on Project Design					UNDP	DFAT	71300 - Local Consultants	68,750	90,269	A	
								71400 -Contractual Services Individuals	10,200	13,393	B	
								75700 - Learning Costs	25,000	32,825	C	
								71600 -Travel	20,000	26,260	D	
								74500 - Miscellaneous Expenses	1,500	1,970	E	
								74100 - HACT Assessment	15,000	19,695	F	
Output 3: Validation, LPAC Review and Report <i>Baseline: DFAT IDD and UNDP proposal submitted</i> <i>Indicators: ProDoc ready for LPAC</i> <i>Targets: Signed ProDoc</i> <i>Related CP Outcome: Climate-sensitivity models and hazard maps developed and applied to help NGAs and LGUs better understand and plan for the extent, scope, and distribution of medium and long-term risks.</i>	3.1 Conduct validation workshop 3.2 Organize LPAC 3.3 Prepare LPAC documentation and submit ProDoc for signing					UNDP	DFAT	75700 - Learning Costs	5,000	6,565	C	
								74500 - Miscellaneous Expenses 74500	1,500	1,970	E	
								72400 - Communication	3,000	3,939	G	

EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME					RESPONSIBLE PARTY	PLANNED BUDGET				Budget Notes
		Month 1	Month 2	Month 3	Month 4	Month 5		Funding Source	Budget Description	Amount (USD)	Amount (AUD)	
<p>Output 4: Supported response, recovery and resilience-building in disaster-affected areas</p> <p><i>Baseline: Not adequately - Absence of PDNA-informed recovery and resilience-building plans</i></p> <p><i>Indicators: Extent to which Recovery and resilience-building interventions in disaster-affected areas are informed by PDNAs and planning</i></p> <p><i>Targets: Largely – recovery and resilience building interventions implemented in disaster-affected areas are more responsive due to improved PDNA and planning</i></p> <p><i>Related CP Outcome: Climate-sensitivity models and hazard maps developed and applied to help NGAs and LGUs better understand and plan for the extent, scope, and distribution of medium and long-term risks.</i></p>	<p>4.1 Conduct of post-disaster needs assessment in target areas</p> <p>4.2 Prepare Recovery, Rehabilitation and Resilience Plan</p> <p>4.4 Support to implementation of priority recovery and resilience activities</p>					UNDP	UNDP CRU	71300 - Local Consultants	70,374	92,401	H	
								71600 -Travel	20,000	26,260		
								75700 - Learning Costs	20,000	26,260		
								72100 – Contractual Services (Firms/NGOs)	150,000	196,950		
						DFAT			100,000	131,300		
	DFAT											
	<i>Subtotal (Outputs)</i>								350,900	460,732		
	<i>Oversight and quality assurance (8%)</i>								28,072	36,859		
	<i>Sub total (Programmable Budget: Outputs + Oversight and QA)</i>								378,972	497,590		

EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME					RESPONSIBLE PARTY	PLANNED BUDGET				Budget Notes
		Month 1	Month 2	Month 3	Month 4	Month 5		Funding Source	Budget Description	Amount (USD)	Amount (AUD)	
	<i>GMS (8%)</i>									30,318	39,807	
	Total Programmable Budget with GMS									409,290	537,397	
	<i>UN Coordination Levy (1%)</i>									4,093	5,374	
	TOTAL Initiation Plan Budget (DFAT)									413,383	542,771	
	UNDP											
	<i>Subtotal – Outputs</i>									260,374	341,871	
	<i>Oversight and quality assurance</i>									20,000	20,000	
	<i>Sub total (Programmable Budget: Outputs + Oversight and QA)</i>									280,374	361,871	
	<i>GMS (7%)</i>									19,626	25,331	
	Total Initiation Plan Budget (UNDP)									300,000	387,202	
	TOTAL Initiation Plan Budget (DFAT and UNDP)									713,383	929,973	

Budget Summary for SHIELD Program Implementation – to be further defined in the Project Document

BUDGET COMPONENTS		PLANNED BUDGET		Budget Notes
		Amount (USD)	Amount (AUD)	
SHIELD Program Implementation <i>Detailed activities and budgets to be defined in the Project Document and AWP to be approved by Project Board</i>	<i>Programmable Budget (Output + Oversight and Quality Assurance)</i>	12,188,926	16,004,060	
	<i>GMS (8%)</i>	975,114	1,280,325	
	Total Programmable Budget with GMS	13,164,040	17,284,385	
	<i>UN Coordination Levy (1%)</i>	131,640	172,844	
	TOTAL SHIELD Program Implementation Budget (DFAT)	13,295,681	17,457,229	

DFAT budget summary (PIP + SHIELD Implementation)

BUDGET COMPONENTS	Project Initiation		Implementation		Total	
	USD	AUD	USD	AUD	USD	AUD
Programmable Budget (Output + Oversight and Quality Assurance)	378,972	497,590	12,188,926	16,004,060	12,567,898	16,501,650
GMS (8%)	30,318	39,807	975,114	1,280,325	1,005,432	1,320,132
Total Programmable Budget with GMS	409,290	537,397	13,164,040	17,284,385	13,573,330	17,821,782
UN Coordination Levy (1%)	4,093	5,374	131,640	172,844	135,733	178,218
Total Budget	413,383	542,771	13,295,681	17,457,229	13,709,063	18,000,000

*Based on UN currency exchange rate as of 31 December 2020 at USD1 = AUD1.313; total DFAT contribution is equivalent to AUD18 million

Budget Note	Items	Total estimated person weeks	Budget (USD)	Budget (AUD)	Budget Note
A	Team Leader/CC-DRR Expert (full-time)	24	36,000	47,268	Please see Annex 2 for key responsibilities.
	Stakeholder Engagement Specialist	8	13,500	17,726	
	GEDSI Specialist	9	18,000	23,634	
	Social and Environmental Safeguards Specialist	8	13,500	17,726	
	MEL Specialist	8	13,500	17,726	
	Political Economy Specialist	6	12,000	15,756	
	Humanitarian, Development and Peace Nexus Specialist	6	12,000	15,756	
	Facilitators	4	10,000	13,130	
	Documenters	4	6,000	7,878	
B	Project Development Associate	24	11,400	14,968	
	Project Assistant	24	9,000	11,817	

C	Learning Costs		55,000	72,215	This will include expenses to cover the cost of meetings and workshops: (i) internal team; (ii) within Consortium and (iii) with stakeholders.
D	Travel		20,000	26,260	If quarantine protocols will permit, this includes expenses for: (a) Field visits of national consultants and TWG; (b) Travel cost of project stakeholders for data collection, consultation in the Provinces and other assessments as required.
E	Miscellaneous		3,000	3,939	Miscellaneous expenses and contingency
F	HACT Assessment	3	15,000	19,695	This will be undertaken for CPR/NRC; PBSP and CBCS or any other partner, should the capacity assessment of these NGOs not be Low Risk.
G	Communication		3,000	3,939	Communication cost in coordinating the project preparatory activities, and ProDoc signing
H	Recovery and resilience-building support				Details and specific allocation to be determined based on assessment findings
I	SHIELD Program Implementation Budget				Details to be determined based on annual planning processes
Total			291,400	382,608	

Annex 2: Draft Terms of Reference (TORs) of Consultants for the Project Initiation

Position, Type and Cost	Role, Deliverables and Qualifications
<p>Position: Team Leader/CC-DRR Specialist</p> <p>Type: NC</p> <p>Cost per person week: US\$ 1,500</p> <p>Number of person weeks needed: 24 weeks</p>	<p>Role</p> <p>The Team Leader /CC-DRR Specialist will be responsible for quality assurance and timely preparation of all reports and documentation, including the finalized UNDP Project Document (ProDoc), with all mandatory and project specific Annexes and supporting documentation. S/he will be responsible for managing all consultants on the Initiation Plan Team and coordinating the Team’s work.</p> <p>Deliverables</p> <ol style="list-style-type: none"> 1) <u>Management of the Initiation Plan Team</u> <ol style="list-style-type: none"> a. Define and submit a detailed methodology and work plan in consultation with the other consultants with clear delegation of responsibilities b. Ensure that project development is participatory, gender-responsive and based on extensive stakeholder engagements; and c. Verify and ensure that all project components are technically sound and cost effective. 2) <u>Preparatory Technical Studies and Reviews (Output 1):</u> With inputs from the other national and international consultants, as detailed in their respective TORs: <ol style="list-style-type: none"> a. Update baseline/situational analysis. This will include a precise definition of baseline projects, activities, budgets, goals, including changes in frame conditions due to COVID-19. b. Oversee the stakeholder analysis and consultations and ensure that they are complete and comprehensive; c. Ensure the preparation of the gender analysis and ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework; following the technical work undertaken on GEDSI as specified in the IDD; d. Ensure action points, including risk assessments, from the UNDP Social and Environmental Screening Procedure (SESP) at the IDD stage (“pre-screening”) are fully implemented during preparation, and update

Position, Type and Cost	Role, Deliverables and Qualifications
	<p>that screening in an iterative fashion throughout the ProDoc preparation, as appropriate;</p> <ul style="list-style-type: none"> e. Lead the validation of the project sites, with documentation of prioritization criteria; f. Oversee the consultations with partners regarding financial planning; and g. Ensure completion of any additional tasks that are determined to be needed for the preparation of the ProDoc and all other final outputs. <p>3) <u>Formulation of the ProDoc, and Mandatory and Project Specific Annexes (Output 2)</u>: With inputs from the other national consultants, as detailed in their respective TORs, and based on international best practice:</p> <ul style="list-style-type: none"> a. Validate, update as necessary, and articulate the project's theory of change; b. Validate and update as necessary, the Results Framework; c. Develop a detailed Monitoring and Evaluation Plan and Budget; d. Oversee and ensure the preparation of a Stakeholder Engagement Plan; e. Oversee and ensure the preparation of a GEDSI Plan and Budget; f. Update the SESP and ensure the development of environmental and/or social management plan(s) for all risks identified as Moderate or High in the SESP; g. Secure and present agreements on project management arrangements; and h. Synthesize all analyses, studies, etc. that are prepared under Outputs 1 and 2 to produce the draft UNDP ProDoc, and all mandatory and project specific Annexes, using the required templates. <p>4) <u>Validation Workshop and LPAC (Output 3)</u>:</p> <ul style="list-style-type: none"> a. Lead the validation workshop to present, discuss and validate the final draft ProDoc and mandatory and project specific annexes, with a special focus on the SESP and any management plans; and b. Oversee all necessary revisions that arise during the workshop. c. Ensure completion of Validation Workshop Report. d. Provide technical support in LPAC discussions.

Position, Type and Cost	Role, Deliverables and Qualifications
	<p>5) Support to disaster recovery and resilience-building in affected areas</p> <ol style="list-style-type: none"> a. Oversee and coordinate the implementation of recovery and resilience-building support b. Ensure integration into the overall SHIELD programming c. Draft the surge/response support standard operating procedures and business continuity plan for the SHIELD program <p>6) <u>Final Deliverables:</u></p> <ol style="list-style-type: none"> a. Consolidation of all technical and consultation inputs including from national stakeholders, UNDP, DFAT, into a well written and concise ProDoc with all required sections and Annexes, in line with the standard ProDoc template and annotated guidance; b. All documentation from Initiation Plan (including technical reports, etc.); and c. Validation Workshop Report. d. Progress report, including the implementation of the recovery and resilience-building interventions <p>Qualifications</p> <ul style="list-style-type: none"> ▪ Master’s degree or higher in a relevant field, such as DRRM, Economics, social or political sciences or related fields ▪ Minimum 15 years of demonstrable experience in CC-DRRM ▪ Minimum 10 years in a leadership capacity ▪ Fluency in written and spoken English and excellent coordination and leadership skills
<p>Position: Stakeholder Engagement Specialist Type: NC Cost per person-week: US\$1,500 Number of person-weeks needed: 8 weeks</p>	<p>Role The Stakeholder Engagement Specialist will work with the other team members to deliver the following deliverables.</p> <p>Deliverables</p> <ol style="list-style-type: none"> 1) <u>Preparatory Technical Studies and Reviews (Output 1):</u> Prepare inputs and support the required analyses/studies, as agreed with the Team Leader, including: <ol style="list-style-type: none"> a. Lead and advise on the stakeholder analysis and consultations and ensure that they are complete and comprehensive;

Position, Type and Cost	Role, Deliverables and Qualifications
	<p>b. Support action points, including risk assessments, from the Social and Environmental Screening Procedure (SESP) at the IDD stage (“pre-screening”) are fully implemented during the Initiation Plan, and update that screening in an iterative fashion throughout the ProDoc preparation, as appropriate; and</p> <p>c. Support completion of any additional tasks that are determined to be needed for the preparation of the ProDoc and all other final outputs.</p> <p>2) <u>Formulation of the ProDoc and Mandatory Annexes as well as project specific annexes (Output 2)</u>: Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including:</p> <p>a. Organize engagement with stakeholders, prepare detailed design of stakeholder workshops and facilitate such workshops/lead discussions to secure agreement on roles of stakeholders</p> <p>b. Prepare the Stakeholder Engagement Plan;</p> <p>c. Contribute to the updated the SESP, as needed, based on assessments undertaken during Output 1;</p> <p>d. Support the development of environmental and/or social management plan(s) for all risks identified as Moderate or High in the SESP; and</p> <p>e. Support the agreements on project management arrangements.</p> <p>3) <u>Validation Workshop (Output 3)</u>:</p> <p>a. Contribute to the validation workshop; and</p> <p>b. Support all necessary revisions that arise during the workshop, as appropriate.</p> <p>4) <u>Final Deliverables</u>:</p> <p>a. Detailed stakeholder engagement plan and appropriate inputs into the final Project Document</p> <p>Qualifications</p> <ul style="list-style-type: none"> ▪ Master’s degree or higher in a relevant field, such as Sociology, Economics, or related fields/degrees; ▪ Minimum ten years of demonstrable experience in facilitating engagement among diverse stakeholder groups, ▪ Minimum five years’ experience in CC-DRRM ▪ Fluency in written and spoken English;

Position, Type and Cost	Role, Deliverables and Qualifications
<p>Position: GEDSI Expert Type: NC Cost per person-week: US\$1,500 Number of person-weeks needed: 9 weeks</p>	<ul style="list-style-type: none"> ▪ Excellent facilitation skills <p>Role The GEDSI specialist will work with the Team Leader and other team members to deliver the following:</p> <p>Deliverables:</p> <ol style="list-style-type: none"> 1) Preparatory Studies and Reviews (Output 1) and Formulation of ProDoc and Annexes (Output 2). Prepare inputs and support the required analyses/studies, as agreed with the Team Leader, including: <ol style="list-style-type: none"> a. Review of GEDSI Analysis and Plan prepared during IDD stage; b. Identify relevant indicators, targets and baseline data on these indicators c. Ensure the analysis and plan are meaningfully integrated into the Project's strategy, TOC and Results Framework d. Prepare Gender Action Plan, including plans for improving gender equality and women's empowerment, which will also feed into SESP 2) Validation Workshop (Output 3) <ol style="list-style-type: none"> a. Fully support the Team Leader with the validation workshop; b. Provide technical inputs during the LPAC; and c. Support all necessary revisions that arise during the workshop, as appropriate. 3) Final Deliverables <ol style="list-style-type: none"> a. Updated GEDSI Analysis, to include Gender Analysis following UNDP Guidelines b. Gender Action Plan c. Plan and budget for preparing and monitoring the GEDSI strategy during implementation <p>Qualifications:</p> <ul style="list-style-type: none"> • Masters' degree in Sociology, or related fields • At least ten years of technical experience in gender analysis, GEDSI issues • Minimum five years of experience in CC-DRR • Fluency in written and spoken English and excellent writing skills

Position, Type and Cost	Role, Deliverables and Qualifications
<p>Position: Environmental and Social Safeguards Specialist</p> <p>Type: NC</p> <p>Cost per person-week: US\$1,500</p> <p>Number of person-weeks needed: 4 weeks</p>	<p>Role:</p> <p>The Environmental and Social Safeguard (ESS) Specialist will provide a comprehensive support to the Team Lead to develop all mandatory project and project specific annexes; and lead the tasks related to social and environmental safeguards requirements, including preparing the SESP, finalizing EMSF; preparing Indigenous Peoples (IP) Plan and livelihoods analysis as well as supporting adherence of project development to UNDP's SESP.</p> <p>Deliverables:</p> <ol style="list-style-type: none"> 1) Preparatory Technical Studies and Reviews (Output 1): Prepare inputs and support the required analyses/studies, as agreed with the Team Leader, including: <ol style="list-style-type: none"> a. Review the SESP of the IDD; complete the UNDP SESP, and lead the detailed assessment of all project risks including consultations with local stakeholders; b. With the Stakeholder Engagement and Gender Specialist, assess presence of Indigenous Peoples communities within first year priority project sites their interests. If present, assess potential impacts of the project on rights and interests, lands, territories, resources, and traditional livelihoods and determine when Free Prior Informed Consent (FPIC) applies. Carry out consultations with communities at priority sites to assess level of understanding and capacity to give consent and identify community preferences for FPIC process. Based on these assessments, and if relevant, integrate relevant matters as needed including FPIC into project design and into the comprehensive Indigenous Peoples Plan; c. Identify an appropriate design of a grievance redress mechanism (GRM) for the project based on the existing government and UNDP mechanisms. d. Support the completion of any additional tasks that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the Team Leader. 2) Formulation of the ProDoc, Mandatory Annexes as well as project specific annexes (Output 2):

Position, Type and Cost	Role, Deliverables and Qualifications
	<p>a. Complete the SESP and Environment and Social Management Framework (ESMF), based on assessments undertaken during Output 1, technical annexes to the IDD, and detailed development of project interventions, and identify management measures to mitigate risks to be incorporated into the ProDoc;</p> <p>b. Outline the project's grievance mechanism based on the existing government and UNDP mechanisms;</p> <p>c. Support the agreements on project management arrangements and ensure that environment and social safeguards are adequately incorporated into these arrangements.</p> <p>3) Validation Workshop (Output 3):</p> <p>a. Fully support the Team Leader with the validation workshop;</p> <p>b. Provide technical inputs during the LPAC; and</p> <p>c. Support all necessary revisions that arise during the workshop, as appropriate.</p> <p>4) Final Deliverables:</p> <p>a. Finalized Social and Environmental Screening (SESP)</p> <p>b. Finalized Environment and Social Management Framework (ESMF)</p> <p>c. Requirements for preparation of Indigenous Peoples Plan, if necessary during implementation, particularly in the design and implementation of projects at the provincial level</p> <p>d. Stand-alone Risk Management Plans, to be determined during the Initiation Plan</p> <p>e. Identify Free, Prior and Informed Consent (FPIC) requirements during implementation</p> <p>f. Appropriate inputs to the final ProDoc based on guidance from the Team Leader</p> <p>Qualifications:</p> <ul style="list-style-type: none"> • Master's degree in Environment, Sociology, or related fields • Minimum ten years of technical experience in social and environmental safeguards, including with UNDP-SESP requirements • Minimum five years of experience in CC-DRR

Position, Type and Cost	Role, Deliverables and Qualifications
<p>Position: National M&E and Learning (MEL) Specialist Type: IC Cost per person-week: US\$1,500 Number of person-weeks needed: 4 weeks</p>	<ul style="list-style-type: none"> • Fluency in written and spoken English and excellent writing skills <p>Role The MEL Specialist will work with the team leader and other team members to deliver the following:</p> <p>Deliverables</p> <ol style="list-style-type: none"> 1) <u>Preparatory Technical Studies and Reviews (Output 1)</u> and Formulation of ProDoc and Annexes (Output 2). Prepare inputs and support the required analyses/studies, as agreed with the Team Leader, including: <ol style="list-style-type: none"> a. Validation and updating of the Theory of Change and Results Framework b. Identify existing baseline data sources and information on key indicators c. Facilitate processes leading to stakeholder engagement and consensus on the TOC and Results Framework d. Prepare the Action Plan for MEL Preparation and budget e. Support the stakeholder analysis and consultations and ensure that they are complete and comprehensive; f. Support the review and updating of GEDSI Analysis and Action Plan g. Support the action points, including risk assessments, from the Social and Environmental Screening Procedure (SESP) at the IDD stage (“pre-screening”) are fully implemented during the Initiation Phase, and support the iterations of that screening in an iterative fashion throughout the ProDoc preparation process, as appropriate; h. Support the identification of year 1 project sites, with documentation of prioritization criteria; i. Support the completion of any additional tasks that are determined to be needed for the preparation of the ProDoc and all other final outputs. j. Prepare inputs and support the development of final deliverables, as agreed with the Team Leader. 2) <u>Validation Workshop (Output 3)</u>: <ol style="list-style-type: none"> a. Contribute to the validation workshop; provide technical inputs during LPAC; and b. Support all necessary revisions that arise during the workshop, as appropriate.

Position, Type and Cost	Role, Deliverables and Qualifications
	<p>3) <u>Final Deliverables:</u></p> <ol style="list-style-type: none"> a. TOC, Results Framework b. Baseline data on key indicators c. Plan for MEL Preparation and Budget <p>Qualifications</p> <ul style="list-style-type: none"> ▪ Master's degree or higher in a relevant field, such as natural resource management, economics etc.; ▪ Minimum ten years of demonstrable experience in programme management/design/evaluation/results-based management, and learning ▪ Minimum five years of experience in CC-DRR ▪ Fluency in written and spoken English and excellent writing skills
<p>Position: Project Development Associate</p> <p>Type: SC</p> <p>Cost per person-week: \$ 400</p> <p>Number of person-weeks needed: 18 weeks</p>	<p>Role</p> <p>The PD Associate will provide technical support to the team to identify and engage with relevant stakeholders at national and sub-national levels, and provide logistic support for organising workshop, meetings, as well as support data and information collection.</p> <p>Key Tasks</p> <ol style="list-style-type: none"> 1) Assist the CO in overseeing the whole process of the initiation activities and ProDoc preparation; 2) Ensure documentation of key workshops and consultation meetings; 3) Assist in the gathering/collection/review/analysis of all relevant information needed; 4) Assist in the coordination, preparations and conduct of meetings, workshops and consultations; 5) Work closely with the consultants and UNDP in the preparation of the Project Document and other necessary project reports 6) Assist in the PCAT and HACT assessments 7) Assist in compliance with POPP procedures and guidelines 8) Assist in Atlas management 9) Assist the UNDP CO staff in the preparation of agreements with UN Habitat, CPR/NRC, PBSP and CBCS

Position, Type and Cost	Role, Deliverables and Qualifications
	<p>10) Assist in organization of the LPAC and its documentation</p> <p>Qualifications</p> <ul style="list-style-type: none">▪ Bachelor's degree on Economics, Community Development, Environmental Planning or any related course▪ Minimum 7 years of demonstrable experience in supporting project development and implementation▪ Familiarity with UNDP POPP▪ Fluency in written and spoken English