

Philippines

Mid-Term Evaluation

Thematic window: Environment and Climate Change

Programme Title: Strengthening the Philippines' Institutional Capacity to Adapt to Climate Change

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Prologue

The current mid-term evaluation report is part of the efforts being implemented by the Millennium Development Goal Secretariat (MDG-F), as part of its monitoring and evaluation strategy, to promote learning and to improve the quality of the 128 joint programs in 8 development thematic windows according to the basic evaluation criteria inherent to evaluation; relevance, efficiency, effectiveness and sustainability.

The aforementioned mid-term evaluations have been carried out amidst the backdrop of an institutional context that is both rich and varied, and where several UN organizations, working hand in hand with governmental agencies and civil society, cooperate in an attempt to achieve priority development objectives at the local, regional, and national levels. Thus the mid-term evaluations have been conducted in line with the principles outlined in the Evaluation network of the Development Assistant Committee (DAC) - as well as those of the United Nations Evaluation Group (UNEG). In this respect, the evaluation process included a reference group comprising the main stakeholders involved in the joint programme, who were active participants in decisions making during all stages of the evaluation; design, implementation, dissemination and improvement phase.

The analysis contained in the mid-term evaluation focuses on the joint program at its mid-term point of implementation- approximately 18 months after it was launched. Bearing in mind the limited time period for implementation of the programs (3 years at most), the mid-term evaluations have been devised to serve as short-term evaluation exercises. This has limited the scope and depth of the evaluation in comparison to a more standard evaluation exercise that would take much longer time and resources to be conducted. Yet it is clearly focusing on the utility and use of the evaluation as a learning tool to improve the joint programs and widely disseminating lessons learnt.

This exercise is both a first opportunity to constitute an independent 'snapshot' of progress made and the challenges posed by initiatives of this nature as regards the 3 objectives being pursued by the MDG-F; the change in living conditions for the various populations vis-à-vis the Millennium Development Goals, the improved quality in terms of assistance provided in line with the terms and conditions outlined by the Declaration of Paris as well as progress made regarding the reform of the United Nations system following the "Delivering as One" initiative.

As a direct result of such mid-term evaluation processes, plans aimed at improving each joint program have been drafted and as such, the recommendations contained in the report have now become specific initiatives, seeking to improve upon implementation of all joint programs evaluated, which are closely monitored by the MDG-F Secretariat.

Conscious of the individual and collective efforts deployed to successfully perform this mid-term evaluation, we would like to thank all partners involved and to dedicate this current document to all those who have contributed to the drafting of the same and who have helped it become a reality (members of the reference group, the teams comprising the governmental agencies, the joint program team, consultants, beneficiaries, local authorities, the team from the Secretariat as well as a wide range of institutions and individuals from the public and private sectors). Once again, our heartfelt thanks.

The analysis and recommendations of this evaluation report do not necessarily reflect the views of the MDG-F Secretariat.

**Mid-Term Evaluation of the MDG-F Joint Programme in the Philippines entitled
Strengthening the Philippines' Institutional Capacity to Adapt to Climate Change
[MDGF-1656-E-PHL]**

Revised Evaluation Report

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August 2010

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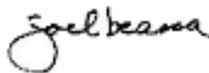
I am now ready to submit this revised version of the evaluation report on the MDG-F Joint Programme entitled *Strengthening the Philippines' Institutional Capacity to Adapt to Climate Change [MDGF-1656-E-PHL]*. This version has been revised based on the corrections and comments by the Evaluation Reference Group and the MDG-F Secretariat on the draft report.

In my opinion, the findings mentioned in this report, as corrected and commented upon, fairly represent the activities and results from the programme since it started in January 2009. These findings were derived from my review of the programme documents, and the interviews and discussions with various informants from the Executing UN Agencies, the Implementing Agencies and Partner Institutions, the Programme Management Unit, the MDG-F Secretariat, and other stakeholder groups.

The facts that are stated in this report are based on the documents and verbal information that were obtained during the course of the evaluation. I have assumed that these facts, likewise indicated in the draft version, have been reviewed by the stakeholder groups. The factual errors which were noted during the course of the review have been corrected in this version. Still, the opinions and conclusions that follow are mine, and these may not necessarily represent the views of the persons and organizations consulted during the evaluation.

The focal persons from the participating UN Agencies and the UN Coordination Office provided all the necessary information and support to complete this report. Their counterparts from the government agencies in the Philippines also ably assisted in the collection and analysis of the information which were used in the evaluation. The programme staff provided valuable help in convening the interviews and discussions, and provided other relevant data for the task. In general, the local stakeholder groups were most cooperative and were receptive to the ideas that came out during the evaluation process.

I am privileged by the thought of being able to help in the achievement of the MDGs in my country of origin through the evaluation and this report.



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30 August 2010

List of Acronyms

ADB	-	Asian Development Bank
AECID	-	Agencia Española de Cooperación Internacional para Desarrollo
CCA	-	Common Country Assessment
DA	-	Department of Agriculture
DENR	-	Department of Environment and Natural Resource
DEX	-	Direct Execution
DOH	-	Department of Health
DOLE	-	Department of Labor and Employment
DTI	-	Department of Trade and Industry
ESCAP	-	Economic and Social Commission for Asia and the Pacific
FAO	-	Food and Agriculture Organization
GOP	-	Government of the Philippines
HUDCC	-	Housing and Urban Development Coordinating Council
ILO	-	International Labor Organization
JP	-	Joint Programme
LGU	-	Local Government Unit
M & E	-	Monitoring and Evaluation
MDGs	-	Millennium Development Goals
MDG-F	-	MDG Achievement Fund
MDTF	-	Multi-Donor Trust Fund
MTPDP	-	Medium-Term Philippine Development Plan
NEDA	-	National Economic and Development Authority
NEX	-	National Execution
NGA	-	National Government Agency
NGO	-	Non-Government Organization
NSC	-	National Steering Committee
PAGASA	-	Philippine Atmospheric, Geophysical and Astronomical Sciences Administration
PMC	-	Programme Management Committee
PMU	-	Programme Management Unit
PRECIS	-	Providing Regional Climates for Impact Studies
RBM	-	Results-Based Management
TOR	-	Terms of Reference
UN	-	United Nations
UNCT	-	UN Country Team
UNDAF	-	UN Development Assistance Framework
UNDP	-	UN Development Programme
UNEP	-	UN Environment Programme
UNRC	-	UN Resident Coordinator
WHO	-	World Health Organization

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Executive Summary

In compliance with the UN General Assembly Resolution on the Millennium Development Goals (MDGs), the Government of the Philippines (GOP) launched the MDGs in 2000 and formally committed to achieve these goals by 2015. By 2007, a mid-term progress report which was prepared by the GOP showed progress in achieving Goals 1, 4, 6 and 7 and challenges in attaining Goals 2 and 5. Concerns were then raised on the government's ability to finance the requirements for the MDGs and the accuracy of the nationally-aggregated data that are being used by the GOP.

In 2008, the element of climate change was factored into the achievement of the MDGs through the programme entitled *Strengthening the Philippines' Institutional Capacity to Adapt to Climate Change*. The programme acknowledged that there are gaps in climate change policies, technical competencies, and overall awareness among the relevant government institutions in the country. In turn, these weaknesses are putting the achievement of the MDGs at risk. Hence, the programme sought to improve the climate change capacity of key government institutions, enact favorable plans and policies on climate change, and thereby increase the chances of success on achieving the MDGs.

This programme is one of four joint programmes in the Philippines which are being supported by the MDG Achievement Fund (MDG-F). A joint programme involves several UN Agencies which are expected to work together through a common results framework and action plan. There are 6 UN Agencies which are participating in this particular programme.

In early 2010, the MDG-F Secretariat started the effort for a mid-term evaluation of the programme which had started in January 2009. An Independent Consultant was tasked to conduct the evaluation. The work was done through document reviews, focus group discussions, and key informant interviews. An inception report was prepared, and a field mission to the Philippines was carried out in June 2010.

The programme was assessed on the bases of its relevance, effectiveness, efficiency, and prospects for sustainability. Information gathered during the process led to the following findings:

Relevance of the Programme - The programme is aligned to the needs and plans of the Philippines. The country adopted a Climate Change Law in 2009 which mandated the mainstreaming of climate change in its development plans and processes. It also created the Climate Change Commission which is composed partly by the key government agencies that are also involved in the programme. The goal of building up the climate change capacities of these agencies clearly matches the needs created by the law and its overall plan on climate change.

At the time that the evaluation is being conducted, the 2010-2016 Medium-Term Philippine Development Plan (MTPDP) is also being prepared, and local development plans are also being updated. A major target output by the programme is to adapt the MTPDP and the local development plans in the outreach areas to climate change, and there are on-going efforts to make these happen. Through these activities, it can be stated that the objectives and interventions of the programme are clearly aligned to the would-be national and local development strategies of the Philippines.

The programme beneficiaries are the government institutions that are critical to the country's effort in adapting to climate change. These are the lead agencies in development planning, environmental management, weather forecasting, agricultural development, health promotion, housing and urban development, and industry growth. A link to the newly-created Climate Change Commission will also eventually happen. Programme outreach is thus relevant to the overall context and goal.

Informants from these national government agencies and a local government unit that was consulted by the mission also confirmed the high relevance of the programme to the needs, priorities and mandates of their institutions. While there are other on-going initiatives on climate change, the programme is perceived to be distinct in terms of its comprehensive and scientific approach to climate change adaptation.

The programme is also relevant to UN priorities and policies on climate change and joint programming. There is a rational programme link to the current UN Development Assistance Framework (UNDAF), and it is expected that the programme outputs will help develop the next UNDAF content on climate change. The programme is also the first to be implemented and the biggest UN joint programme in the Philippines in the current milieu; as such, it has the potential to clarify and elaborate the joint programme concept.

Aside from the relevance of the programme to the government and the UN, there is also a possibility that it could establish a strategic relevance in the agricultural, housing, health, and industry sectors, and also in the gender dimension. This is due to the demonstration models that the programme is developing along these aspects, and the initial perceptions about the programme's gender relevance.

Effectiveness of the Programme - Overall, the programme is delayed, and it is believed to have been caused by these factors: a *lengthy start-up time* because of the programme's complex nature of implementation; *it is a new concept and experience* in climate change adaptation and joint programming in the Philippines; some *technical constraints* that were met in the initial period; *management weaknesses* in procurement and personnel administration; and the occurrence of *fortuitous events*. The lag time could be significant, and while catch-up plans are in place, these are not likely to lead towards the achievement of results within the original time frame. The occasional use of the "commitment rate" formula as the "delivery rate" is also obscuring the programme's achievement of results.

The programme's contribution to the achievement of the MDGs is being affirmed by the occurrence of fortuitous events that are associated with climate change. As the deadline for the MDGs becomes nearer however, the strategic issues in terms of MDG financing and absolute poverty reduction are re-emerging. The programme is yet to take a position and action on these strategic issues because it is focused on the basic problems in operations.

On the whole, the programme is clearly contributing to the environment and climate change objectives of the MDG-F. Programme activities are intended to integrate climate change adaptation strategies into the national (i.e. MTPDP and UNDAF) and local development plans of the Philippines. New approaches are also being piloted in the farming, housing, industry, health, and local governance sectors. Still, the programme needs to elaborate its approach towards gender equality and public participation. The gender dimension of climate change under the programme is unclear, and there are missing elements of public participation in the programme. One finding that the programme also needs to clarify is its national ownership, considering that most of the participating UN Agencies are working via a direct execution mode, although it was apparent that the government agencies are active participants in the programme.

The programme is also generally adhering to the norms in joint programming and it is also expected to contribute to a greater understanding of the concept. There are varying opinions as to how much the programme is complying with the joint programming standards, and this appeared to be due to differences in perceptions and expectations over the concept rather than omissions of clear rules. The matter of synergy is still largely unexplored by the programme, because of a current focus on operational issues. In theory however, it is believed that synergy will be created through the programme interventions.

The programme is indeed covering the number of beneficiary-institutions that have been planned for. A link with the Climate Change Commission is also highly likely. In view of these, the programme outreach is effective. There are also perceptions that the programme is also becoming effective in its reach over women, but these perceptions still have to be validated and documented by programme management. Both rural and urban areas are being covered by the programme, although there is no demonstration site being developed in the central part of the country (i.e. the Visayas regions).

Based on the comments from the end-users, the programme outputs are of good quality. The technical nature of the intervention requires the services of expert scientists and institutions, whose outputs were noted positively by the informants.

At this time, there are some unplanned effects being created by the programme in terms of leveraging that has resulted in another programme on climate change, and the generation of climate change scenarios that could be used throughout the country.

Programme Efficiency - The programme's coordination system is in place and it is functional. However, there are operational issues that could not yet be solved by the system. One major inefficiency issue faced by the programme is the slow procurement process. According to the analysis, this is due to the following factors: *Agency Rules and Processes; Inter-Bureaucratic Transactions; Limited Suppliers; and Staff Weaknesses*. Late personnel hiring and staff turnover also added to the inefficiency in operations.

The system will also have to show that it can solve the emerging strategic issues in the programme such as operationalization of the joint programming concept and the creation of synergistic effects. It is generally believed that the overall weakness of the programme in solving these strategic and the earlier-mentioned operational issues is because of it being a new experience in the Philippines. This perception is however, only partly true. While the programme is a pioneering effort in joint programming within its current milieu, there has already been a previously known experience of a joint programme in the country. Apparently, the lessons from this experience have not been taken into account in the planning and implementation of the programme, and this could have been caused by turnovers in the UNCT positions over time.

A programme-level Monitoring and Evaluation (M & E) System is not yet in place and this is contributing to the gaps in management information and decision-making.

Programme outputs are being delivered at least financial cost through the agencies' practice of a quality and cost based selection method in procurement. The programme is therefore efficient in this aspect. At the same time, the budgeting method being followed by the programme and the fund release system (i.e. the "commitment rate" system) could be resulting to financial inefficiency. Except for the ratio of indirect costs to direct costs, other financial efficiency measures could not be applied because of the lack of data.

Prospects for Sustainability - There are indications that the programme interventions will remain even after the conclusion of programme activities by 2011. The policy changes that are being created by the programme will remain effective at least for the next 3 - 6 years. The turnovers in government agencies brought about by the change in government in the Philippines will also not likely affect the continuation of programme activities. This will hold true for both the national-level and local-level government agencies. This is because the programme is working with key lower-level development planners and technical persons. The programme has also adopted a sustainable approach towards capacity development, such as training of personnel and development of training modules. However, the creation of the Climate Change Commission as the mandated inter-agency coordination mechanism on climate change in the Philippines will eventually require the programme to interface its activities and plans with this government body, in order to sustain the programme efforts.

Based on these findings, the evaluation made the following conclusions:

1. The programme is highly relevant to the overall context in which it is situated, it will remain relevant at least until the medium-term period, and it has a potential to expand its relevance in other still unexplored aspects.
2. There are strong indications of programme effectiveness in the aspects of outreach, quality of outputs, and creation of unplanned positive effects, but the overall effectiveness of the programme is being negatively affected by its low performance on the aspect of results achievement.
3. Operational efficiency is being hampered by the complexity of the management structure and system, which still has to evolve into problem-solving mechanisms. The lack of a monitoring and evaluation system further adds to the difficulty in problem-solving. Financial efficiency is being constrained by the budgeting method and the fund transfer system being applied in the programme.

4. The prospects for sustaining the programme interventions are high.
5. On the whole, the programme is strong in the aspects of relevance and prospects for sustainability, while weak in terms of its effectiveness and efficiency.
6. The emerging lessons from the programme experience are:
 - 6.1 A pioneering and complex programme such as the one being implemented requires considerable start-up time. Such a start-up period should be factored into the inception phase and also in the implementation plan;
 - 6.2 Global programme implementation guidelines should be consistent with the results-oriented concepts in programme management. Prior to finalization of the implementation guidelines, there should be a system that will check its effects on the achievement of results;
 - 6.3 The expectations from a joint programme should be clarified at the onset. The guidelines on joint programming should be reviewed by the UN Agencies and the MDG-F Secretariat at the start of the programme, and the terms of reference on how much of these guidelines will be applicable to the programme should be adopted; and
 - 6.4 Contributing to the achievement of the MDGs may require more effort than what are intended in the programme document. Strategic issues that are already beyond the programme will also have to be addressed because these are related to the programme goal.
7. The good practices observed from programme implementation are:
 - 7.1 The programme's effort to combine existing initiatives on climate change with innovative models;
 - 7.2 The programme's ability to create value-added in terms of a new programme on climate change and wider usage of its outputs; and
 - 7.3 The programme's approach of dealing with the key persons in the government institutions which is enhancing the sustainability of the intervention and the long-term success of the capacity-building process.

The following recommendations were put forward in this report:

Recommendations for the PMU

- First and foremost, the programme should make the necessary adjustments in planning, by estimating the lag time and preparing a second half plan that would make up for this lag time
- A programme-level monitoring and evaluation system should be installed immediately, and it should be integrated with the programme planning process
- Process documentation of the experiences in the demonstration sites should begin

Recommendations for the NSC/PMC/UNCT

- The strategic issues raised in the report should be addressed by the National Steering Committee and the UNCT
- The governance and management structures in the programme should be consciously upgraded into problem-solving mechanisms
- Further turnovers among the programme staff should be avoided

- The programme may continue to use the commitment rate system to secure future fund releases, but the practice of applying it also as the delivery rate should be discontinued
- The National Steering Committee should adopt a fund variance policy that would help check the financial efficiency of the programme, and future financial reports should indicate the value of local counterpart and the ratio of field costs to head office (Manila) costs
- Programme management should start discussions about the programme's exit plan and sustainability strategy

Recommendations for the MDG-F Secretariat

- Solutions to similar problems and lessons learned in other joint programmes under the global MDG-F portfolio can be shared to the implementing group
- Subject to the results of the estimation of the lag time and the re-planning process, a short extension of the programme may be considered

I. Introduction

A. Background of the Evaluation

The MDG Achievement Fund (MDG-F) was established in 2007 as a support funding facility for the Millennium Development Goals (MDGs). An amount of €528 million was sourced by the Government of Spain through the United Nations (UN) System for this purpose. Programmes which are funded under the MDG-F belong to any of these priority themes: *Culture and Development; Gender Equality and Women's Empowerment; Conflict Prevention and Peace Building; Children, Food Security and Nutrition; Economic Governance; Youth, Employment and Migration; Development and the Private Sector; and Environment and Climate Change.*

It was also agreed that aside from the overall framework of aiding in the success of the MDGs, the effort should be consistent with the principles and agreements set in the Paris Declaration on Aid Effectiveness and with the concept of One UN. This means that the MDG-F is recognized to be part of the overall development effort, and it should lead to greater cohesion among the UN Agencies through their adoption of a joint programme. Globally, there are 128 of these joint programmes in 49 countries that are being funded through the MDG-F.

In the Philippines, the three-year joint programme entitled *Strengthening the Philippines' Institutional Capacity to Adapt to Climate Change* [MDGF-1656-E-PHL] started in January 2009. This is a programme which is part of the *Environment and Climate Change Window* of the MDG-F. Now halfway through the programme period, the MDG-F Secretariat initiated the conduct of a mid-term evaluation in early 2010. An Independent Consultant was tasked for the study.

B. Objectives of the Evaluation

Based on the Evaluation Terms of Reference (TOR), the objectives of the study are:

1. To know about the quality of the design and the internal coherence of the joint programme, the external coherence to the UN Development Assistance Framework (UNDAF) and National Development Strategies, and up to what extent national ownership is present in the implementation of joint programmes according to the terms defined by the Paris Declaration and Accra Action Agenda;
2. To know about the implementation of the joint programme, the efficiency of the management system with regards to planning, coordination, and use of the designated resources for its implementation;
3. To know about the degree of effectiveness of the programme in terms of beneficiaries, contribution to the thematic window as well as to the Millennium Development Objectives at local level and/or in the country; and
4. (To conduct a) Preliminary assessment of the sustainability context including the JP outcomes as well as barriers and counter-measures in order to ensure sustainability.

C. Scope of the Evaluation

1. Assessment Criteria

The programme was appraised on the basis of its *Relevance, Effectiveness, Efficiency, and Prospects for Sustainability*. The guide questions which were adopted for each of these criteria are listed in Annex A.¹

¹ An assessment on the actual sustainability of the programme can be more appropriately done during its end-of-project or terminal evaluation.

2. Assessment Period

The programme elements (i.e. inputs, activities, and results) from actual programme start (i.e. January 2009) until June 15, 2010 were considered in the assessment.²

3. Range of Informants

Information were collected from the focal persons of the Executing UN Agencies, the UN Country Team, Implementing Agencies, Partner Institutions, and the Programme Management Unit (PMU). The MDG-F Secretariat and the Spanish Agency for International Development Cooperation (AECID) were also consulted during the evaluation [Annex B].

D. Methodology Applied

Document reviews, focus group discussions, and key informant interviews were conducted for the evaluation.

The documents which were provided by the MDG-F Secretariat and stakeholder groups during the course of the evaluation were reviewed [Annex C]. There were also some other reference documents in the list which were independently obtained by the Consultant.

An Inception Report was prepared by the Consultant prior to the field mission, and this report was forwarded by the MDG-F Secretariat to the local stakeholder groups.

A field mission to the Philippines was carried out from June 15 until June 25, 2010. The mission featured focus group discussions, key informant interviews, a visit to a demonstration area (i.e. Albay Province), and a debriefing session [Annex D].

Prior to the field mission, a standard interview form was sent to the programme management staff and focal persons of the stakeholder groups by electronic mail [Annex E]. The responses to the e-mail interview form served as bases for the follow-up face-to-face interviews and group discussions with the informants.

A draft version of the evaluation report was prepared and submitted by July 2010. Corrections and comments on the draft report were thereafter forwarded by the Evaluation Reference Group and the MDG-F Secretariat. This revised version was made based on those comments and corrections.

E. Limitations of the Evaluation

This evaluation is bounded by the following limitations:

1. In the absence of a prior Programme Evaluability Assessment, the information collected by the evaluation have been taken as submitted and as originally designed. Nonetheless, it appeared from the documents that the stakeholder groups have been informed on the forthcoming evaluation as early as April 2010.
2. Due to the lack of an integrated three-year programme plan of activities, a substantive analysis on the achievement of outputs and outcomes was done using the budget allocations indicated in the programme document and the disbursement data specified in the latest available [i.e. 2009] monitoring report.

² It was agreed that the start of the programme would be reckoned from the date by which the first transfer of funds was received locally. The terminal period is based on the latest financial data which were submitted for the evaluation, which were dated as of June 15, 2010.

3. Designed as a rapid assessment, the evaluation was able to physically visit one out of the five demonstration sites. Informants from the other sites were nevertheless also present during the group discussions which were held in Manila. They also responded to the e-mail interviews.³
4. The financial data which are cited in this report are based on an unaudited report which was prepared by the PMU for the purposes of this evaluation. This consolidated financial report was based on similarly unaudited schedules which were submitted by the executing and implementing agencies.

³ A planned second visit to the hospitals in Manila was cancelled by the organizers because the training activities under this component are either still on-going or have just been completed. In lieu of this visit, a group discussion with the focal persons of the health agencies (i.e. WHO and DOH) in their office in Manila was carried out.

II. Programme Description

A. Baseline Situation

In 2000, the Government of the Philippines (GOP) formally launched the MDGs and announced its commitment to achieve these goals by 2015. A total of 20 indicators which are believed to be applicable in the country setting and its statistical system were adopted.⁴

A mid-term MDG report which was prepared by the GOP in 2007 showed that there has been progress in the achievement of Goals 1, 4, 6 and 7. At the same time, the GOP acknowledged that there are problems in the attainment of Goals 2 and 5. Thus, the country's confidence level was high in attaining Goals 1, 4, 6 and 7 and low on Goals 2 and 5 at that time [Annex E].

By then, there were emerging questions and issues as to how the government will certainly be able to deliver these MDG commitments by 2015. The principal challenge being raised against it is the capability of the government to fund the resource requirements for the MDGs. As a follow-through to the UN Millennium Project Report [2005], a local study for instance concluded that the government lacks the budget in achieving the MDGs [Manasan, 2007].

Civil society organizations that have been monitoring the progress in the MDGs also refuted the overall positive impression being created by the government in its mid-term report. These NGOs believe that the use of national statistics tend to conceal the real results, since the performance in the advanced regions are pulling up what are otherwise dismal results in the other regions. Particular reference is often directed at the poverty data, which show that while the aggregate poverty incidence has indeed lessened to 33% as of 2006/2007 from the baseline 45% (1990), the poverty situation in the poorer regions have remained practically the same.

In 2008, the Programme Document which was developed for the programme being evaluated linked the issue of climate change to the achievement of the MDGs. It was estimated that the flashfloods, typhoons and dry spells that occurred from 1995 until 2007 negatively affected more than 400,000 farmers and fishers. These have also resulted in production losses of around PHP 5 million in some 412,000 hectares. Roughly two-thirds of the poor are situated in these rural areas, which make them more vulnerable to climate change. It was postulated that these negative socio-economic effects of climate change would constrain the country's achievement of the MDGs.⁵

The overall weakness of government institutions in responding to the challenges brought about by climate change was identified as a core problem in the Programme Document. Gaps in policies, systems, technical competencies, and awareness were specifically mentioned as among the basic issues. As an example, the country's premier institution for weather forecasting [PAGASA] was cited as being unable to provide timely climate information. Key development plans, such as the Medium-Term Philippine Development Plan (MTPDP), were also assessed to be lacking in the dimension of climate change. In view of these, the programme sought to strengthen the country's institutional capacity to adapt to climate change.

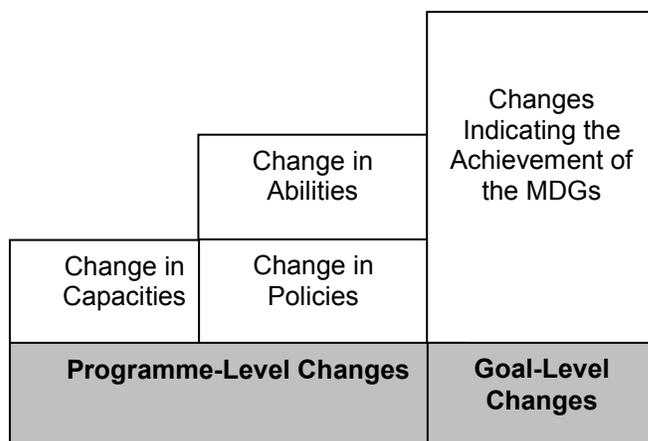
⁴ Initially, it was reported that the 11 indicators under Goal 8 (i.e. Develop a Global Partnership for Development) are not applicable in the Philippines. Also, the data for 8 other indicators could not be collected from the government statistical system. However, there are efforts to collect more of these information from other sources.

⁵ The effect of climate change to the development of the Philippines has been noted as early as 2004 when estimated agricultural production losses due to the occurrence of El Niño were included in the then Common Country Assessment (CCA) done by the UN for the Philippines. A subsequent UN Development Assistance Framework (UNDAF) for 2005-2009 nonetheless carried little plans for climate change. Much of the shortcoming had to do with the limited understanding on climate change at this time.

B. Theory of Change and Expected Results

The programme believes that improvements in capacities on climate change among the relevant government institutions would lead to the enactment of favorable policies and relevant plans. Upgrading their technical capacities would also result in better abilities to execute these policies and plans. At the level of goals, these positive changes should lead to the longer-term achievement of the MDGs [Chart 1].

Chart 1. Conceptual Diagram of Change Effects and Relationships



The link between the programme results and the achievement of the MDGs is explicit in the Programme Document. The programme holds a view that the achievement of the MDGs in the Philippines has been compounded by the effects of climate change: rural poor communities have been made more vulnerable, diseases are more likely to occur, access to tenured housing is at greater risk, and eco-systems are made more fragile. Thus, by enabling the country to adapt to climate change, these risks would be mitigated.

Based on this theory of change, 3 outcomes are expected from the programme:

Outcome 1 – Climate risk reduction is integrated into key national and selected local development plans and processes;

Outcome 2 – Enhanced national and local capacity to develop, manage and administer projects addressing climate change risks; and

Outcome 3 – Coping mechanisms are improved through pilot adaptation projects.

The 3 outcomes are designed around 10 outputs. Outcome 1 has the most number of outputs (i.e. 6 outputs) and Outcome 2 has 3 outputs. There is only 1 output for Outcome 3, according to the Results Framework indicated in the programme document. The resource allocation for the outcomes is just about the same, at 30% - 40% [Table 1].

Table 1. Outcome-Output Structure and Budget Share

Outcome	Number of Outputs	Budget Share
<i>Outcome 1 – Climate risk reduction is integrated into key national and selected local development plans and processes</i>	6	30%
<i>Outcome 2 – Enhanced national and local capacity to develop, manage and administer projects addressing climate change risks</i>	3	30%
<i>Outcome 3 – Coping mechanisms are improved through pilot adaptation projects</i>	1	40%

Source: Summary of Results Framework in Programme Document

C. Manner of Implementation

The programme is being implemented as a common undertaking by 6 Executing UN Agencies under the Joint Programme (JP) concept. This means that the UN Agencies are working towards the achievement of common results in a shared framework, while focusing on the delivery of distinct services based on their respective competencies and mandates. It is expected that synergy will be created by the programme approach.

The programme being evaluated [MDG-F 1656 or MDGF-1656-E-PHL] is one of four JPs in the Philippines that are being implemented at present. It is the first JP that started in the current programme portfolio, and it involves the most number of UN Agencies. Compared to the other JPs, it also holds the most resources, at US\$8 million over the three-year period. All these JPs are being funded through the MDG-F [Table 2].

Table 2. Summary of Current Joint Programmes in the Philippines

Programme Title/Number	Implementation Period	Total Cost (US\$)	No. of UN Agencies Involved
<i>Strengthening the Philippines' Institutional Capacity to Adapt to Climate Change/MDG-F 1656</i>	January 2009 – December 2011	8.0 million	6
<i>Alternatives to Migration: Decent Jobs for the Filipino Youth/MDG-F 1942</i>	August 2009 – August 2012	6.0 million	4
<i>Enhancing Access to and Provision of Water Services with the Active Participation of the Poor</i>	June 2009 – June 2012	5.4 million	2
<i>Ensuring Food Security and Nutrition for Children 0-2 Years Old in the Philippines/MDG-F 2030</i>	November 2009 – November 2012	3.5 million	5

Sources: UN Coordination Office Documents

The coordinative requirements within and across the JPs are being performed by a UN Country Team in the Philippines which is led by a UN Resident Coordinator (UNRC).

Programme execution involves 6 UN Agencies, including one non-resident agency, which are working with their respective Implementing Agencies and Partner Institutions. The layers of execution, as well as the broad span of development participation, add to the complex nature of programme operations [Table 3].⁶

Two of the UN Agencies (i.e. UNDP and UNEP) work through a National Execution (NEX) mode, in which programme activities are sourced through and done by Implementing Agencies. Depending on their arrangements, programme funds are also transferred by the UN Agencies to the Implementing Agencies on NEX mode. The other UN Agencies operate through a Direct Execution (DEX) mode, in which programme activities are coordinated with the Partner Institutions [Table 3].

⁶ UNEP is based in Thailand.

Table 3. Execution Details of MDG-F 1656

Executing UN Agency	Budget Share	Mode of Execution	No. of Implementing Agencies	No. of Partner Institutions
UNDP	52%	National Execution	3	2
UNEP	15%	National Execution	2	1
FAO	12%	Direct Execution	-	1
ILO	8%	Direct Execution	-	2
UN Habitat	7%	Direct Execution	-	1
WHO	6%	Direct Execution	-	1

Sources: Documents and Interview with the Programme Manager

III. Findings

A. Relevance of the Programme

1. Relevance to Country Needs and Plans

On the whole, there has been increased national concern on climate change in the Philippines with the adoption of the Climate Change Law in October 2009. This law mandated the mainstreaming of climate change into government policy processes at the national and local levels. It also created the Climate Change Commission to coordinate, monitor and evaluate the programs and action plans of the government on climate change. A link between the commission and the programme is expected, although it has not yet been finalized at this time because the commission has just been organized. The programme activities are nonetheless clearly aligned with the overarching Climate Change Law and the directions of the Climate Change Commission.

Preparations are now also underway for the formulation of a Medium-Term Philippine Development Plan (MTPDP) for the period of 2011-2016. The principal institution of the Government of the Philippines (GOP) for this undertaking is the National Economic Development Authority (NEDA), which is also the lead agency on the GOP side of the programme. Part of the programme plan is to incorporate its output on climate change scenarios onto the MTPDP, which would now adjust the national development plan to the realities brought about by climate change. From this perspective, the programme is widely believed to be relevant to the needs and ambitions of the government as a whole.⁷

The programme beneficiaries are 8 government institutions whose capacities on climate change are being upgraded through the programme interventions. These are the key institutions in development planning, environment, agriculture, health, housing and urban development, trade and industry promotion, labor and employment, and weather forecasting [Table 4]. The functions that these institutions perform are crucial to the country's adaptation to climate change.

Informants from these National Government Agencies (NGAs) who were consulted for the evaluation confirmed the relevance of the programme to their agencies' needs, priorities, and mandates. They cited that increased capacities by their institutions on climate change would enable them to perform their respective functions well.⁸

Informants from the Local Government Units (LGUs) in Albay who were consulted during the site visit also confirmed the relevance and usefulness of the programme interventions to their current efforts on climate change and disaster risk reduction. It was explained that while climate change has been a priority to them even before the programme started, the technical inputs (i.e. training and software) from the programme have been particularly useful in implementing their plans on climate change and disaster risk reduction. It was also noted that the programme output on climate change scenarios at the provincial and town levels would be relevant in updating their new local development plans and land use plans.⁹

⁷ A new government under President Benigno Aquino III was installed on June 30, 2010 as a result of the latest elections which were held in May. The MTPDP is a six-year development plan of the national government which corresponds to the term of the incumbent administration. Hence, the 2010-2016 MTPDP under President Aquino will replace the previous 2004-2010 MTPDP of the previous regime.

⁸ From among the choices of *Highly Relevant*, *Relevant*, and *Somehow Relevant*, 5 out of 6 respondents from the NGAs reported the programme to be *Highly Relevant* to the needs and priorities of their agencies, and 1 respondent rated the programme to be *Relevant*.

⁹ Local Development Plans at the provincial and town levels are also made or updated after the new set of local officials assume their posts.

TABLE 4. List of National Government Agencies Involved in the Programme

Name of Agency	Role in Programme
National Economic Development Authority (NEDA)	Implementing Agency
Department of Environment and Natural Resources (DENR)	Implementing Agency
Department of Agriculture (DA)	Partner Institution ¹⁰
Department of Trade and Industry (DTI)	Partner Institution
Department of Labor and Employment (DOLE)	Partner Institution
Department of Health (DOH)	Partner Institution
Housing and Urban Development Coordinating Council (HUDCC)	Partner Institution
Philippine Atmospheric, Geophysical and Astronomical Sciences Administration (PAGASA)	Partner Institution

Sources: Documents, interviews and discussions

The consultations show that there are other projects on climate change which are being implemented or have just been completed by the government agencies involved in the programme. It is however believed that the joint programme stands out from among the other interventions because it has the most comprehensive approach to climate change adaptation, since it combines capacity development with long-term policy adoption. The programme was also distinguished for its scientific and strategic approach to climate change adaptation, due to the fifty-year scenarios that are being made, and the adaptation plans that will be developed based on these.

2. Relevance to UN Priorities and Policies

The link of the programme to the current UNDAF in the Philippines is indicated clearly in the Programme Document. Environmental Sustainability is among the 5 priorities of the UN, and the programme results have been associated with the outcome expected from this priority area. This UNDAF outcome was formulated as: *By 2009, increased capacity of stakeholders to protect/enhance the quality of the environment and sustainably manage natural resources.*¹¹

As earlier mentioned however, the current UNDAF has little discussion specific to climate change, owing to a limited understanding about the matter at the time that it was made [see Footnote 5]. It thus appears that the programme has been generically linked to the overarching effort associated with the environmental theme.¹²

¹⁰ These are the government agencies working with the UN Agencies under a direct execution modality [Table 2].

¹¹ The other priority areas in the 2005-2009 UNDAF are: *Macroeconomic Stability, Broad-Based and Equitable Development; Basic Social Services; Good Governance; and Conflict Prevention and Peace Building.*

¹² The basic reference documents for the UNDAF (i.e. the CCA and the 2004-2010 MTPDP), for instance, also made little mention about climate change.

Nevertheless, it was reported that preparations to develop a new UNDAF for 2010-2014 are on-going, and it is likely that the programme outputs and learnings will be referred to in elaborating the assessment and plans for climate change. Hence, it is turning out that the programme is becoming more relevant to the UN in developing the new UNDAF than just being situated in the context of the previous one.

The programme was also the first joint programme to be implemented within the current milieu of JPs under the One UN Concept [Table 1]. The on-going lessons from joint programming that are being experienced from the programme are therefore expected to contribute in a greater understanding of how the JP concept will be operationalized in the country setting.

3. Sectoral Relevance of the Programme

Part of the programme design is to demonstrate climate change adaptation models in the agricultural, housing, health, and industry sectors. However, these demonstration efforts are still at a start-up stage. Hence, the actual relevance of the programme to these sectors could not yet be verified from the documents and the consultations. The assumptions on relevance pertaining to these sectors will have to be validated at the programme's end-of-programme or terminal evaluation.

Some opinions were forwarded to the evaluation on a supposed link between climate change and the role of women, but these are still disparate, undocumented, and inconclusive information. There is as yet no gender study or assessment done in the context of climate change, which will make the gender relevance of the programme difficult to ascertain.¹³

B. Effectiveness of the Programme

1. Achievement of Results

There is a common perception among the informants that the programme is delayed. There are only differences in the estimations on the extent of the delay, as to whether it is significantly delayed or slightly delayed. Nevertheless, the executing agencies and programme management believe that the programme outcomes will still be achieved, through the catch-up plans which were made to address the delay. The evaluation notes that the problem of the delay has been recognized at various levels (i.e. Agencies, Programme Management Unit, Programme Management Committee, and National Steering Committee) and that there have been clear efforts to remedy this problem by devising the catch-up plans.¹⁴

Still, the ability of the catch-up plans to make up for the lag time and therefore, become an effective tool to achieve the programme outcomes within the original time frame remains doubtful. One reason is that there does not appear to be an integrated programme-level catch-up plan. While each executing agency have such a plan, it is difficult to ascertain its effects on the programme as a whole. Another reason is that the extent of the delay (i.e. the "lag time") is unknown. It turns out that there is no three-year and integrated plan of activities (or "Gantt Chart") for the programme. In the absence of such a reference, it is impossible to quantify the lag time for the whole period. The focal persons from the implementing agencies and the partner institutions however clarified during the discussions that there are three-year activity plans at the per agency level.

¹³ In one discussion, it was posited that women are more exposed to the elements than men, and this situation makes them more vulnerable to climate change.

¹⁴ There were two partner-institutions involved in Outcome 3 who believe that the programme is not delayed in their sites. The disbursement data from their respective Executing UN Agencies as shown in Tables 5 and 6 however show otherwise. Hence, their inputs in the group discussion on the factors for the non-delay of the programme in their sites have no longer been included in Annex G.

Using the disbursement rate as a proxy indicator for the accomplishment of activities (and consequently, the achievement of results), the evaluation estimates the lag time to be significant. The latest financial data show that the overall disbursement rate from project start until mid-term could be only at the 41% level, which implies a lag of $\pm 60\%$. The data also indicate that activities which should have been done in 2009 are still on-going, and that the planned activities for 2010 have yet to be implemented [Table 5].

Table 5. Overall Budget and Disbursement Data, as of 15 June 2010

	Year 1	Year 2	Mid-Term
Budget (US\$)	2,506,945	3,177,833	4,095,862
Disbursements (US\$)	1,699,720	-	1,699,720
Disbursement Rate	68%	0%	41%

Source: Author's Estimates based on the Financial Report

On a per output basis, the latest available data indicate a low level of achievement, at 6% - 53% of the planned activities. While the risk of non-achievement is high across all the outcomes, the risks in Outcomes 2 and 1 appeared to be higher [Table 6].¹⁵

Table 6. Disbursement Rates Per Outcome and Output, as of December 2009

Outcome/Output	Disbursement Rate
Outcome 1	37%
Output 1.1	41%
Output 1.2	6%
Output 1.3	n. a.
Output 1.4	n. a.
Output 1.5	n. a.
Output 1.6	n. a.
Outcome 2	26%
Output 2.1	53%
Output 2.2	27%
Output 2.3	21%
Outcome 3	47%
Output 3.1	47%

Source: Author's Estimates based on the 2009 Monitoring Report

¹⁵ These data are based on the Monitoring Report for the period of July to December 2009 which was submitted by the PMU to the MDG-F Secretariat. Also, the combined weighted disbursement rates of Outcomes 1 and 2, using the budget shares as weights [Table 1], would only be equal to the weighted disbursement rate of Outcome 3.

The group discussions that were held to explore the causes of the delay showed these factors [Annex G and Annex H]:

Lengthy Start-Up Time – The start-up phase took a long time because of the number of institutions that were involved in the programme [Table 3], the bureaucratic processes within these institutions, and the consultative and consensus-building approach that the programme adopted. The setting-up of the PMU was also delayed, and the receipt of the initial MDG-F funds was also delayed;¹⁶

It is a New Concept and Experience – The agencies believe that climate change adaptation is a new concept which is still evolving in the Philippines. Hence, greater time will be needed to understand the concept and know how it should be implemented. The UN Agencies also believe that the programme is a pioneering experience among them on how to implement a joint programme;

Technical Constraints – A major factor was the delay in completing the climate change scenarios which would become the bases for the vulnerability assessments and the adaptation plans. The fifty-year scenarios are being developed from a computer program called PRECIS which is taking a long time to run. Apparently, the processing time of this milestone activity was underestimated. There was also a difficulty in hiring and deploying local consultants;

Management Weaknesses – Delays in procurement were commonly cited, as well as the late hiring of programme staff. There were also turnovers among some programme staff [Table 8]. It was observed that the submission of reports was late, and some agencies felt that management feedback to their queries was slow; and

Fortuitous Events – Agencies in the health sector reported that the occurrence of Typhoon *Ondoy* in the third quarter of 2009 and the prioritization of the H1N1 problem in the country in the last quarter of 2009 made them shift their activities away from the project, so that they can respond to these emergency situations.

The mission has also observed that there is an inconsistency in the use of the programme's "delivery rate": in the monitoring report, the "disbursement rate" is used as the "delivery rate" in accordance with the template, although in some documents shown to the mission, the "commitment rate" is referred to as the "delivery rate". The method of using the "commitment rate" as the "delivery rate" is obscuring the status of the programme because it is an overstated measure of input use. Following the basic logic model of Results-Based Management (RBM), it therefore exaggerates the level of implementation (or delivery) of activities and subsequently misleads the planners into believing that the programme results are being achieved or can still be achieved within the time frame.¹⁷

Comparative estimates on the programme's commitment rates and disbursement rates are shown in Table 7. As the programme is currently using the commitment rate formula in computing for the delivery rate, it will appear that the programme has "delivered" by around 70% as of the mid-term period. However, since actual disbursements are only 41% as of the same period, a large portion of these "deliverables" (i.e. roughly 30%) could not really be counted as such.

¹⁶ According to the MDG-F Secretariat, the transfer of funds from the Multi-Donor Trust Fund (MDTF) to the headquarters of the UN Agencies was done in a timely manner. The delay could have been due to the transfer of funds from the headquarters of the UN Agencies to their country offices.

¹⁷ As it is, the "commitment rate" is a combined measure of actual disbursements and the value of (still undisbursed) contracts. The actual time of consummation of the contracts is however undefined in this formula (i.e. the value can remain undisbursed in the current period and be carried over into the next period). This implies that the activities which are associated with such costs will appear to have been implemented, even if these have not been implemented at all.

TABLE 7. Commitment and Disbursement Rates, as of 15 June 2010

	Year 1	Year 2	Mid-Term
Commitment Rate	89%	18%	70%
Disbursement Rate	68%	0%	41%

Source: Author's Estimates based on the Financial Report

2. Contribution to the MDGs

Recent fortuitous events that are associated with climate change have occurred in the Philippines, and these are affirming the programme's contribution to the achievement of the MDGs. Typhoon *Ondoy* hit the country in the third quarter of 2009, and public concern over the H1N1 virus was also greatly felt last year.¹⁸

According to the latest assessment [2009/2010] of the ESCAP/ADB/UNDP on the achievement of the MDGs in the Asia-Pacific Region, the Philippines is achieving or has already achieved most of the targets on Goals 3, 6 and 7. On the other hand, the country is challenged on the achievement of Goals 1, 2 and 5. In view of this and other findings in the region, the study generally recommended increased government budgeting and spending on MDG targets, stronger social protection, and greater regional cooperation.¹⁹

Picking up from the regional study, some civil society organizations in the Philippines have renewed their advocacy for alternative government budgeting and greater spending on related MDG projects. This advocacy agenda will most likely be revived, given the entry of a new regime that will be in power for the next 6 years. It is also believed that the newly-installed government will have a critical role in the achievement of the MDGs since its term of office will coincide with the 2015 deadline [UN Millennium Campaign, 2010].

At this time, it is not yet clear if the programme will have a stand on the government budgeting and spending issue, and if the programme will participate in the pro-spending advocacy or take a pro-austerity position. Current efforts are apparently being focused by the programme to "climate-proof" the next MTPDP, and this is in line with the original programme design. Still, the programme is in a good position to make a strategic policy contribution to the achievement of the MDGs through NEDA, and the link of the CCA/UNDAF processes to the MTPDP.

Discussions pertaining to the 43 provinces that ought to be covered by the programme also do not indicate yet any strategic intent on the MDGs that would go beyond the programme's climate change agenda. There are nonetheless potential areas in which the programme can intervene, specifically on the MDG issue on sub-national poverty, and on social protection which is part of the model being developed under Outcome 3.

¹⁸ Typhoon *Ondoy* inundated large portions of the Metro Manila area in September 2009. According to experts, the amount of rainfall brought by the typhoon that day was normally equivalent to one month of rainfall in the country.

¹⁹ Goal 4 is somewhere in between, with half of the indicators being "on-track" and the other half being assessed as "slow".

3. Adherence to Global MDG-F Objectives and JP Norms

Overall, the programme is clearly contributing to the achievement of global MDG-F objectives which are specific to its Environment and Climate Change theme. There are current efforts to integrate climate change adaptation strategies into the national development plan (i.e. the 2011-2016 MTPDP) and also into the 2010-2014 UNDAF. A similar output is also expected at the local level through the integration of climate change scenarios and adaptation strategies into the development plans of 43 provinces along the eastern seaboard of the Philippines. Adaptation approaches are further being piloted in 5 sites and along distinct farming, housing, industry, health, and local governance models.

While the cross-cutting concern on capacity development in climate change adaptation is obviously being met since the programme is basically designed as a capacity-building intervention, the programme will need to elaborate its approach towards gender equality and public participation. As mentioned earlier, a gender equality agenda within the context of climate change will still have to be developed. While there has been public participation in the programme, it may have to be clarified further.²⁰

At a higher level, there are two issues arising from the programme experience that may need to be reconciled with policies and expectations. One issue is about programme's compliance to expected joint programming standards. A recent mission report by the MDG-F Secretariat noted that the JP concept is not really being applied in the programme, particularly in Outcome 3 which was observed to be implemented individually by the different UN Agencies. By practice, this appears to be the actual situation in the 5 demonstration sites.

The main text of the Programme Document did not provide details as to how the JP concept will be applied in the programme, and this lack of detailed information could be resulting in different views and expectations. Annex B of the said Programme Document nonetheless shows that the original intent was to implement Outcome 3 as it is disparately being done by the UN Agencies.

The UNDG Guidance Note on Joint Programming [2003] does not also have the fine prints as to how the joint programme concept ought to be *operationally* implemented. The programme also appears to be compliant with the prescribed guidelines, such as the adoption of a common results framework and work plan. Hence, the issue could be due to differences in perceptions and expectations over the joint programming concept rather than omissions of clear rules.

A second issue is about the synergy effects expected from a joint programme. It does not appear that the programme is ready to elaborate this matter at this time, because of a more pressing concern on the overall delay and other operational issues. Still, at a later point, it is acknowledged that there will be a need to give more thought and details to the aspect of programme synergy. In theory, nonetheless, one view is that synergy can be created by combining the effects of the different sectors across the 5 demonstration sites so that these will feed into the national-level results in Outcomes 1 and 2.

The concept of "national ownership" of the programme may also need to be clarified. While the final MGD-F Joint Implementation Guidelines indicate a preference towards a national ownership of the programmes, this has apparently not been fully applied in the case of MDG-F 1656 in which most of the participating UN Agencies are operating via direct execution mode [Table 3].

There is an indication of a lesser sense of programme ownership by the NGAs which are involved in the DEX mode. Informants from these agencies believe that their opinions and interests were taken into account by the programme only *to some extent* or *to the least extent*. On the other hand, an NGA

²⁰ According to the PMU, NGO participation in the programme is at the level of Outcome 3 (in the demonstration sites), and not at Outcomes 1 and 2 which mainly involves government agencies. The Consultant's understanding of the programme document however, is that there should have been civil society representation in the PMC or NSC.

in NEX mode reported that their opinions and interests were taken into account by the programme to a large extent.²¹

The mission nevertheless notes the active participation of the NGAs in the programme activities, notwithstanding its different modes of execution.

4. Programme Outreach

Based on the reports and the discussions with informants, programme outreach is indeed being covered in terms of the target government institutions (i.e. 8 NGAs and 1 LGU), the number of provinces that are supposed to be covered by the programme (i.e. 43), and the number of demonstration sites (i.e. 5) that were indicated in the programme document. As earlier noted, the NGAs which are relevant to the programme objective of strengthening institutional capacity on climate change in the Philippines are being covered by the programme. While the newly-created Climate Change Commission is not yet involved in the programme, it is generally believed that it will be easy for the programme to interface with this body because many of its institutional members are also the programme implementing agencies or partner institutions.

Initial information from 2 demonstration sites (i.e. Agusan del Norte and Sorsogon) suggest a defined outreach by the programme over women-beneficiaries. However, a consolidated documentation of these experiences will still have to be done by programme management.

The programme is also reaching both rural and urban areas, and is consequently expected to create some distinguishing effects along these dimensions. The demonstration sites are however only focused on the northern and southern areas of the country (i.e. the island groups of *Luzon* and *Mindanao*). This situation will make it difficult to establish the national feature of Outcome 3, because the programme will have no demonstration site to show in the central part (i.e. the *Visayas* Regions). It was clarified that the choice of the demonstration sites was influenced by factors such as the presence of a UN Agency in the area and the level of political commitment shown by the LGUs.²²

5. Quality of Outputs

There are indications of good quality outputs being delivered through the programme. Participants of the training activities which were conducted through the programme reported the courses to be useful and of good quality. End-users of the Providing Regional Climates for Impact Studies (PRECIS) computerized modeling system, which is being used for building the climate change scenarios and which was acquired through the programme, also noted these outputs to be of good quality.

Climate change is a highly technical field; thus, the programme is working with several scientists and academic institutions with related expertise within this field. In general, informants positively noted the scientific inputs from these experts which they have applied in their work.²³

²¹ The specific question asked in the interview form was formulated as follows: *In your opinion, to what extent were the opinions and interests of (the name of agency) were taken into account in designing and implementing the programme? Please choose from among the following choices and elaborate briefly: To a large extent, To some extent, To the least extent.* [see Annex H Interview Form 5].

²² Normally, a national-level intervention in the Philippines requires presence in the 3 major island groups of *Luzon* (the northern group), *Visayas* (the central group), and *Mindanao* (the southern group).

²³ The downside is that it was also noted that the technical nature of the inputs also makes it difficult to be understood by the public; hence, it turned out from the consultations that there could be a need to simplify the training materials into popular forms.

Informants from the executing agencies also reported that there have been some instances in which the experts have not delivered according to expectations. In these situations, they have asked the providers to revise and improve the deliverables. A constraint being faced by them in this aspect is that there are only a few known experts on climate change in the Philippines, and that they have to work with this limited set of providers.

6. Unplanned Effects

Based on the proceedings of the consultations, there could be some unplanned positive effects which are being generated by the programme. Some form of leveraging was for instance reported by the UNDP, as the programme outputs were reportedly linked to another intervention on climate change which is supported by the Australian Government. A similar experience was shared by the ILO in its demonstration site in Agusan del Norte.

The programme site visited by the mission (i.e. Albay) reported several positive effects from its efforts on climate change, such as being able to influence national policy (i.e. the GOP's adoption of the Climate Change Act), but the attribution of this effect to the programme itself (i.e. MDG-F 1656) could not be verified. This attribution problem is due to the presence of other climate change programmes in the area, and the precedent nature of the local government's interventions on environment and climate change.²⁴

However, the fact that the PRECIS modeling system which was installed through the programme can be used to develop climate change scenarios in all the provinces of the country and not just the target set of 43, could be recognized as a major unplanned and positive effect. This implies that the future programme effect could be expanded at the local level throughout the country.²⁵

C. Programme Efficiency

1. Operations Efficiency

The overall operation of the programme is anchored on a coordination system between independent UN and GOP agencies that are responsible for the implementation of activities. The coordinative nature of programme management is based on the fact that these agencies have their own functional autonomies and are ultimately accountable to their respective supervising units, which are already beyond the programme's managerial authority.

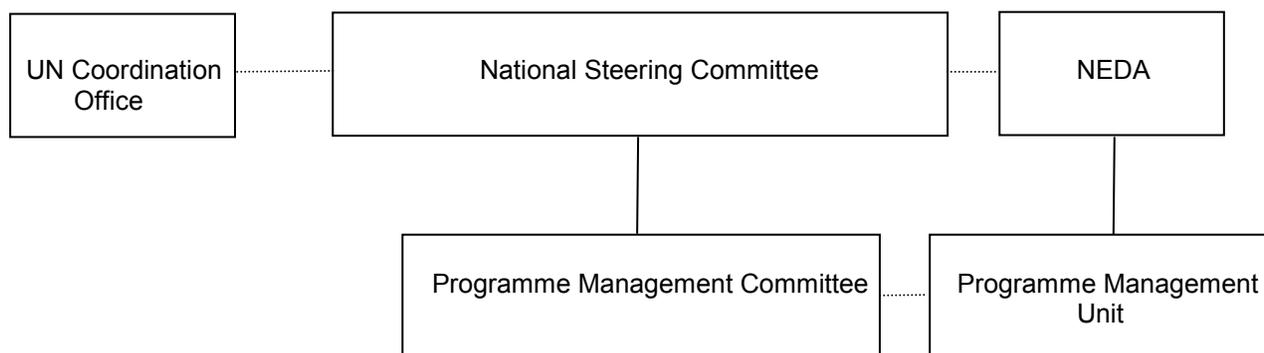
Thus, the programme's management structure is basically a coordination structure made up by 2 subsets of agencies. One subset is composed by the 6 Executing UN Agencies which have an organic coordination mechanism (i.e. the UN Coordination Office). The other subset involves the 7 NGAs and 1 LGU with an agreed-upon lead government agency (i.e. NEDA). The key persons from these 2 agencies which are tasked with the inter-agency coordination functions are represented in the programme's National Steering Committee (NSC) [Chart 2].

Below the National Steering Committee is a Programme Management Committee (PMC) which is made up by the key staff from each of the executing and implementing agencies. Also represented in the PMC is the Programme Management Unit (PMU) through its Programme Coordinator and Programme Manager [Chart 2]. These mechanisms and structures which are guiding the programme are in consonance with the guidelines set by the MDG-F.

²⁴ It turned out from the discussion that the reported efforts by the provincial government started prior to the implementation of the programme.

²⁵ This means that the system can also be used in the rest of the 37 provinces in the Philippines.

Chart 2. Programme Coordination Structure



Source: Author's construction based on the discussions

There is common belief among the informants that these mechanisms are functioning well. The minutes of meetings indeed show that the NSC and PMC are in place and are functional. The PMU has also been set up and is working under the auspices of NEDA. It can therefore be stated that the participating agencies are indeed coordinating among themselves.

The efficiency of this coordination system is however beset by a seeming inability to solve some basic operational issues such as procurement delays and late personnel hiring and turnover.

Inefficiencies in the procurement systems have been commonly identified as an issue being faced by the programme and as a major cause of the overall programme delay. According to the minutes of meetings and documents provided to the evaluation, this problem has been identified at the levels of the UN Country Team, the NSC, and the PMC. The records and the discussions also show that there have been efforts to discuss and solve the problem. Further inquiry about the matter point to the following underlying causes for the slow procurement problem:

Agency Rules and Processes – The UN Agencies which were cited for their slow procurement system traced the problem to the rules and centralized processes set by their headquarters. The NGAs and LGU which also experienced procurement delays also identified the Procurement Law, the ban on procurement because of the elections, and cumbersome government procedures on bidding as the reasons for the procurement delays on their side;²⁶

Inter-Bureaucratic Transactions – In one case, it was noted by a national government agency that procurement had to pass through another similar agency. According to the UN Executing Agency which was involved in this transaction, this was because they could not enter into a direct partnership with the end-user agency due to a limitation in the number of allowable partners;

Limited Suppliers – There was an experience in which there was no response to the call for services. It is believed that this is due to the limited number of experts and providers in the climate change field; and

Staff Weaknesses – Informants also reported that procurement delays were simply due to the weak abilities of some procurement staff to deliver the needed goods and services in a timely manner.²⁷

²⁶ One UN Agency reported that its centralized procurement guidelines have been revised recently and the local staff are still undergoing training on these new guidelines.

²⁷ The evaluation was however unable to verify and explore this point directly from the concerned staff.

While the issue of slow procurement is largely known among the programme implementers, there has been no formal investigation or study which has been done about the matter. Some agencies have nonetheless adopted remedial measures to solve the problem such as direct procurement (i.e. the UN Agency itself does the procurement instead of the implementing NGA) and increased operating funds (i.e. the UN Agency obtained headquarter approval to increase the ceiling for operating funds).

Personnel positions for the programme were filled up only by the second quarter of 2009, and this was attributed to the slow procurement process on the GOP side. There have also been turnovers in 4 out of 5 positions; programme management explained that this was due to the poor performance of some of the hired staff, while some of the former staff who were consulted by the mission cited personal reasons for leaving the programme [Table 8]. Programme management remedied the situation by hiring organic staff from NEDA to fill in the vacant positions. These staff are either already familiar with the programme or the position functions; this way, the learning curve of the new staff is assumed to have been shortened and the turnover costs are believed to have been minimized.²⁸

Table 8. Personnel Recruitment and Turnover Data

Position	Date of Hiring	Turnover Rate
Programme Manager	April 1, 2009	1x
Outcome 1 Manager	April 1, 2009	1x
Outcome 2 Manager	April 27, 2009	1x
Finance Officer 1	April 1, 2009	-
Finance Officer 2	May 4, 2009	1x

Source: Discussion with PMU

The ability of the programme coordination system to solve the emerging strategic issues in joint programming (i.e. the expected level of “jointness” in a JP, and its synergistic effects) and the achievement of the MDGs is also still to be proven. A reason commonly cited by the informants is that this is a new experience for all of them by which they have no ready answers to the issues at hand.

While it is true that the programme is a pioneering effort in climate change adaptation in the context of a joint programme, the common belief among the local stakeholder groups that this is also the first test of a UN joint programme in the Philippines is no longer accurate. Hence, it appears that there has been no transfer of the knowledge and lessons learned from the pilot JP which was implemented in 2000-2003. One possible reason cited for this gap is the turnover in the UNCT positions since that time.²⁹

²⁸ As of the date of the mission, the Manager for Outcome 2 is still to be re-hired by the programme.

²⁹ While the programme is the first JP in the current programme portfolio, it is not the first JP to be implemented in the Philippines. The first known JP in the country is the programme entitled *Strengthening the Foundations for Lasting Peace and Development in the Southern Philippines* (i.e. Multi-Donor Programme Phase 3) which was implemented from 2000 until 2003. The Consultant who prepared this report was also involved in the end-of-project evaluation of that programme. As early as then, the issues in overall delays and cumbersome procurement processes were already noted.

The lack of programme-level Monitoring and Evaluation (M & E) is also turning out to be a factor for the programme's weakness in problem-solving. M & E guidelines are clearly stated in the programme document, MDG-F policies, as well as the joint programming guidance notes. At this time however, the programme has just started to integrate an M & E system. Given such a situation, it would be unlikely for the programme coordination structures to identify and act on the issues affecting them in a timely manner because of the overall lack of information.³⁰

2. Financial Efficiency

Programme procurements are guided by GOP and UN Agency rules that both conform to standard least cost and quality-based methods. There are no known efficiency issues with the procurement of goods, as there have been several suppliers of equipment and materials required by the programme. However, as earlier reported, the procurement of services is sometimes constrained by a limited set of technical experts that are associated with the field of climate change. In these cases, the agencies are aware of the higher cost of services being incurred by the programme and are mitigating these by expanding the list of vendors, to the best possible extent.

The programme budget of US\$ 8.0 million was based on "indicative" activities over the three-year period. A flexible budgeting system is also in place, in which only the cost budget for the Year 1 was required for approval (as part of the Annual Work Plan for Year 1) and budget allocations were set for Years 2 and 3. While the flexibility in costing and budgeting is most advantageous to the complexities involved in joint programming, the vagueness of the cost bases and the variability of the cost estimates also raise the possibility that the programme budgets and the actual costs being incurred by the programme could be sub-optimal. The weakness of the budgetary base makes it difficult to ascertain the financial efficiency of the programme, as indicated by its spending patterns. As an example, considerable underspending by the programme in 2009 [Table 9] could also be due to an overstated budget, aside from the non-implementation of activities scheduled for that period.

Table 9. Selected Financial Data, 2009 (in US\$)

	Budget	Actual Disbursement	Variance	Variance %
UNDP	1,409,031	545,907	863,124	61%
FAO	357,018	130,659	226,359	63%
UNEP	259,404	36,894	222,510	86%
WHO	174,224	58,044	116,180	67%
ILO	165,790	75,221	90,569	55%
UN-Habitat	141,478	98,000	43,478	31%
Total	2,506,945	944,725	1,562,220	62%

Source: Programme Report for the Second Quarter of 2009

³⁰ According to the PMU, the plan is to integrate the Project Management Staff (PMS) of NEDA for the M & E.

The commitment rate system which was adopted for the programme may also be contributing to financial inefficiency, aside from being contradictory to the concept of RBM. Under this system, fund releases are allowed as long as a commitment rate of 70% is hurdled by the programme. This means that the programme will be released its budget for the subsequent year if the combined amount of actual disbursements and undisbursed obligated contracts is already at least 70% of the budget for the prior year. Therefore, if the budget is overstated by at most 30%, the system is in effect allowing a variance of as much, which is beyond acceptable norms.

Indirect costs were reported at the standard 7% of total disbursements, although these appear to be allocated than incurred. The ratio of field costs to head office costs (in Manila) could not however be determined because of the lack of data in the financial report submitted by programme management.

Local counterpart resources that have been mobilized for the programme were reported to be roughly US\$76,000, as of the latest report. These represent 3% of the total programme budget for 2009.

D. Prospects for Sustainability

At this time, much of programme planning is focused on the basic operations issues and there is as yet no discussion on the eventual programme exit or the sustainability strategy. Nevertheless, it appears that the prospects of sustaining the programme interventions are high.

The policy changes that are being introduced by the programme are expected to be effective for at least the current development planning horizon in the Philippines. This would be at least 6 years at the national government level (for the 2010-2016 MTPDP), 5 years at the UN level (for the 2010-2014 UNDAF), and 3 years at the local government level (for their 2011-2013 local development plans). It is also possible for these climate change adaptation policy changes to be carried over until the next development planning cycle.

The recent turnover in government agencies brought about by the change in administration, both at the national and local levels, will not likely affect the policy changes that the programme has started. The focal persons from the national and local government agencies believe that they will not be covered by these turnovers, and they committed to be the champions in pursuing the climate change policies under the new administration. The programme's approach of working directly with key lower-level development planners and technical persons of these agencies is therefore turning out to be an effective and good practice.

These government planners and technical persons are also the beneficiaries of the capacity-building activities under the programme. They are expected to remain in their positions to apply their learned knowledge and skills on climate change, so the likelihood of sustaining these capacity changes among them remains high.

The programme has also adopted sustainable ways in capacity development such as training of focal persons and development of training modules and other reference materials. Capacity-building of persons on climate change can thus continue to go on internally at the government agencies, even after the programme has ended.

The climate change scenarios will be a major output of the programme. Unless otherwise rendered obsolete by future technologies, these outputs will be relevant and useful for a long period of time.

The agencies that are currently involved in the programme can themselves conduct the key activities that the programme has introduced such as technical assessments and planning, communication and advocacy, and training. These nevertheless depend on the level of internal funding that they can allocate for climate change in the future government budgeting periods.

The sustainability of the inter-agency activities will however require the continuation of the current structures that are in place (i.e. the National Steering Committee and the Programme Management Committee). These mechanisms unfortunately co-exist with the programme tenure. The newly-created Climate Change Commission is a viable option for a sustainable structure on climate change. It will thus be necessary for the programme to consider the commission as an element for sustainability in its exit plan.

IV. Conclusions and Recommendations

1. The programme is highly relevant to the overall context in which it is situated. It is addressing the needs and plans of the Philippines on climate change. It corresponds to the country's overall policy and directions on climate change, and it will contribute to the current needs on development planning. The programme also matches the priorities and policies of the UN System in the Philippines, in terms of its thrust towards environmental sustainability and greater inter-agency coordination. Programme relevance is further enhanced by its ability to improve the climate change content of the new UNDAF.

The programme will remain relevant in these basic aspects, at least until the medium-term. The implementation of the Climate Change Law and the full operationalization of the Climate Change Commission will lead to a greater recognition of the efforts that have been started by the programme. There should also be a higher demand for the key programme outputs, particularly the climate change scenarios and the adaptation plans. As the new UNDAF is updated on its climate change and MDG achievement contents, inputs from the programme experience will be useful for UNCT planning. The lessons in joint programming will also be valuable in improving the concept of One UN.

The programme also has potential to explore the relevance of climate change to gender roles, and also demonstrate the relevance of climate change adaptation to specific sectors in agriculture, health, housing, local governance, and enterprise development. However, there are still gaps in establishing the relevance of the programme in these emerging aspects because of the lack of operationalization and documentation.

2. There are strong indications of programme effectiveness in the aspects of outreach, quality of outputs, and creation of unplanned positive effects. Given the constraints, programme performance in terms of contributing to the MDGs and adherence to global MDG-F objectives and joint programming norms are also acceptable [Table 10].

Nonetheless, the overall effectiveness of the programme is being affected by its low performance in the aspect of results achievement. There is a significant lag in programme implementation, which is exacerbated by the absence of a ready and viable solution. The combined effects of these two factors are placing the achievement of results at risk. The programme is also intrinsically challenged because of its complex design and sophisticated operations system.³¹

Table 10. Summary of Programme Effectiveness Measurements

Parameter	Level of Effectiveness
Programme Outreach	High
Quality of Outputs	High
Potential to Create Other Positive Effects	High
Contribution to MDGs	Medium
Adherence to Global MDG-F Objectives and JP Norms	Medium
Achievement of Results	Low

Source: Author's Estimates

³¹ From a purview of Results-Oriented Evaluation, greater weight is assigned to this parameter compared to the other parameters on programme effectiveness.

3. The operational efficiency of the programme is being affected by its complex management structure and system. The operationalization of the programme is being coursed through several independent agencies which have their own accountabilities. In this situation, the management of the programme is anchored primarily on its coordinative function. However, inter-agency coordination of this nature is taking more time than otherwise expected. The absence of previous experience in a joint programme by the participating agencies and their lack of knowledge on the previous joint programme in the country are also adding to inefficiencies in operations management.

The gaps in programme operations have to do with decision-making and management information. While the mechanisms for governance and management are in place and the problems being faced by the programme are identified, the ability of the management system to actually solve these problems and in a timely manner is yet to evolve. The lack of real-time information needed for decision-making is also constrained by the absence of programme-level monitoring and evaluation.

Possible cost inefficiencies by the programme are being minimized through the use of standard quality and cost based methods in the procurement of goods and services. In general however, the financial efficiency of the programme is affected by the budgeting method and the commitment rate system which are being applied.

The data show that there are significant financial inefficiencies as of mid-term, in terms of the large amounts of undisbursed funds.

4. The prospects for sustaining the programme interventions are high. The changes in government policies and plans on climate change will remain effective until after the programme period. The capacities that are being developed by the programme are permanent and will be useful to the institutional beneficiaries in the long-term. The programme is also adopting an approach in which the activities can later on be implemented by the beneficiary-institutions themselves, as long as the basic financial costs can be covered.

The overall policy environment on climate change in the Philippines is also favorable to the sustainability of the programme efforts. The mandate and direction set by the Climate Change Law will serve as bases for the self-continuation of the programme activities and further utilization of its outputs.

Further, the creation of the Climate Change Commission under the said law is a positive development in sustaining the mechanism for inter-agency coordination on climate change which the programme has started.

5. On the whole, the programme is showing strengths in the aspects of relevance and prospects for sustainability. At the same time, the programme is facing challenges in terms of its effectiveness and efficiency. It is still possible for the programme to make adjustments in order to raise its chances of success.
6. So far, the emerging lessons that can be derived from the programme experience are as follows:
 - 6.1 A pioneering and complex programme such as the one being implemented requires considerable start-up time which should be factored into the implementation plan. Similar programmes in the future should consider an inception phase, which is distinct from the implementation phase. In order to minimize the start-up costs, the start-up period may already form part of the latter portion of the inception phase.
 - 6.2 The global programme implementation guidelines should be consistent with the results-oriented concepts in programme management. Prior to finalization, the guidelines should be cross-checked to verify if these will positively facilitate the achievement of results, or conversely obscure and hinder its attainment.

- 6.3 The expectations from a joint programme should be clarified at the onset, as to how much of the guidelines and other additional standards can be realistically achieved given the constraints. The knowledge management system should be upgraded to ensure the continuity of learning in the application of the joint programme concept across time.
- 6.4 Contributing to the achievement of the MDGs may require more effort than what are intended in the programme document. The means by which such strategic interventions can be implemented should be defined by the MDG-F Secretariat and the UN Country Team, possibly through the process of a meta-evaluation involving all the programmes under the MDG-F portfolio, and an integrated inter-programme planning.
7. Some good practices can already be discerned from programme implementation. These are as follows:
- 7.1 The programme is being built around existing initiatives on climate change (i.e. in Albay), and also innovative models in the agricultural (i.e. in Cordillera), health (i.e. in Manila and Albay), housing (in Sorsogon City), and industry (i.e. in Agusan del Norte) sectors. Through this approach, the programme is combining already known climate change adaptation examples with new concepts.
- 7.2 The programme's ability to create value-added in terms of new programmes on climate change and wider usage of its outputs. Leveraging of the programme initiative has resulted in the development of other climate change programmes which will also contribute to the overall goal of climate change adaptation in the Philippines. The programme's key outputs (i.e. the climate change scenarios and adaptation plans) can also be replicated in other areas outside of the target outreach.
- 7.3 The programme's approach of dealing with the key persons in the government institutions is enhancing the sustainability of the intervention and the long-term success of the capacity-building process. The chief planners and technical experts are acting as the internal champions of the programme cause, and they are insulating the programme against the negative effects of turnover in the leadership of their agencies. Capacitating these key persons is also crucial because they are the ones who will apply the new knowledge and skills on climate change in their respective agencies.
8. In view of the findings and conclusions arising from the evaluation, the following recommendations are being forwarded:
- 8.1 Recommendations for the PMU
- 8.1.1 First and foremost, it will be necessary for the programme to make the proper adjustments in the second half plan so that the results can still be achieved within (or at least near) the original time frame. This can be done by taking the following steps:
- Reconstructing the integrated plan of activities over the whole three-year period, in an output-based Gantt Chart format.
 - Estimating the lag time by comparing the three-year plan with the actual current schedule of implementation.
 - Adjusting the second half plan through simultaneous implementation of parallel activities until the outputs and outcomes are achieved by the end of Year 3. If this is still no longer possible because of serial activities, the extension period should already be calculated and a proposal for such an extension should be forwarded immediately to the MDG-F Secretariat.

- It follows that the programme budget should be revised using the activity-based costing method and summarized in an output-based budget format.

8.1.2 The programme-level monitoring and evaluation system should be installed in the immediate period, and integrated with the programme planning process. The programme should now commence the process of monitoring the results in accordance with the Programme Monitoring Framework (PMF) and the overall M & E Guidelines set by the MDG-F Secretariat.

8.1.3 Process documentation of the experiences in the demonstration sites, especially as these pertain to sectoral concerns (i.e. gender, agriculture, health, etc.) should now begin, and its outputs should be integrated as part of the guidelines in development planning by the government agencies. A study on gender roles in the context of climate change should be conducted.

8.2 Recommendations for the NSC/PMC/UNCT

8.2.1 There should now be a conscious effort to upgrade the governance and management structures into problem-solving mechanisms. This can be done by classifying the issues and problems, and defining the level of authority at which certain issues and problems can readily be solved (i.e. if a decision can be done at the level of the concerned agency or by programme management, if it needs to be decided upon by the programme management committee, or raised to the level of the national steering committee). It also follows that there is a need to identify the problems and issues (e.g. centralized procurement) that cannot be solved at all at the level of the in-country agencies, and whose negative effects on the programme can only be mitigated as part of the external risk factors.

8.2.2 The strategic issues that have been raised in this report should now be addressed by the National Steering Committee and the UNCT. At the level of the National Steering Committee, the overall strategy on the achievement of the MDGs should be discussed. The specific concerns that should be addressed are: the programme's position on the government budgeting issue; the possibility of applying sub-national poverty measurements in the 43 target provinces; and the possibility of highlighting social protection practices in the demonstration sites under Outcome 3. On the other hand, the UNCT should address or clarify the following issues: expectations from the joint programme; the creation of synergy; knowledge management on the previous lessons in joint programming; national ownership of the programme; and public participation in the programme.

8.2.3 The plan to rotate the position of Programme Manager to other organic personnel within NEDA should not be encouraged. The programme could no longer afford to have more turnovers, especially in the key positions, at this time.

8.2.4 The programme may continue to use the commitment rate system to secure future fund releases, but the errant practice of applying it also as the delivery rate should be discontinued. The disbursement rate should instead be referred to by the Programme Management Committee and the National Steering Committee in estimating the rate of delivery by the programme.

8.2.5 It would also be useful for the National Steering Committee to adopt a fund variance policy that would help check the financial efficiency of the programme. For this purpose, a variance of up to ten percent of budget is proposed. Future financial reports should also indicate the value of local counterpart resources, as well as the ratio of field costs to head office (Manila) costs.

8.2.6 The programme should also begin discussions on its exit and sustainability strategy. Part of the preparations for a programme exit should include the mode of the engagement with the Climate Change Commission.

8.3 Recommendations for the MDG-F Secretariat

- 8.3.1 Solutions to similar problems and lessons learned in other joint programmes under the global MDG-F portfolio can be shared to the implementing group in the Philippines, so that they may know the possible adjustments that can still be made on the programme.
- 8.3.2 Subject to the results of the estimation of the lag time and the re-planning process, it may be reasonable to consider a short extension of the programme, at no additional costs. At the same time, if the extension period to be required by the programme to achieve the outcomes is more than the acceptable limit (e.g. 2 -3 months), the results framework and the programme budget will have to be downsized.

Annex A. Guide Questions Adopted by the Evaluation

1. Relevance of the Programme

- To what extent are the objectives and intervention strategies of the joint programme aligned to national and local development strategies?
- Is the programme reaching the right beneficiaries?
- Is the joint programme the best response to the country's problems and needs on climate change?
- To what extent is the programme relevant to the needs and priorities of its beneficiaries?
- To what extent is the programme relevant to UN Policies and Priorities?

2. Effectiveness of the Programme

- Is the programme on track according to schedule?
- To what extent is the programme progressing towards the attainment of results?
- What are the factors that contribute to progress or delay in the implementation process and the attainment of results?
- To what extent and in what ways is the joint programme contributing to the MDGs at local and national levels?
- To what extent and in what ways is the joint programme contributing to the objectives established in the Environment and Climate Change Window of the MDG-F?
- To what extent is the programme adhering to the norms in joint programming?
- Is the joint programme covering the number of beneficiaries planned?
- To what extent and what type of effects is the joint programme creating in men, women and other different categories of beneficiaries (e.g. rural vis-à-vis urban, etc.)?
- Are outputs of the expected quality?
- What unplanned effects are being created by the programme?

3. Efficiency of the Programme

- Is the management structure of the joint programme in place and does it contribute to the achievement of planned outputs and outcomes?
- To what extent are participating agencies coordinating among them and with the national counterparts?
- Have the past lessons and experiences in joint programming been taken into account in the planning and implementation of the programme?
- Are the outputs being delivered at the least cost?
- To what extent have national and counterpart resources (public and private) been mobilized to contribute to the programme objective?
- Are the programme costs meeting expected standards (e.g. direct and indirect costs, field and headquarters costs, etc.)?

4. Prospects for Sustainability

- Are the conditions and premises for the sustainability of the joint programme taking place?
- What is the sustainability or exit strategy adopted by the programme?
- Are there indications that the programme activities will continue to be implemented even after programme conclusion?
- To what extent will the programme outputs and outcomes be sustained after the programme period?

Annex B. Persons Consulted

MDG-F Secretariat

1. Ms. Paula Pelaez - Programme Advisor
2. Mr. Adan Ruiz - Monitoring and Evaluation Advisor

UN Country Team

1. Dr. Jacqui Badcock - Resident Coordinator
2. Ms. Cynthia Arce - Coordination Specialist

Spanish Agency for International Development Cooperation (AECID)

1. Mr. Norberto Gomez de Liaño - Deputy Coordinator General

UN Agencies

1. Ms. Amelia Supetran - Focal Person, UNDP
2. Mr. Morito Francisco - Programme Associate, UNDP
3. Ms. Imee Manal - Programme Analyst, UNDP
4. Ms. Hanna Uusimaa - Focal Person, UNEP
5. Mr. Aristeo Portugal - Focal Person, FAO
6. Mr. Gene Castro - Programme Officer, FAO
7. Ms. Lorraine Villacorta - Focal Person, ILO
8. Ms. Eden Garde - Focal Person, UN-Habitat
9. Ms. Adelaida Mamonong - Project Manager, UN-Habitat
10. Dr. John Juliard Go - Focal Person, WHO
11. Mr. Bonifacio Magtibay - Technical Officer, WHO

National Government Agencies

1. Assistant Secretary Analiza Teh - Focal Person, DENR
2. Ms. Cristina Regunay - OIC Chief, DENR
3. Ms. Eda Soriano - Desk Officer, DENR
4. Ms. Genevieve Alcazar - Finance Officer, DENR
5. Ms. Sheila Marie Encabo - Focal Person, NEDA/Programme Coordinator
6. Ms. Luisa Jolongbayan - OIC Assistant Director, NEDA
7. Ms. Gina Nilo - Focal Person, DA
8. Ms. Bess Lim - Chief, DA
9. Ms. Brenda Corvera - Focal Person, DTI-Caraga
10. Ms. Lindsay Barrientos - Focal Person, HUDCC
11. Dr. Cecile Magturo - Focal Person, DOH
12. Dr. Flaviana Hilario - Focal Person, PAGASA
13. Ms. Rosalina De Guzman - Chief, PAGASA

Local Government Unit

1. Mr. Nong Rangasa - Focal Person, Albay LGU
2. Mr. Romeo Cabria - Municipal Planning and Development Officer, Santo Domingo
3. Mr. German Gonzaga - Municipal Planning and Development Officer, Malinao
4. Ms. Priscilla Galicia - Zoning Officer, Legazpi City
5. Ms. Cheryl Pavericio - Department of Education, Legazpi City

Programme Management Unit

1. Ms. Katherine Firmeza - Programme Manager
2. Ms. Amalia Venezuela - Finance Officer
3. Mr. Oliver Abrenilla - Former Programme Staff
4. Mr. Rey Navacilla - Former Programme Staff

Annex C. List of References

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Annex D. Itinerary of the Field Mission to the Philippines

June 16	PM	Preliminary Briefing with the Evaluation Reference Group Focus Group Discussion with the Programme Management Unit
June 17	AM	Focus Group Discussion with Focal Persons from UN Agencies
	PM	Focus Group Discussion with Focal Persons from National Government Agencies
June 18		Site Visit to Albay
June 19		Reflection and Writing
June 20		Reflection and Writing
June 21	AM	Interview of PAGASA Technical Persons
	PM	Interview of UNDP Focal Person
June 22	AM	Focus Group Discussion with WHO Focal Person and DOH Technical Working Group
June 23	AM	Interview of FAO Focal Person
	PM	Interview of Programme Manager and Finance Officer
June 24	AM	Interview of DENR Focal Person
	PM	Preparation for Debriefing
June 25	AM	Debriefing with the Evaluation Reference Group

Annex E. E-Mail Interview Forms

Interview Form 1

Target Informant: UN Resident Coordinator

1. To what extent is the programme relevant to UN Policies and Priorities? Please choose from any one of the following: *Highly Relevant, Relevant, Somehow Relevant*. Kindly elaborate briefly.

2. To what extent and in what ways is the joint programme contributing to progress in UN reforms?

3. Based on your knowledge about the programme, to what extent is the programme progressing towards the attainment of results?

4. In your opinion, are the governance and management structures for the programme (i.e. National Steering Committee and Programme Management Committee) working well? Are they contributing to the efficiency of the programme?

5. In your view, are the different implementation paces by the UN Agencies a problem for delivering programme results?

6. Would you think that the past lessons and experiences in joint programming were taken into account in the planning and implementation of the programme?

7. In your view, how will synergy among the UN Agencies be created or is already being created through the programme?

8. What good practices and lessons being learned, if any, would be useful for other joint programmes or other countries?

Interview Form 3

Target Informants: Programme Manager/Coordinator

1. Based on your assessment, to what extent is the programme progressing towards the attainment of results?

2. Is the programme on track according to schedule?

3. What are the factors that contribute to progress or delay in the implementation process and the attainment of results?

4. What are the problems and issues being faced by the programme and how are these being addressed?

5. In your opinion, are the governance and management structures for the programme (i.e. National Steering Committee and Programme Management Committee) working well? Are they contributing to the efficiency of the programme?

6. To what extent are the participating UN Agencies coordinating among themselves and with their counterpart organizations?

7. Are there effective and efficient coordination mechanisms in place to avoid overlaps and work overloads of partners and participants?

8. Were the past lessons and experiences in joint programming been taken into account in the planning and implementation of the programme?

9. In your view, how will synergy by the UN Agencies be created by the programme?

Interview Form 5

Target Informants: Implementing Agencies

1. In your opinion, to what extent were the opinions and interests of the DOH been taken into account in designing and implementing the programme? Please choose from among the following choices and elaborate briefly: *To a large extent, To some extent, To the least extent*

2. In your view, to what extent is the programme relevant to the needs and priorities of the DOH? Please choose from among the following choices and elaborate briefly: *Highly relevant, Relevant, Somehow relevant*

3. Based on your own assessment, to what extent is the programme progressing towards the attainment of results?

4. Is the programme on track according to schedule?

5. What are the factors that contribute to progress or delay in the implementation process and the attainment of results?

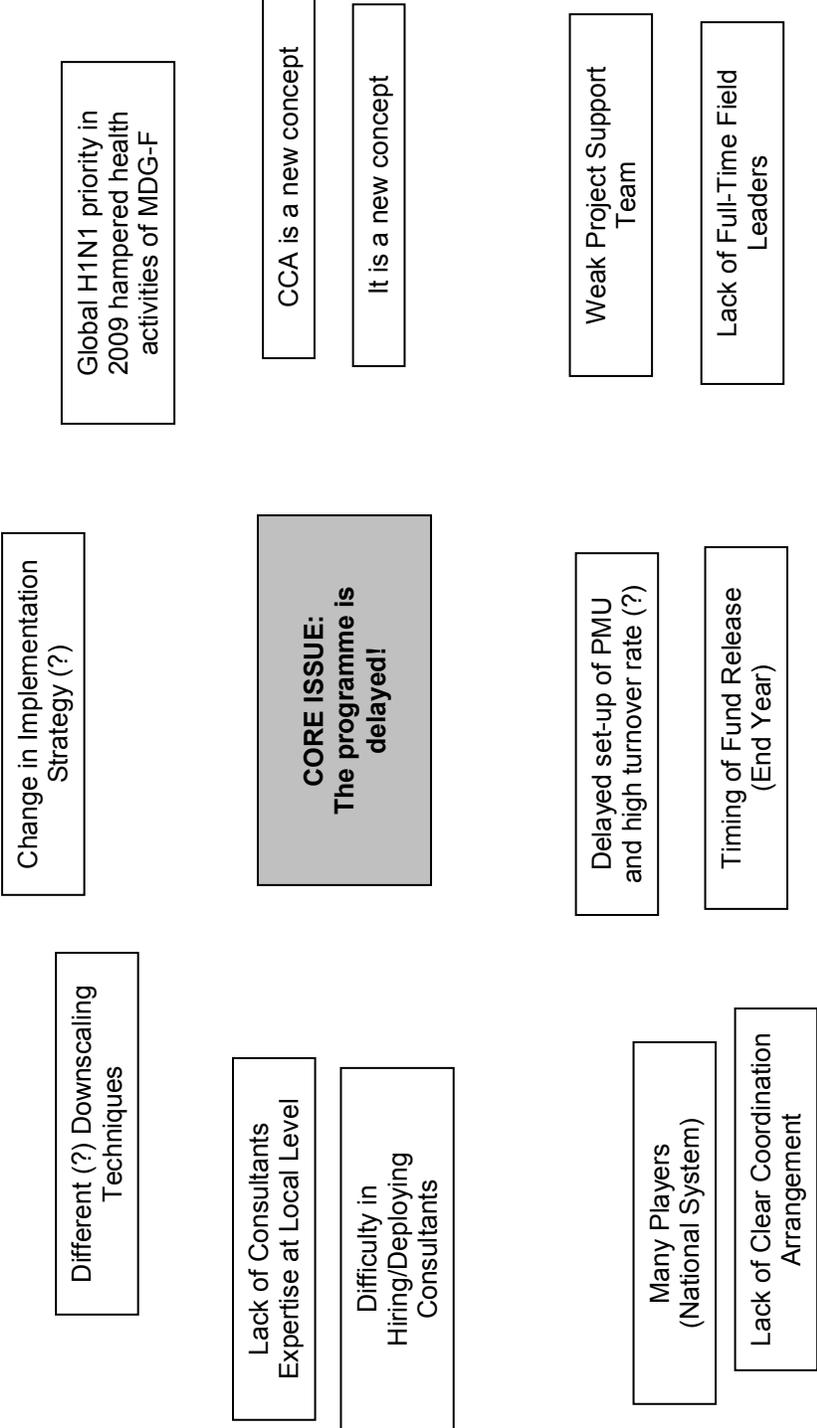
6. What are the problems and issues being faced by the programme and how are these being addressed?

Annex F. Data on Core MDG Targets and Government Indicators in the Philippines, as of 2007

Core Goals and Indicators	Baseline	Target	Current (2007)	Probability of Attainment
Goal 1. Eradication of Extreme Poverty and Hunger 1.1 Poverty Incidence (Headcount) 1.2 Subsistence Incidence (Headcount)	45% 24%	23% 12%	33% 15%	<i>High</i>
Goal 2. Achievement of Universal Primary Education 2.1 Net enrolment rate 2.2 Primary completion rate	85% 64%	100% 100%	85% 73%	<i>Low</i>
Goal 3. Promotion of Gender Equality 3.1 Gender ratio in primary education 3.2 % of women in non-agricultural employment 3.3 % of women in the national parliament	1:1 40% 11%	1:1 50% 50%	1:1 42% 20%	<i>n. a.</i>
Goal 4. Reduction of Child Mortality 4.1 Mortality Rate (under 5 years old) 4.2 % of 1-year olds immunized against measles	80% 78%	27% 100%	34% 82%	<i>High</i>
Goal 5. Improvement of Maternal Health 5.1 Incidents of Maternal Mortality 5.2 % of births attended by skilled personnel	209 59%	52 100%	162 73%	<i>Low</i>
Goal 6. Combat HIV/AIDS, Malaria and Other Diseases 6.1 Contraceptive prevalence rate 6.2 Prevalence of malaria 6.3 Prevalence of tuberculosis	40% 119 246	100% 0 0	51% 42 152	<i>High</i>
Goal 7. Ensure Environmental Sustainability 7.1 Forest cover 7.2 Ratio of protected areas 7.3 % of population with access to improved water source 7.4 % of households with access to secure tenure	21% 9% 73% 91%	<i>n. a.</i> <i>n. a.</i> 87% <i>n. a.</i>	53% 13% 80% 81%	<i>High</i>
Goal 8. Develop a Global Partnership for Development 8.1 % of debt service to exports 8.2 Cellular phone subscribers per 100 persons	27% 0.1	<i>n. a.</i> <i>n. a.</i>	10% 65	<i>n. a.</i>

Sources: National Statistical Coordination Board and NEDA [2007]

Annex G. Results of the Focus Group Discussion with UN Agencies



Annex H. Results of Focus Group Discussion with Implementing Agencies and Partner-Institutions

