Securing Long-Term Sustainability of Multi-functional Landscapes in Critical River Basins of the Philippines

Part I: Project Information

GEF ID
10532

Project Type
FSP

Type of Trust Fund
GET

CBIT/NGI
CBIT **No**
NGI **No**

Project Title
Securing Long-Term Sustainability of Multi-functional Landscapes in Critical River Basins of the Philippines

Countries
Philippines

Agency(ies)
UNDP

Other Executing Partner(s)
Department of Agriculture

Executing Partner Type
Government

GEF Focal Area
Multi Focal Area

Taxonomy

Focal Areas, Influencing models, Stakeholders, Capacity, Knowledge and Research, Land Degradation, Land Degradation Neutrality, Land Productivity, Carbon stocks above or below ground, Land Cover and Land cover change, Sustainable Land Management, Income Generating Activities, Restoration and Rehabilitation of Degraded Lands, Community-Based Natural Resource Management, Improved Soil and Water Management Techniques, Sustainable Agriculture, Sustainable Livelihoods, Biodiversity, Protected Areas and Landscapes, Community Based Natural Resource Mngt, Productive Landscapes, Financial and Accounting, Payment for Ecosystem Services, Mainstreaming, Agriculture and agrobiodiversity, Strengthen institutional capacity and decision-making, Demonstrate innovative approache, Convene multi-stakeholder alliances, Transform policy and regulatory environments, Deploy innovative financial instruments, Type of Engagement, Information Dissemination, Partnership, Participation, Consultation, Private Sector, Large corporations, Civil Society, Community Based Organization, Non-Governmental Organization, Indigenous Peoples, Local Communities, Communications, Awareness Raising, Behavior change, Gender Equality, Gender Mainstreaming, Gender-sensitive indicators, Sex-disaggregated indicators, Women groups, Beneficiaries, Gender results areas, Access to benefits and services, Knowledge Generation and Exchange, Access and control over natural resources, Participation and leadership, Capacity Development, Learning, Enabling Activities, Knowledge Exchange, Knowledge Generation

Sector
Mixed & Others

Rio Markers
Climate Change Mitigation
Climate Change Mitigation 1

Climate Change Adaptation
Climate Change Adaptation 1

Submission Date
4/8/2022

Expected Implementation Start
1/1/2023

Expected Completion Date
12/31/2027

Duration
60In Months

Agency Fee($)

A. FOCAL/NON-FOCAL AREA ELEMENTS

Objectives/Programs	Focal Area Outcomes	Trust Fund	GEF Amount($)	Co-Fin Amount($)
BD-1-1	Mainstream biodiversity across sectors as well as landscapes and seascapes through biodiversity mainstreaming in priority sectors	GET	922,374.00	4,055,105.00
LD-1-1	Maintain or improve flow of agro-ecosystem services to sustain food production and livelihoods through Sustainable Land Management (SLM)	GET	1,651,616.00	62,183,831.00
LD-2-5	Create enabling environments to support scaling up and mainstreaming of SLM and LDN	GET	700,000.00	9,778,752.00
		Total Project Cost($)	**3,273,990.00**	**76,017,688.00**

B. Project description summary

Project Objective

To create an enabling environment for the realization of the National Land Degradation Neutrality (LDN) target and to mainstream biodiversity-friendly agricultural (BDFA) practices in the Cagayan de Oro River Basin (CDORB) through national policy framework implementation and capacity strengthening.

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing($)	Confirmed Co-Financing($)

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing($)	Confirmed Co-Financing($)
Component 1: National Land Degradation Neutrality (LDN) and biodiversity friendly agriculture practices (BDFAP) policy created, and implementation capacity strengthened.	Technical Assistance	**Project Outcome 1:** Enabling policy environment created for LDN and BDFAP and capacity for integrated landscape management enhanced at sub-national level leading to improved biodiversity and ecosystem services in the Cagayan de Oro River Basin (CDORB). Measured by: **- Strengthened enabling environment**, as indicated by (a) Joint Administrative Orders on (1) LDN and (2) BDFAP approved by the Government of the Philippines and (b) 5 Comprehensive Land Use Plans (CLUP) amended by the CDORB Local Government Units (LGU) - **Improved capacities of Government institutions**, as indicated by increases in the cumulative values of the capacity development scorecard scores of national and sub-national level entities involved in basin management[1] [1] I.e. Department of Agriculture (DA) National, DA Region, Department of Environment and Natural Resources (DENR) National, DENR Region, National Commission on Indigenous People?s (NCIP), Provincial Government of Bukidnon, Municipality of Talakag, Municipality of Libona, Municipality of Baungon, Cagayan de Oro City and Iligan City. and b) Number of CDORB Local Government Units (LGU) Comprehensive Land Use Plans	**Output 1.1:** Joint Administrative Orders for i) BDFAP and ii) LDN implementation, which includes mechanisms for effective multi-sectoral coordination and mainstreaming, developed and signed by relevant entities. **Output 1.2:** Guidelines for preparing multi-sectoral LDN and BDFA projects and accessing the global LDN Fund and other funding mechanisms prepared, to increase the fund infusion for LDN and BDFA including sustainable use and conservation of important local varieties and traditional crops. **Output 1.3:** Trade-off and development strategies analysis for management options optimizing ecological, social and economic benefits at basin level developed and used by planners and practitioners in CDORB. **Output 1.4:** Existing Comprehensive Land Use Plans at CDORB level are revised and approved, so as to optimize ecological,	GET	891,717.00	9,518,518.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing($)	Confirmed Co-Financing($)
Component 2: Demonstration of sustainable land management and biodiversity friendly agricultural practices.	Investment	**Outcome 2:** Improved management of 58,000 ha of cultivated landscapes ensured by small holder farmers, IP communities and multi-national companies through adoption of sustainable land management and biodiversity friendly agriculture practices. Measured by: **- Improved capacities of IP communities? ability to actively engage in integrated landscape management,** as indicated by a 20% increase in the cumulative values of the capacity development scorecard scores of involved IP communities. **- Durability of local participation in improved cropland management using BDFA and sustainable land management (SLM) practices,** as indicated by 2,500 households[1] with a minimum of 10% increase in household?s income. **- SLM and BDFA reflected in payment for ecosystem services (PES) mechanisms within the CDORB**, as indicated by at least two PES mechanisms developed, and call for proposals made, by CDORB LGUs and other interested stakeholders, following the CDORB framework guidance and strategic approach.	**Output 2.1:** SLM and BDFA practices adopted in productive landscapes in the CDORB by government, private sector and local stakeholders. **Output 2.2:** Selected traditional agrobiodiversity farming systems demonstrated and replicated, by local stakeholders and Indigenous people?s (IP) communities, as viable SLM and BDFA options for managing ecosystem services and biodiversity in cropland, as well as for income generation. **Output 2.3:** Markets and marketing strategies developed, including for at least three specialty products, from traditional agrobiodiversity systems and new community-based livelihood models created. **Output 2.4:** Five SLM and BDFA related payment for ecosystem services and/or other incentive schemes developed and implemented.	GET	1,450,780.00	53,576,963.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing($)	Confirmed Co-Financing($)
Component 3: Gender, awareness-raising knowledge management and monitoring and evaluation.	Technical Assistance	**Outcome 3:** Capacity and awareness of stakeholders raised on LDN, SLM and BDFA practices and integrated landscape management approaches by effective gender sensitive knowledge management and project monitoring and evaluation (M&E) ensured. Measured by: **- Improved awareness, knowledge, and capacity of project stakeholders of the value of SLM and BDFA**, as indicated by an increase score of knowledge, attitude and practices (KAP) surveys*[1]* (gender disaggregated). **- Effectiveness of knowledge sharing,** as indicated by (a) 1,000 annual platform visits to the online knowledge exchange portal, and (b) 150,000 persons (of whom approximately 50% are women) reached through the project?s learning and communication events in CDORB and the five priority river basins[2].	**Output 3.1:** Gender, knowledge and communication products on processes, good practices, innovations, lessons learnt, and outcomes developed and disseminated to stakeholders including extension workers, NGOs, farmers, youth/students, local government officials and globally through communication and knowledge management (KM) platforms (i.e. Exposure and Panorama). **Output 3.2:** Traditional agrobiodiversity knowledge and practices, including the use of agrobiodiversity systems, assessed and documented. **Output 3.3:** Knowledge sharing events organized, including cross-farm visits, Local Government Units field trips, and IP learning exchanges to disseminate project-generated experiences, knowledge and lessons learnt to broad-based stakeholder groups. **Output 3.4:** Online	GET	775,647.00	9,348,145.00

[1] End of project target: National, Regional and Provincial state actors 20%; Municipal Local Government Units (LGU) and participating Barangays 20%; Academe, Research, and Science Institutions in CDORB 20%; Multinational companies, large agri-businesses etc. 20%; Indigenous peoples and other community groups 20%; Women and youth 20%; NGO, CSO, Farmers? Groups, Cooperatives 20%; Development Partners 20%.

[2] While the main project

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing($)	Confirmed Co-Financing($)
				Sub Total ($)	**3,118,144.00**	**72,443,626.00**
Project Management Cost (PMC)						
	GET	155,846.00	3,574,062.00			
	Sub Total($)	**155,846.00**	**3,574,062.00**			
	Total Project Cost($)	**3,273,990.00**	**76,017,688.00**			

Please provide justification

C. Sources of Co-financing for the Project by name and by type

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount($)
Recipient Country Government	Department of Agriculture, Bureau of Soils and Water Management (DA-BSWM)	Public Investment	Investment mobilized	5,120,620.00
Recipient Country Government	Department of Agriculture, Bureau of Soils and Water Management (DA-BSWM)	In-kind	Recurrent expenditures	989,530.00
Recipient Country Government	Department of Agriculture (DA) - Region 10	Public Investment	Investment mobilized	4,375,000.00
Recipient Country Government	Department of Agriculture (DA) - Region 10	In-kind	Recurrent expenditures	55,500.00
Recipient Country Government	Department of Environment and Natural Resources, Biodiversity Management Bureau (DENR-BMB)	Public Investment	Investment mobilized	635,697.00
Recipient Country Government	Department of Environment and Natural Resources, Biodiversity Management Bureau (DENR-BMB)	In-kind	Recurrent expenditures	606,994.00
Recipient Country Government	Department of Environment and Natural Resources, Forest Management Bureau (DENR-FMB)	Public Investment	Investment mobilized	154,167.00
Recipient Country Government	Department of Environment and Natural Resources, Forest Management Bureau (DENR-FMB)	In-kind	Recurrent expenditures	145,833.00
Recipient Country Government	Department of Environment and Natural Resources (DENR) River Basin Control Office (RBCO)	Public Investment	Investment mobilized	66,000.00

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount($)
Recipient Country Government	Department of Environment and Natural Resources (DENR) River Basin Control Office (RBCO)	In-kind	Recurrent expenditures	446,000.00
Recipient Country Government	Department of Environment and Natural Resources (DENR)? Region 10	Public Investment	Investment mobilized	674,359.00
Recipient Country Government	Department of Environment and Natural Resources (DENR)? Region 10	In-kind	Recurrent expenditures	1,326,055.00
Recipient Country Government	Department of Interior and Local Government (DILG)	Public Investment	Investment mobilized	1,233.00
Recipient Country Government	Department of Interior and Local Government (DILG)	In-kind	Recurrent expenditures	56,715.00
Recipient Country Government	Department of Housing and Urban Sustainable Development (DHSUD)	In-kind	Recurrent expenditures	35,225.00
Recipient Country Government	Provincial Government of Bukidnon	Public Investment	Investment mobilized	55,257,934.00
Recipient Country Government	Provincial Government of Bukidnon	In-kind	Recurrent expenditures	125,547.00
Recipient Country Government	Municipality of Libona	Public Investment	Investment mobilized	71,817.00
Recipient Country Government	Municipality of Libona	In-kind	Recurrent expenditures	10,675.00

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount($)
Recipient Country Government	Municipality of Talakag	Public Investment	Investment mobilized	249,540.00
Recipient Country Government	Municipality of Talakag	In-kind	Recurrent expenditures	165,313.00
Recipient Country Government	Local Government of Cagayan de Oro	Public Investment	Investment mobilized	607,468.00
Recipient Country Government	Cagayan de Oro Water District (COWD)	Public Investment	Investment mobilized	574,930.00
Civil Society Organization	Cagayan de Oro River Basin Management Council (CDROBMC) Secretariat	In-kind	Recurrent expenditures	59,650.00
Civil Society Organization	Institute of Environmental Science for Social Change (ESSC)	Public Investment	Investment mobilized	309,400.00
Civil Society Organization	Institute of Environmental Science for Social Change (ESSC)	In-kind	Recurrent expenditures	32,700.00
Civil Society Organization	Samdhana Institute	Public Investment	Investment mobilized	300,000.00
Civil Society Organization	Forest Foundation of the Philippines (FFP)	Grant	Investment mobilized	187,500.00
Private Sector	Del Monte Philippines Inc.	Public Investment	Investment mobilized	583,887.00
Private Sector	Unifrutti Tropical Philippines, Inc.	Public Investment	Investment mobilized	2,364,583.00

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount($)
Private Sector	Unifrutti Tropical Philippines, Inc.	In-kind	Recurrent expenditures	348,316.00
GEF Agency	United Nations Development Programme (UNDP)	In-kind	Recurrent expenditures	79,500.00
			Total Co-Financing($)	**76,017,688.00**

Describe how any "Investment Mobilized" was identified

National Government: Investments have been mobilized through the national programs managed by the individual national entities. The national level funding will support the creation of the enabling environment as well as ensure support to the local level implementation of project activities to achieve the project outputs outlined in components 1-3. Key government programs that will support the project implementation are the National High Value Crops Development Program, the National Corn Program and other Soil Conservation and Management initiatives under DA-BSWM. Mobilized investments from DENR-BMB stems from the PA investment plans related to the National Integrated Protected Area Systems (ENIPAS) implementation as well as implementation of activities on agrobiodiversity thematic area under the Philippine Biodiversity Strategy and Action Plan. Further, investments from DENR-FMB stems from funding towards assessment of integrated watershed management plans and processes, implementation support to Forest Land Use Planning (FLUP) and the National Greening Program. Still under DENR, investments from its RBCO will be sourced from programs pertaining to investment planning and river basin management and development master planning (IRBMDP), implementation of Regional Development Council-endorsed and capacity-building on river basin governance. At the site level, local National Government Agencies (NGAs) have also pledged investment commitments for the Project. The investments mobilized include funding from DA Region 10 obtained via their Rice Program, Corn Program, the Special Area for Agricultural Development (SAAD) Program, and various climate change adaptation and mitigation initiative in agriculture. DENR Region 10 funding will be derived from protected areas development and management, and wildlife resources conservation engagements, NGP and River Basin Management Office, among others. Local Government: The provincial engagement will, in addition to the national support, provide for provincial level allocations towards the local level implementation of project activities, including undertaking trade-off analysis, maintaining traditional agrobiodiversity farming systems, expanding the use of BDFA and SLM practices supporting the outputs of the three project components. The largest co-financing contributor is the Provincial Government of Bukidnon, which will support the project via, among others, the provision of cash incentives to organic agriculture practitioners, conduct of Farmers Field School and establishment of farm demos for traditional rice seed varieties and organic high value crops. The Provincial Government of Bukidnon will also align their Provincial Livelihood Program and Integrated Social Forestry Program with the SLM and BDFA

project focus, as well as supporting the protected areas management boards for the protected areas Mt. Kalatungan and Mt. Kitanglad. Investments has also been mobilized from the Local Government Units (LGU) via projects and programs for, for example, watershed rehabilitation, sloping agriculture land technology contour farming, organic agriculture, farm demos, pre-farm production and improvement programs and services, crop plantation production programs and services, environmental rehabilitation and conservation and watershed resiliency and sustainability. The UNDP Project Document?s Annex 30 Co-financing letters, contains the full information on the investment mobilized from the individual co-financing partners. Private sector: The project has during the PPG phase engaged with several private sector partners and investments have been mobilized from four companies. All companies have been thoroughly vetted via UNDP?s due diligence process. In this regard the companies will align their activities with the project?s focus on the implementation of SLM and BDFA practices. More specifically, the investments mobilized stem from the companies? community development programs, sustainable and disposable income crop programs, indigenous people (IP) livelihood development and other green projects such as rain-forestation and nursery development. While the project currently has obtained co-financing agreement with four companies, it is hoped that as the project progresses and becomes known in CDORB, that other companies will seek active engagement with the project. While encouraged, the project will not engage in any new agreements until such a time that the company has undergone a successful UNDP due diligence review. Other Stakeholders. In addition to the above, the project also managed to obtain co-financing from three different NGOs active in the CDORB and from the Cagayan de Oro Water District (COWD). For COWD, investments have been mobilized for providing support towards the project?s payment for ecosystem services engagement. For the NGO partners, investments have been mobilized for support for enterprise development, agriculture, livelihood, conservation and governance strengthening of Indigenous Peoples and Local Communities (IPLCs).

D. Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the Programming of Funds

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount($)	Fee($)	Total($)
UNDP	GET	Philippines	Biodiversity	BD STAR Allocation	922,374	87,626	1,010,000.00
UNDP	GET	Philippines	Land Degradation	LD STAR Allocation	2,351,616	223,404	2,575,020.00
				Total Grant Resources($)	**3,273,990.00**	**311,030.00**	**3,585,020.00**

E. Non Grant Instrument

NON-GRANT INSTRUMENT at CEO Endorsement

Includes Non grant instruments? **No**

Includes reflow to GEF? **No**

F. Project Preparation Grant (PPG)

PPG Required **true**

PPG Amount ($)

150,000

PPG Agency Fee ($)

14,250

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount($)	Fee($)	Total($)
UNDP	GET	Philippines	Land Degradation	LD STAR Allocation	150,000	14,250	**164,250.00**
				Total Project Costs($)	**150,000.00**	**14,250.00**	**164,250.00**

Core Indicators

Indicator 3 Area of land restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
5000.00	5000.00	0.00	0.00

Indicator 3.1 Area of degraded agricultural land restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
5,000.00	5,000.00		

Indicator 3.2 Area of Forest and Forest Land restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

Indicator 3.3 Area of natural grass and shrublands restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

Indicator 3.4 Area of wetlands (incl. estuaries, mangroves) restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

Indicator 4 Area of landscapes under improved practices (hectares; excluding protected areas)

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
53159.00	53000.00	0.00	0.00

Indicator 4.1 Area of landscapes under improved management to benefit biodiversity (hectares, qualitative assessment, non-certified)

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
5,925.00	6,000.00		

Indicator 4.2 Area of landscapes that meets national or international third party certification that incorporates biodiversity considerations (hectares)

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
47,234.00			

Type/Name of Third Party Certification

Indicator 4.3 Area of landscapes under sustainable land management in production systems

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
	47,000.00		

Indicator 4.4 Area of High Conservation Value Forest (HCVF) loss avoided

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

Documents (Please upload document(s) that justifies the HCVF)

Title	Submitted

Indicator 6 Greenhouse Gas Emissions Mitigated

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO?e (direct)	3418697	5009136	0	0
Expected metric tons of CO?e (indirect)	0	0	0	0

Indicator 6.1 Carbon Sequestered or Emissions Avoided in the AFOLU (Agriculture, Forestry and Other Land Use) sector

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO?e (direct)	3,418,697	5,009,136		

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO?e (indirect)				
Anticipated start year of accounting	2022	2022		
Duration of accounting	20	20		

Indicator 6.2 Emissions Avoided Outside AFOLU (Agriculture, Forestry and Other Land Use) Sector

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO?e (direct)				
Expected metric tons of CO?e (indirect)				
Anticipated start year of accounting				
Duration of accounting				

Indicator 6.3 Energy Saved (Use this sub-indicator in addition to the sub-indicator 6.2 if applicable)

Total Target Benefit	Energy (MJ) (At PIF)	Energy (MJ) (At CEO Endorsement)	Energy (MJ) (Achieved at MTR)	Energy (MJ) (Achieved at TE)
Target Energy Saved (MJ)				

Indicator 6.4 Increase in Installed Renewable Energy Capacity per Technology (Use this sub-indicator in addition to the sub-indicator 6.2 if applicable)

Technology	Capacity (MW) (Expected at PIF)	Capacity (MW) (Expected at CEO Endorsement)	Capacity (MW) (Achieved at MTR)	Capacity (MW) (Achieved at TE)

Indicator 11 Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
Female	36,288	36,600		
Male	38,382	38,400		
Total	74670	75000	0	0

Provide additional explanation on targets, other methodologies used, and other focal area specifics (i.e., Aichi targets in BD) including justification where core indicator targets are not provided

The project makes an estimated contribution of 53,000 ha towards the GEF core indicator 4, of which 6,000 ha relates to indicator 4.1 and 47,000 ha to indicator 4.3. An additional 5,000 ha relates to indicator 3 (i.e. indicator 3.1). All project engagements are targeted towards improving the status of biodiversity through the promotion of sustainable land use and land management practices, hereby supporting the national LDN priorities/targets. The project will also contribute to core indicator 11. Most of the project?s target areas are managed by smallholder farmers. It is estimated that the project will have approximately 150,000 direct beneficiaries ranging from local to national level. An estimated 1,900 staff (50% female) will be capacitated under the project. More than 10,000 local community members, including farmers, farmers cooperatives, agribusinesses and indigenous people, among others, will be capacitated on the use of BDFA and SLM management technologies reducing land degradation and improving local agrobiodiversity and traditional varieties . This will, among other, result in at least 2,500 households (11,250 persons) will have a 10% increase in household?s income stemming from improved cropland management using BDFA and SLM practices. Of these, 50% of the beneficiaries will be women. As part of this, at least 1,000 households from IP communities will be actively engaged in growing selected local varieties and traditional crops and 750 IP households will be supported to adopt or re-adopt/adapt improved farming practices, mimicking traditional farming systems and their ecological functions. While stakeholders involved in the project?s activities for improved management of the agroecosystems in the CDORB is 75,000 people, it is anticipated that through scaling-up within the CDORB?s LGU themselves, as well as to other river basins, the number of indirect beneficiaries will be at least 150,000 but could be much higher. The project will also contribute to the GEF core indicator 6 through carbon sequestration ensuing from the project?s engagement in SLM and BDFA practices. Using the FAO EX-ACT tool , the preliminarily expected greenhouse gas emission mitigated is estimated to be 5,009,136 (tCO2e) over a 20-year period. The anticipated start year for the greenhouse gas (GHG) benefit accounting is 2022. Please see Project Document Annex 24 for additional information related to the Ex-ACT calculations and see further Project Document Annex 22 for the overall core indicator breakdown. Finally, the project contributes to 9 Aichi Targets (i.e. 2, 4, 5, 7, 13, 14, 15, 18 and 19) and the Sustainable Development Goals (SDGs) 2, 5, 13, 15 and 17. The project?s contribution towards these goals and targets are outlined in Table 1 and 2 below. Table 1: Project contribution towards the Aichi targets. Aichi Targets Project Contribution Awareness increased The project will support the inclusion of biodiversity values into national and local development planning processes. A central engagement will be the development and adoption of the LDN and BDFA Joint Administrative Orders (JAO) (Output 1.1) which will guide the Philippine Government?s implementation and coordination of LDN and BDFA. In addition, following the trade-off analysis trainings/work (Outputs 1.5 and 1.3) BDFA, SLM and LDN will be integrated into the

local planning processes (Output 1.4), which in turn, will guide the broad scale implementation of these practices within the productive landscape of CDORB. Sustainable production and consumption The project, with its strong focus on SLM and BDFA, will ensure that Governments, business, and stakeholders are engaging in sustainable production methods aimed at enhancing the provision of ecosystem services and biodiversity preservation, within the CDORB and elsewhere. While the above-mentioned work under Component 1 are important prerequisites for the mainstreaming and upscaling of SLM and BDFA practices in the productive landscape, the project?s on-the-ground interventions under Outputs 2.1 and 2.2 are essential to bringing these practices into the hands of the local stakeholders who are to be implementing the interventions on their fields and farming systems. Habitat loss halved or reduced The project in its design is to reverse the current trend in ecosystem service decline and halt land degradation, bringing about sustainable land management and biodiversity friendly farming within the agroecosystem including the agro-forestry ecosystems. Particularly, the project?s engagement under Outputs 2.1 and 2.2 will have direct impacts but it is expected that mainstreaming and upscaling through Government programs will further facilitate this, e.g., the project?s interventions related to payment for ecosystem services (Output 2.4). Sustainable agriculture, aquaculture and forestry As noted, the project aims to address ecosystem service decline through the mainstreaming of SLM and BDFA in the productive landscape within CDORB. The project?s interventions focus on agroecosystem will ensure that agriculture and agro-forestry are sustainably managed, ensuring conservation of biodiversity. Key stakeholder groups are small holder farmers, Community Based Forest Management (CBFM) and IP communities but also multinational companies (MNCs). The project?s main engagement in this regard will be under Output 2.1, but under Output 2.2, the project will be working with the IP communities on drawing lessons learned from traditional farming systems, as well as on how to improve these systems while still keeping within the cultural and social parameters of the IP communities. Genetic diversity maintained The project will be working closely with IP communities which, as noted above, will include engagements centered around the traditional farming systems and practices engaged in by the IP communities. In addition to this, the project aims to develop the sustainable use and management of traditional and endemic species potentially opening up new market segments and new livelihood options. The project?s engagement with traditional farming systems falls under Output 2.2 while Output 2.3 will look at the possibility of market ?new crop?. Ecosystem Restored and resilience enhanced Based on calculations using the FAO EX-ACT kit http://www.fao.org/in-action/epic/ex-act-tool/overview/en/, it has been estimated that, over a 20 year period, the project will ensure a mitigation of tCO2eq 5,009,136. This will be achieved through the introduction of SLM and BDFA practices on 53,000 ha of farmland within the CDORB. In addition to this, 5,000 ha of riparian lands will be restored. Hence, the project will support ecosystem resilience, and increase the carbon stock, through conservation and restoration of the agroecosystems, hereby, contributing to climate change mitigation, adaptation and to combating desertification. Traditional knowledge respected and

integrated As part of the projects engagement with the IP communities on traditional farming practices and use of traditional varieties and endemic species, the project will also work with said communities on capturing their Indigenous Knowledge Systems and Practices (IKSPs). The project will, as accepted by the respective IP communities, document the traditional knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biodiversity. Although this is a specific intervention, it falls under several project Outputs (2.1, 2.2, 2.3, 3.2, and 3.4). Knowledge improved, shared and applied The project has a specific focus on knowledge management and its intervention centers around, among others, the establishing and running of a Knowledge Hub. The platform will facilitate the upscaling of best practices on SLM, BDFA, LDN and conservation of local varieties and traditional crops across the Philippines. The content of the Knowledge Hub will include project deliverables such as trainings, surveys, policy briefs etc. as well as documentation and relevant information provided by project partners. The hub will also provide linkages to other information portals related to SLM, BDFA and LDN. As a special sub-site under the Knowledge Hub information on national and international funding systems, including the LDN Fund will be accessible. Component 3 is mainly related to the project?s knowledge management. Table 2: Project contribution towards SDG goals. SDG Project Contribution The project will, through its support towards mainstreaming SLM and BDFA in the productive agroecosystem (Output 2.1 and 2.2), ensure sustainable food production systems and implement resilient agricultural practices that help maintain ecosystems and strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters and that progressively improve land and soil quality. Having a gender marker of 2, the project?s activities have gender equality as a significant objective, and overall, the mainstreaming of gender is a main focus. As outlined in the Gender analysis and gender action plan (Project Document Annex 12), a deliberate focus on engaging women in the project activities has been taken, to ensure women?s full and effective participation and equal opportunities. Output 2.1 will include women small holder farmers and farmers from the IP and CBFM communities in the project training activities, hereby, increasing their technical knowledge and capacities for improving their on-farm management. Output 2.3 which seek to improve various aspects of the value-chain will, for instance, help women to improve the financial management aspects of the farming operations. The output will also engage in other aspects of business development. The project aims at having at least 50% of the people trained being women, rendering a total of more than 6,000 women involved in the project?s training activities. The project has a subset of capacity building outputs, mainly Outputs 1.3, 1.6, 2.1, and 2.3. Component 3 will add to this by assimilating the knowledge and capacity building engagements from Components 1 and 2 and make this accessible to the broader public and interested stakeholders and practitioners. As the project is focusing on the implementation of SLM and BDFA to reverse or avoid land degradation in the CDORB, the project will, in essence, improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, and impact reduction as well. This is perhaps best illustrated by the project?s

predicted mitigation of tCO2e 5,009,136 which will be brought about by the project?s implementation of SLM and BDAF practices within the CDORB. With its focus on introducing and mainstreaming the use of SLM and BDFA practices within the productive landscape of CDORB, the project will combat desertification, restore degraded land and soil, and assist the Philippine Government in its efforts to achieving a land degradation-neutral Philippines. It will do this through its policy interventions under Outputs 1.1 and 1.4, its planning interventions under Outputs 1.3 and 1.4, as well as its on-the-ground interventions under Outputs 2.1 and 2.2. These interventions will be significant for the efforts to reduce the degradation of habitats and halt the loss of the biodiversity which depend on these. An important strategy of the project is to integrate ecosystem and biodiversity values into national and local planning and ensure that these values, including the economic aspects, are observed and included, particularly, by sectors which traditionally do not include such values in their planning etc. As noted, with its focus on SLM and BDFA, the project contributes to the policy coherence for sustainable development in the Philippines. The project also encourages and promote effective public, public-private and civil society partnerships. The project partnerships and stakeholder engagement are discussed further in Project Document Section IV Results and Partnerships, as well as in the Project Document Annex 13 (Stakeholder engagement plan). The main outputs where such partnerships and joint engagements will come to fruition are under Outputs 1.3, 1.4 and 2.4.

Part II. Project Justification

1a. Project Description

1a. *Project Description*.

1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed (systems description):

With the COVID-19 pandemic entering into full force in early 2020, providing for tremendous disruption and impacts in the Philippines, a main task of the project preparation grant (PPG) assessments was to identify whether and how COVID-19 had affected global environmental problems, root causes and barriers. It was found that while COVID-19 altered parameters related to the project, which the project is now designed to constructively engage with (see **Project Document Annex 26** *Project?s COVID-19 response* and the Project Document risk related **Annex 5 and 6**), the global environmental problems, root causes and barriers that the project seeks to address are consistent with those presented in the Project Identification Form (PIF), and have been further elaborated in the **Project Document Section II Development Challenge**.

Thus, overall, the direct pressures on the different ecosystems in CDORB remains deforestation, over-exploitation of forest resources, agricultural expansion, unsustainable/improper farming practices, conversion to monoculture, and natural calamities. The inherent underlying drivers can be summarized as **1)** *Competing alternative land uses;* ***2)*** *Diffused government mandate and government focus on investment and economic return;* ***3)*** *Lack of a holistic view of, and approach to, river basin planning and management*; and **4)** *Stakeholders? lack of access to knowledge and effective rural advisory services under the current extension services set-up.* In addition, a subset of barriers hinders progress towards creating an enabling environment for the realization of the LDN targets and the mainstreaming of SLM and BDFA practices within the Cagayan de Oro River Basin. The identified barriers are as follows:

Barrier 1: Lack of regulatory framework and policy-backing for LDN and BDFA practices at the national level, and inadequate technical capacity for integrated landscape planning at river basin level. This barrier will be mainly addressed through the project?s interventions under Component 1: *National Land Degradation Neutrality and biodiversity friendly agricultural practices policy created and implementation capacity strengthened*.

Barrier 2: Lack of incentives for widespread and lasting adoption of sustainable land management and biodiversity friendly agricultural practices by the local communities. This barrier will be mainly addressed through the project?s interventions under Component 2: *Demonstration of sustainable land management and biodiversity friendly agriculture practices*.

Barrier 3: Lack of attention and support to traditional agrobiodiversity systems. This barrier will be mainly addressed through the project?s interventions under component 2: *Demonstration of sustainable land management and biodiversity friendly agriculture practices*, but also under Components 1 and 3.

Barrier 4: Lack of stakeholder awareness and technical capacity. This barrier will be mainly addressed through the project?s interventions under Component 3: *Gender, awareness raising, knowledge management, and monitoring and evaluation*, but the project?s other components will also contribute, particularly the capacity building work under Components 1 and 2.

Further to the Project Document Section II Development Challenge additional information can be found in the Project Document?s annexes (i.e. **Annex 10** *Landscape profile and situation analysis* and **Annex 11** *Policies and program baseline-situational analysis)*.

2) the baseline scenario and any associated baseline projects:

Despite the downturn and stand stills which enveloped the Philippines due to the COVID-19 pandemic, the PPG assessments found that, although aggravated by the many COVID-19 response measures such as travel restrictions, restriction on meetings and face-to face interactions, working from home etc. which have slowed down implementation engagements of project and programs, the baseline scenario by and large remains the same as that outlined in the PIF. The specific baseline for the project?s three components has been elaborated (see **Project Document Section III Results and Partnerships** Table 8, 9 and 10). Regarding the associated baseline projects, these were revised and further described in the Project Document **Section II Development Challenge** and the **Project Document Annex 11** *Policy and program baseline).*

However, while changes to the baseline scenario have not occurred, minor changes to key baseline data (i.e. GEF core indicators) have changed as follows:

GEF core indicator	Core indicator at the PIF stage	Core indicator at endorsement
Core Indicator 4: Area of landscapes under improved practices (hectares; excluding protected areas)	**53,159 hectare**	**53,000 hectare**
Core Indicator 6: Greenhouse gas emission mitigated	3,418,697 t CO2e	5,009,136 t CO2e
Core Indicator 11: Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	74,670 people (Female 36,288/Male 38,382)	75,000 people (Female 36,600/Male 38,400)

The occurred changes in the hectarage between the PIF and endorsement are mainly related to that the PIF data were based on 2010 land use data and the data in the Project Document/CEO Endorsement

Request are based on 2018 land use data from the Cagayan de Oro River Basin, which use improved satellite imagery. In addition, the figures have been rounded off.

The numbers of direct beneficiaries were for the PIF based on an extrapolation based on the total population of the CDORB and an estimate of the approximate number of people living in the rural areas of the CDORB. The direct beneficiary numbers were discussed during the PPG phase with stakeholders and experts and while the number derived at, at the PIF stage, was deemed appropriate, it was decided to round off the numbers to be used in the Project Document/CEO Endorsement Request. The data take into account that overall, in the CDORB the ratio of the female population is 48.8 % according to the latest population census (2015).

The emissions avoidance data have been increased with 46.5 %, mainly due to a more detailed analysis of the different types of crops the project will be working with, as well as the areas these crops cover, based on the 2018 land cover data (see **Project Document Annex 10** *Landscape profile and situation analysis* and **Project Document Annex 24** *ExAct tool tCO2eq Calculations and Results Summary*)

3) the proposed alternative scenario with a brief description of expected outcomes and components of the project:

While the global environmental problems, root causes and barriers and the projects baseline scenario has not been affected by the ongoing COVID-19 pandemic, the pandemic has impacted the project?s alternative scenario to some degree. Overall, the project, as it had to during the PPG phase, had to operate within, and be accommodating to, the prevailing national regulations and interventions to keep the pandemic in check. Project safeguards related to this have been put in place and are part of the project design. These included the inclusion of PPG identified COVID-19 related project risks, and related management measures, the flexible use of virtual meetings and trainings where such were not advisable/possible due to health concerns or for instance travel restrictions. It is anticipated that the Philippines will remain in a COVID-19 reality for some time to come and that this will have implications on the project?s implementation in, at least, during the first year of the project. The project has, to the extent possible, included this in the project?s work planning.

In addition, the importance of having a project focusing on the mainstreaming of SLM and BDFA practices has crystalized during the PPG phase. Aside from having positively influencing the ecological balance, economic and social development, such practices have been seen as providing for climate resilience and local elasticity towards coping with emergency situations such as that brought about by the COVID-19 pandemic.

The project design is, by and large, the same as the one presented in the PIF, aside from that the PIF listed Output 2.5 *Guidelines on SLM mainstreaming developed under the DA-GEF 5**[1]***[1]*project adopted and implemented by local governments units hereby strengthening the execution of local SLM programming and monitoring* is no longer an output. Instead of being an output in its own right, it was deemed more feasible to facilitate the roll-out of the developed Supplemental Guidelines for mainstreaming SLM as an integrated, and underlying, part of the other project outputs, primarily those under Component 1, with a specific reference to Output 1.4 *Local policies and plans are reviewed and revised to appropriately reflect aspects of LDN/SLM/BDFA*.

During the PPG phase, stakeholder consultations and discussions were held engaging 699 participants (41 % females). In the PPG focus group discussions, the relevance of the proposed project Theory of Change strategy and approach in the PIF was discussed and confirmed (see **Project Document Section III Strategy** and **Section IV Results and Partnerships**). Of particular importance were the discussions of the PPG?s Technical Working Group (TWG) which reviewed the project design in three separate meetings. The alternative scenario for the project?s three components can be found in the **Project Document Section III Results and Partnerships** Table 8, 9 and 10.

To note, the project used the Theory of Change to present an alternative to the current status quo, where the Theory of Change provides the causal logic that has informed the project design to ensure the project objective is achieved. The Theory of Change advocates that by targeting the identified barriers via the implementation of a stakeholder identified set of activities (see **Project Document Section IV Results and Partnerships** and **Project Document Annex 9** *Description of project activities*), long-term sustainable change can be brought about. The project activities to be implemented under the project?s outputs and outcomes will be monitored on an ongoing basis through the project M&E protocol (see **Project Document Section VI Monitoring and Evaluation (M&E) Plan**) and adjustments will be made to ensure maximum effectiveness and efficiency to ensure optimal results.

Through the effective implementation, the project will deliver 15 intermediate outcomes (sub-outcomes) which over time will facilitate the long-term sustainability of the three component outcomes, which again over time will bring about the overall aim/objective of the project which is to create an enabling environment for the realization of the LDN targets and to mainstream BDFA in CDORB through national policy framework implementation and capacity strengthening. The 15 intermediate outcomes (sub-outcomes) are presented in Table 3 below.

Table 3: The project?s Intermediate Outcome under the three project components.

Component 1: National Land Degradation Neutrality and Biodiversity Friendly Agricultural Practices policy created and implementation capacity strengthened.	**Component 2: Demonstration of sustainable land management and biodiversity friendly agriculture practices.**	**Component 3: Gender, awareness-raising, knowledge management and monitoring and evaluation.**
1.1 National LDN/BDFAP policy/framework consolidated/strengthened, and coordination mechanisms are active.	**2.1** SLM/BDFA adopted in CDORB?s productive landscapes by government, private sector and local stakeholders	**3.1** Communication products (training, good practices, innovations, lessons learned) developed and disseminated/ made accessible to stakeholders.
1.2 Access to international/ national/local funding for multi-sectoral LDN/ SLM/ BDFA initiatives facilitated.	**2.2** Selected traditional agrobiodiversity farming systems, and aspects hereof, demonstrated/ replicated, by local stakeholders/IP communities.	**3.2** Knowledge of traditional practices/use of agrobiodiversity and agrobiodiversity systems documented.
1.3 Trained planners and practitioners in CDORB use developed trade-off and development strategies analysis to optimize ecological, social and economic benefits at basin level.	**2.3** Markets and marketing strategies for project supported agriproducts developed and related community livelihood models created.	**3.3** Knowledge management events on project-generated experiences/ knowledge to broad-based stakeholder groups organized to facilitate dissemination and upscaling.
1.4 Local policies and plans are reviewed and revised to appropriately reflect aspects of LDN/SLM/ BDFA.	**2.4** SLM and BDFA related payment for ecosystem services and/or incentive schemes developed and implemented.	**3.4** Functional online knowledge portal operating
1.5 CDORB Management Council and national and sub-national level entities are capacitated to undertake trade-off analysis		**3.5** Project has effective M&E and the project outputs, outcomes and objective including safeguards targets are achieved.
1.6 River basin management councils of 5 priority river basins and managers/planners of relevant entities capacitated to undertake trade-off analysis.		

Theory of Change considerations include 1) Putting in place relevant regulatory framework and adequate technical capacity for integrated landscape planning, which incorporates biodiversity and ecosystem values; 2) Promoting and bringing increased attention and support to traditional agrobiodiversity and exploration of the commercialization of products stemming from such systems; 3) Enabling a long lasting and widespread adaptation of SLM and BDFA practices by local communities and stakeholders; and 4) Raising stakeholder awareness and establishing an effective and functional knowledge management system accessible for stakeholder and practitioners as well as the broader public. As part of the Theory of Change a series of assumptions has also been made and impact drivers identified (see **Project Document Section III Strategy** Table 6).

The project objective will be achieved through the three project components which aim at removing the barriers to achieve the long-term aim/objective (i.e. *A created enabling environment for the realization of the LDN target and to mainstream BDFA in CDORB through national policy framework implementation and capacity strengthening*). To achieve this, the project has three components which are: **(1)** National Land Degradation Neutrality and Biodiversity Friendly Agricultural Practices policy created and implementation capacity strengthened; **(2)** Demonstration of sustainable land management and biodiversity friendly agriculture practices; **(3)** Gender, awareness-raising, knowledge management and monitoring and evaluation. For more details, please see below. For further elaboration of the outcomes, outputs and indicative activities please see **Project Document Section IV Results and Partnerships**. For a full outline please see **Project Document Annex 9** *Description of project activities*:

Component 1 *National Land Degradation Neutrality and Biodiversity Friendly Agricultural Practices policy created and implementation capacity strengthened*, has a project engagement at both national and sub-national levels. From the onset, the project will work with Department of Agriculture (DA), Department of Environment and Natural Resources (DENR) and Department of the Interior and Local Government (DILG) on the preparation of a BDFAP JAO, which will complement the established Government policies and ensure a broad base and coordinated implementation of BDFA throughout the Philippines. It will also support the DA and DENR preparation and adoption of a LDN JAO. The LDN JAO will introduce LDN as a reference planning framework for key sectors - agriculture, environment and natural resources and address cross-cutting concerns, such as climate change adaptation and mitigation, land management and food security. In addition to the development and signing of the LDN and BDFAP JAOs, the project will support the development of standards for BDFAP certification. The BDFAP certification standard will be an inclusive, science-based, gender sensitive and bottom-up policy development process, which will also include traditional knowledge in addition to science. Pursuant to the ?on-the-ground? implementation of the BDFAP and LDN JAOs, a series of protocols for on-farm conservation (*e.g., appropriate crop suitability assessment, crop and soil management, farm planning etc*.) and guidance notes will be developed to be used by DA?s Bureau of Soils and Water Management (DA-BSWM) and DENR?s Biodiversity Management Bureau (DENR-BMB) as technical bulletins (Output 1.1)

To facilitate stakeholders? ability to access the global LDN Fund and other funding mechanisms, the project will develop guidelines for preparing multi-sectoral LDN and BDFA projects that support sustainable use and conservation of important local varieties and traditional crops. In addition, training modules on how to successfully navigate key aspects of eligible funding proposals will be developed. In support of the adoption and roll out of BDFAP and LDN JAOs, as well as to provide ideas for possible funding proposals, the project will develop a guidebook of proven and viable LDN, SLM and BDFA projects focusing on farm interventions (Output 1.2).

The project will, from the onset, assist the CDORBMC in undertaking a multi-stakeholder dialogue reviewing the CDORB environmental situation and analyze the state of the agricultural production landscapes in the river basin. The CDORBMC will, through project support, prepare an overall facilitation-guide for conducting a trade-off analysis. In this regard, close coordination and integration with project activities under Output 1.5 will be ensured. The facilitation-guides would, to the extent possible, embed the trade-off analysis methodology into existing planning processes engaged in by the target stakeholders. Trade-off analysis would be conducted by capacitated staff in each of CDORB?s

five LGUs and subsequently by the CDORBMC. The trade-off analysis process (including local stakeholder discussions/dialogues) will be individually conducted for the respective LGUs, as well as the CDORB as a whole. Available trade-off analysis tools for integrating ecosystem services into decision-making will be a pivoting point in the work under this output to ensure that sound land use decisions that enhance the river basin integrity and sustain the basin?s ecological service and local livelihood systems. The trade-off analysis will not only look at the productive landscape but at the basin as a whole where impacts from rural and semi-rural construction, effects of deforestation (past and present) and for instance, mining and quarrying (past and present), will be looked at, where sand and gravel extraction supporting local livelihoods forms part of the latter (Output 1.3).

As the LGUs are provided with local and fiscal autonomy and via the latter, they can create funding streams for BDFA and LDN, particularly through their annual investment plans and programs. To capitalize on this, the project will review the LGUs? existing CLUPs and identify gaps in relation to LDN and BDFAP framework compliance, as per the respective JAOs, national plans and strategies, including the national SLM mainstreaming guidelines. The project will then enhance the CLUPs addressing the identified gaps. The mentioned review will be very targeted and would not constitute an overall revision of the CLUP but will rather make pin-point changes to it in places where obvious gaps exist. In addition to the enhancement of the local CLUPs, the project will support local government units in translating the national policies and framework into local laws and plans. The project will also support the development and approval of a CDORB Action Plan for the use of products, practices and knowledge from Nationally Important Agricultural Heritage Systems (NIAHS) and existing traditional agrobiodiversity systems in the CDORB. This work will build on the project?s work (Output 2.2 below) on NIAHS and traditional farming practices in the Ancestral Domains covered by the 5 CDORB LGUs (Output 1.4).

The project will assist the CDORBMC, in collaboration with the regional offices of the DA, DENR and the National Economic and Development Authority (NEDA), to design and manage a training framework for the optimal use of decision support tools. The trade-off analysis training, including from a gender perspective, will heighten stakeholder?s understanding of how LDN principles and integrating SLM and BDFA into watershed and landscape management and planning, can be a cost-beneficial way to transform current agricultural systems, away from the usual key drivers of degradation. The developed training will not be provided as stand-alone sessions but integrated into the different project processes and activities with a specific reference to Outputs 1.3 and 1.6. Based on the trainings and materials developed, the developers will also prepare video recordings of their trainings etc. and these, including the training materials, will be packaged into massive open online courses (MOOC). These will be accessible online via the project Knowledge Hub (Output 1.5)

The river basin management councils, staff from the provincial LGUs and other identified government entities, including NCIP, of the five priority river basins, will conduct at least one focus group discussion (FGD) event per river basin, to discuss and determine the main environmental concerns of the river basin with particular focus on existing agricultural landscapes. Associated with this, the project will assist the respective river basin management councils and provincial LGUs in strengthening their capacity for integrated watershed and landscape management and planning. The project will do this by delivering the training modules developed under Output 1.5. The integrated

training process undertaken in CDORB under Output 1.3 will be mimicked but will be somewhat smaller in scope. Subsequently, the project will assist the River Basin Control Offices (RBCO) and the respective river basins management teams to identify specific gaps in LDN and BDFAP framework compliance, in the higher-level River Basin Management Plans (RBMP) and to develop and approve the strategic concept and associated management action plan for the enhancement of higher-level RBMPs. As Component 2 will be engaged in a range of ?on-the-ground? activities in CDORB, and a good number of these will resonate with the needs of the five other river basins, the project will summarize and exemplify the use of on-the-ground BDFA and SLM practices in support of broad-based watershed and landscape management. A limited number of training/sensitization courses based on the CDORB experience will be developed for the five river basins on priority topics. Furthermore, the project will hold dialogues bringing together key stakeholder groups from the five river basins, which included the Mindanao and Agusan river basins, which, like the CDORB are under the oversight of Mindanao Development Authority (MinDA). The topics of the dialogues will be centered around sustainable river basin management and planning but would also focus on the cross-section between management and planning and the implementation of SLM, BDFA and LDN within the river basins (Output 1.6). The outputs under Component 1 are:

- **Output 1.1:** Joint Administrative Orders for i) BDFAP and ii) LDN implementation, which include mechanisms for effective multi- sectoral coordination and mainstreaming, developed and signed by relevant entities.
- **Output 1.2:** Guidelines for preparing multi-sectoral LDN and BDFA projects and accessing the global LDN Fund and other funding mechanisms prepared, to increase the fund infusion for LDN and BDFA including sustainable use and conservation of important local varieties and traditional crops.
- **Output 1.3:** Trade-off and development strategies analysis for management options optimizing ecological, social and economic benefits at basin level developed and used by planners and practitioners in CDORB.
- **Output 1.4:** Existing Comprehensive Land Use Plans at CDORB level are enhanced and approved, so as to optimize ecological, social and economic benefits at the basin level.
- **Output 1.5:** Technical capacity of CDORB Management Council (CDORBMC) and other sub- national level entities are built, enabling the use of decision-support tools, hereby, enhancing the ability for integrated landscape management.
- **Output 1.6:** Technical capacity of River Basin Management Councils of five priority river basins and other relevant entities, for implementation of integrated landscape management approaches, enhanced and five strategic workplans towards enhancing the river basin management plans in the five priority river basins approved.

Component 2 *Demonstration of sustainable land management and biodiversity friendly agriculture practices* has a focused project engagement within the CDORB. As a prerequisite to the development of the project on-the-ground SLM and BDFA trainings, the project will support multi-stakeholder dialogues, including farmer and local community dialogues and needs assessment, to develop a recommended menu of appropriate technical practices and technologies that address the technical issues and opportunities of different key agricultural systems in the CDORB. In this regard, BDFA and SLM practice-oriented technologies recommended by the DA, DENR and relevant government and

non-government research and development (R&D) organizations, recent foreign assisted projects and networks will be considered. Although initial training modules have been identified[2][2] the final set of training modules will be determined as part of Output 2.1. Based on the developed training materials the project will prepare written, audio, video, SMS and online materials accessible for stakeholders, including farmers. Developers will also make video recordings of their trainings etc. and these, including the training materials, will be packaged into MOOCs. The project will support representative CDORB Ancestral Domains in incorporating BDFA and SLM practices in the agriculture and Natural Resource Management (NRM) components of their ancestral domain planning processes (ADSDPP[3][3] or pre-ADSDPP processes). The Tribal leadership in each domain will translate the analysis results into community agriculture and NRM plans and will vet these with national and local government agencies to ensure alignment with the relevant laws. The community plans will, in turn, guide the extension and communication activities within the Ancestral Domain towards the uptake of identified practices. In addition, the project will increase the ability of the indigenous people?s organizations (IPOs) and the indigenous people?s structures (IPS) to provide leadership in connection with the implementation, monitoring and adaptive management of the developed Ancestral Domain community agriculture and NRM plans. In addition to providing support to the IP communities, the project will also facilitate the delivery of appropriate extension services support for upland agricultural and NRM related activities implemented by CBFMA holders. With regard to lowland agriculture and peri-urban agricultural areas, capacitated extension service providers will also assist and build the capacity of small-scale farmers in implementing BDFA and SLM practices on their lands. Furthermore, the project will work with large scale actors to engage the agribusiness sector and thus support the CDORBMC?s aspiration for more substantial engagement and collaboration with the sector to ensure widespread adoption of SLM and BDFA practices in the basin. Finally, the project will work with at least three of the five LGUs in CDORB to establish their organic agriculture programs, supported by ordinances and building on recent amendments to the National Organic Act expanding the certification options to small farmers (Output 2.1).

In collaboration with the Northern Mindanao Consortium for Agriculture Resources Research and Development (NOMCARRD) and LGUs, the project would assist the DA in conducting a stock taking within CDORB and adjacent municipalities of existing traditional agricultural systems that potentially have high agrobiodiversity value. The results of the stocktaking, as well as documentation stemming from Output 3.2 on IKSP etc, would be included in multi-stakeholder discussions/ dialogues on the significance of SLM & BDFA practices held at CDORB, LGU and community levels. Following the dialogues, the project will support collaborative work between the DA, NOMCARRD and respective tribal leadership to identify and agree upon on-the-ground interventions and improvements that would enhance the viability of traditional farming systems. Subsequently, provision of training to the local farmers within the Ancestral Domains, in applicable SLM and BDFA practices, will be provided. As some of the SLM and BDFA oriented traditional practices can equally well be incorporated and used in modern farming systems, and is, therefore, readily transferable, farmers working on similar land types would also be provided with similar training opportunities (Output 2.2).

Building on the stocktaking exercise undertaken under Output 2.2 and together with Ancestral Domain farming community stakeholders and marketing experts, the project will identify the agrobiodiversity products, which are favored by farmers and are perceived as having the potential of becoming marketable. These product opportunities, in current and prospective markets, will then be assessed through a comprehensive gender sensitive value-chain analysis. Based on the gender sensitive value-chain analysis, the most promising agrobiodiversity products will be determined, and a small subset of these products will be selected for an ongoing validation, using key parameters. Subsequently, the project would assist the local communities in, among others, bringing products to market, as well as consolidating the production efforts within the local communities. In addition, together with Ancestral Domain leaders and community members, the project will identify a subset of IKSPs which they would like to develop and create potential markets for. This would not only be actual products stemming from traditional farming systems but could also be tourism products such as visiting said farming systems or presenting various cultural aspects. In support of the project?s engagement in creating new community-based livelihood models based on specialty products (crops) from traditional agrobiodiversity systems, the project will ensure participation of said specialty products in relevant thematic trade shows. Also, training in marketing and sales skills will be provided to a smaller group of people who are to take the lead in the project promotion and outreach. Furthermore, the project will review traditional labor and gender roles and assess new or alternative roles provided by added technologies, including labor saving technologies. Aside from technological support, the project will look at how physical environmentally sustainable changes in the production and management of land, such as scheduling/timing of planting of selected crops, can optimize the farmers? income (Output 2.3).

To ensure a coherent effort in, and approach to PES in CDORB, the CDORBMC will develop a basin wide PES development strategy for the CDORB, which covers both agriculture and forest lands and includes lands in Ancestral Domains as well as Protected areas (PA). Furthermore, the CDORBMC will develop guidelines for robust PES modalities, which can be used by LGUs and other stakeholders, such as MNCs and other large corporations and companies. For this, the CDORBMC will work together with a broad range of government and non-government stakeholders, including DA, DENR, National Commission of Indigenous People?s (NCIP) and LGUs business representatives. Guidelines providing for a general template for ?standard? PES mechanisms and a checklist of must-have sections and information needs will also be developed and act as a tool in establishing new PES mechanisms or for reviewing and strengthening existing ones. Using the CDORBMC PES strategy and the associated guidelines, the project will work together with the Libona and Cagayan de Oro City on the development of their PES mechanisms and will engage with the LGUs in Baungon, Talakag and Iligan city with the aim to develop LGU specific PES mechanisms. Furthermore, to be identified, private sector partners will engage in establishing their own PES mechanisms following the CDORBMC PES strategy and PES guidelines. In this regard, dialogues and discussions between the PES buyers and sellers will be facilitated and where needed a FPIC will be part of the overall process. The project will help to consolidate information and engage in deeper inquiries and feasibility analysis (Output 2.4).
The outputs under component 2 are:

? **Output 2.1:** SLM and BDFA practices adopted in productive landscapes in the CDORB by government, private sector and local stakeholders.

? **Output 2.2:** Selected traditional agrobiodiversity farming systems demonstrated and replicated, by local stakeholders and IP communities, as viable SLM and BDFA options for managing ecosystem services and biodiversity in cropland, as well as for income generation.

? **Output 2.3:** Markets and marketing strategies developed, including for at least three specialty products, from traditional agrobiodiversity systems and new community-based livelihood models created[4][4].

? **Output 2.4:** Five SLM and BDFA related payment for ecosystem services and/or other incentive schemes developed and implemented[5][5].

Under **Component 3** *Gender, awareness-raising knowledge management and monitoring and evaluation,* the project will, within the first year, develop a knowledge management and communication strategy. The strategy will outline the project?s approach as to how, based on the project?s work under Components 1 and 2, will communicate with key interlocutors to facilitate becoming authorities on scientific and technical knowledge on LDN, SLM and BDFA practices. The strategy, in addition to its national focus, will also look at how the project can connect globally through communication and KM platforms (i.e., Exposure and Panorama). The project will support the upscaling of project results by developing video documentation of proofs of concept and good practice examples and lessons learned of site specific SLM and BDFA practices. The project will support the activities under Components 1 and 2 by developing policy guidance notes, policy briefs, discussion papers, documentation related to the standards for BDFAP certification, and prepare technical bulletins for on-farm protocols for biodiversity and indigenous species conservation. In addition, the project will produce a subset of key KM products, as well as facilitate the dissemination of field lessons emanating from BDFA and SLM practices in CDORB at the national and sub-national levels. The project will support workshops/conferences/project steering committee meetings to share lessons and experiences. To foster broader international cooperation and result dissemination, the project will seek to engage with other developing countries facing similar challenges to take full advantage of DA, DENR and NCIP?s participation in international engagements (Output 3.1).

The project will build on the GEF-assisted FAO-BAR Agrobiodiversity Project?s communication work to widen the dissemination of the project?s experiences and recommendations on dynamic conservation of traditional farming systems and their embedded agrobiodiversity. To document traditional agrobiodiversity knowledge and practices, including agrobiodiversity systems, the project will assist the DA Regional Office in collaborating with the Ancestral Domains on documenting IKSPs, related to agricultural and NRM practices, including those on agrobiodiversity conservation. The objective of the exercise is to understand and document the perspective and value systems of IPs that are important to the overall conservation of natural resources and sustainability of their farming systems. Taking advantage of the information collection process, the project will also take a somewhat broader view and collect information on IKSPs related to hunting, wild crop harvesting, fishing, farming and pastoralism, watershed protection, water use and irrigation, power generation and domestic usage of natural resources etc. The process of IKSP documentation will be looked at from a gender and youth perspective and disseminated within 1) the IP groups to avoid the erosion of indigenous peoples? cultures within the communities, and 2) relevant government entities and the public at large to justify increased public investment support to Ancestral Domains. The latter will, however, be based on IP community approval. The project will, in this regard, prepare a specific segment on, for instance, the

Knowledge Hub (Output 3.4) where IKSP related documentation and information will be housed, as well as prepare specific materials for public consumption (Output 3.2).

Based on the work and results under Output 2.1 the project will report evidence of successes on the effectiveness of SLM and BDFA practices on ecosystem service provision. The project will also facilitate cross-farm visits. The cross-farm visits will bring farmers and other interested stakeholders to project sites, where SLM and BDFA practices are being implemented. This will facilitate farmer-to-farmer exchange, ?learn through their own eyes? and ?spread the news?. In addition, the project will feature SLM and BDFA practices ?learning farms? in CDORB via DA- Agriculture Training Institute (ATI), DENR, NCIP television and radio programs in partnership with mainstream media networks. Furthermore, the project will produce five video documentaries featuring inspiring stories of women, youth, and IP farmers whose SLM and BDFA practices are worthy of emulation. Furthermore, to increase the public outreach, the project will establish project social media platforms (Facebook, InstaGram, Twitter etc.) (Output 3.3).

The project will launch and operate a Knowledge Hub on LDN, SLM, and BDFA practices, which aims to support knowledge management tasks by providing a framework for organizing scientific and technical information and access to good practices. The Knowledge Hub will be designed to improve connections and knowledge flow between and amongst stakeholders (*including extension workers, NGOs, farmers, youth/students, local government officials*) and information-seekers. The structure and content areas of the Knowledge Hub will be fully outlined in the knowledge management and communication strategy (Output 3.1). Apart from project related information and documentation, such as project reports and analysis, it will feature training materials and MOOCs, (output 1.5 and 2.1), funding resources (output 1.2) etc., as well as information and links to other relevant documents and information prepared by other entities. As part of this, connections to global communication and KM platforms (e.g. Exposure and Panorama) will be established. As part of the project?s strategy for knowledge management and dissemination, the project will work with the CDORB?s LGUs to create needed linkages, expand existing Information Management Systems (IMS), as well as assist in data collection, input onto on-line website and dissemination. A key part of this will be to improve the access to information and identify relevant links to outside information providers, which have information pertinent to the LGUs. The project will also strengthen the information support systems at the local federation of IP tribal councils to support sharing of good practices, consensus building and strengthening IKSP documentation and management. In addition, springing from the project?s engagements and implementation of the project activities under the three project components, the project will establish an online Community of Practice (CoP) on LDN, SLM and BDFA practices. The CoP will be a group of like-minded, interacting individuals, institutions and experts who will filter, amplify, invest, convene and facilitate etc. on the various aspects and areas the project is engaged in (Output 3.4).

The project will conduct two KAP Surveys during project implementation (*baseline and project-end surveys conducted in years 1 and 5, respectively*). The KAP surveys will form the bedrock of the site-specific communication campaign to be produced for this project. Further, as part of the project efforts to safeguard gender and social inclusion, IP and youth sensitivity within the project, and among the project?s main stakeholders, project staff and national and local level stakeholders will be trained on gender equality and women?s empowerment in the context of LDN, SLM, and BDFA. The set of training will include, but not be limited to, the application of gender mainstreaming, gender analysis, collection and use of sex-disaggregated data, as well as gender sensitive communication, knowledge management and monitoring and evaluation. The project will review and regularly review and update its progress and subsequently adopt the findings to ensure an adaptive management of the

implementation of the project. This will include the implementation of the following action plans: Gender Action Plan (**Annex 12**), Stakeholder Engagement Plan (**Annex 13**), and ESMF (**Annex 14**), as well as the Environment Social Management Plan deriving from the ESMF ensuring that gender and livelihood targets are achieved as envisaged, and that the environmental and social safeguards remain in place. . As outlined in the ESMF the project?s activities related to the project risks will be assessed via an Environment and Social Impact Assessment (ESIA) and a Strategic Environment and Social Assessment (SESA) during the first year of the project. In this regard, the implementation of the planned project activity related to these risks should not start prior to the completion of the ESIA/SESA nor prior to the ESIA/SESA ascribed responses needed to adequately safeguard against identified risks have been put in place by the project and managed via an Environment and Social Management Plan. With regard to the ESMP, or in case any other plan is needed as a safeguard measure for the project, related project activities should not start prior to the completion of said plan/s. Further, the ESMP should be completed within year one of the project implementation (Output 3.5). The outputs under component 3 are:

•**Output 3.1:** Gender, knowledge and communication products on processes, good practices, innovations, lessons learned, and outcomes developed and disseminated to stakeholders including extension workers, NGOs, farmers, youth/students, local government officials and globally through communication and knowledge management platforms (i.e. Exposure and Panorama).

- ? **Output 3.2:** Traditional agrobiodiversity knowledge and practices, including the use of agrobiodiversity systems, assessed and documented.
- ? **Output 3.3:** Knowledge sharing events organized, including cross-farm visits, Local Government Units field trips, and IP learning exchanges to disseminate project-generated experiences, knowledge and lessons learned to broad-based stakeholder groups.
- ? **Output 3.4:** Online knowledge exchange portal established and maintained at designated government department to ensure long-term sustainability and continuous development of the platform content.
- ? **Output 3.5:** Gender Action Plan, Environment and Social Management Framework/FPIC process, Stakeholder Engagement Plan, KAP surveys and project activities effectively implemented and monitored.

4) alignment with GEF focal area and/or Impact Program strategies:

The project is aligned with the goal of the GEF-7 Biodiversity Focal Area (BD-1-1) *Mainstream biodiversity across sectors as well as landscapes and seascapes through biodiversity mainstreaming in priority sectors* which focuses on spatial and land-use planning to ensure that land and resource uses are appropriately situated to maximize production without undermining or degrading biodiversity[6][6], and on improving and changing production practices to be more biodiversity-positive with a focus on sectors that have significant biodiversity impacts including agriculture. This will concurrently contribute to the Philippine's voluntary LDN priorities and targets and those of the PBSAP.

Furthermore, the project aligns with GEF-7's Land Degradation Goal to support UNCCD's LDN concept, where the project will support the GEF-7 Land Degradation Focal Area (LD-1-1) *Maintain or improve flow of agro-ecosystem services to sustain food production and livelihoods through Sustainable Land Management* and (LD-2-5): *Create enabling environments to support scaling up and mainstreaming of SLM and LDN*. The project will specifically work with small holders and IP communities who depend on farming for their livelihoods on restoring agroecosystems in the productive landscape. In this, the project will involve private sector and LGUs in developing payment for ecosystem services mechanisms, which will further facilitate adaptation of the project promoted LDN, SLM and BDFA approaches.

5) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing;

The baseline and incremental reasoning have, compared to the PIF, been further elaborated in the Project Document, but remains consistent with the summary provided in the PIF. The baseline and incremental reasoning for each project component is described in Tables 8, 9 and 10 of the **Project Document Section IV Results and Partnerships** and is reproduced in Table 4 below for ease of reference. The co-financing contribution has been increased above the USD 24,527,000 anticipated at the time of the PIF to a total of USD 72,720,902.

Table 4: The project?s baseline and incremental reasoning

Component 1: National Land Degradation Neutrality and Biodiversity Friendly Agricultural Practices policy created and implementation capacity strengthened	
Summary of Baseline Situation	**Incremental Reasoning**
Outcome 1: Enabling policy environment created for LDN and BDFAP and capacity for integrated landscape management enhanced at sub-national level leading to improved biodiversity and ecosystem services in the Cagayan de Oro River Basin.	

While LDN, SLM and BDFA are, to a larger extent, included in national plans and programs, there are still gaps in the coherent policy making and implementation. Insufficient coordination and not well-defined responsibilities among government actors hinder effective implementation of the LDN priorities/targets, the BDFAP Framework and policy. In turn, agrobiodiversity is affected by lack of appropriate and coordinated efforts towards mitigation of land degradation and effective implementation of sustainable land management and natural resource management on agriculture and forest lands in CDORB. Without the GEF intervention, these underlying issues will not be immediately addressed, thus, significantly slowing down progress.	The GEF increment will facilitate the creation of national regulatory frameworks with mechanisms for multi-sectoral coordination and mainstreaming, as well as financing for the implementation of both the LDN priorities/targets and the BDFAP. Key outputs will be the development and approval of a LDN JAO and the approval of the BDFAP JAO, which will provide guidance on the implementation of the frameworks to involved agencies. Relevant government entities such as the DA, DENR, DILG and Department of Human Settlements and Urban Development (DHSUD) will be central actors in the project?s policy work. Capacity for project development and accessing the global LDN fund and other funding sources will be built through the development of guidelines and provision of trainings, facilitating a better absorption of available funds for the implementation of BDFA and SLM projects.
National funding through the government systems is available but does not fully meet the funding gap at local level where financing for additional implementation of SLM, BDFA practice as well as agrobiodiversity conservation efforts are needed. Part of this is related to the lack of understanding of cause and effect with regard to the deterioration of ecosystem services within the river basin, which distorts the financial allocations for interventions by local government towards non-sustainable land use options. Also, the lack of overview of available funding systems international, government and otherwise, hinders efforts in effective fund raising. Also, without GEF intervention river basin plans and other land use plans will, for some time to come, continue to be developed without underlying detailed trade-off analysis that takes into account ecosystem services valuations, among others, as LGUs and other river basin planners will continue to lack the needed training in using and integrating such analysis into the planning processes.	The technical capacity for improved integrated watershed management will be built, expanding the use of decision-support tools and analysis methodologies for integrated landscape planning by CDORB river basin managers and national agency staff, including that of the DENR-RBCO. National and internationally available tools for trade-off analysis and decision-making will be used and the integration of ecosystem services will be a pivoting point in the analysis and decision of alternative land use scenarios and management options which take into account changing climate conditions and other relevant variables. To further the replication efforts, river basin managers and provincial agency staff of the five priority river basins (i.e. Cagayan, Pampanga, Mindanao, Agusan, and Iloilo-Batiano) will also be capacitated. For summary descriptions of the five river basins, please see **Project Document Annex 15**. The GEF increment will facilitate the revision of the CDORB management plan so that it, based on the undertaken analysis work, adequately incorporates LDN, SLM and BDFA. Likewise, relevant agriculture and NRM sections of the five CDORB LGUs existing CLUPs will be updated to accommodate CDORB agreed strategic directions for implementation of LDN, SLM and BDFA within the river basin. Furthermore, the river basins? management teams in the five priority river basins will identify gaps in LDN and BDFAP framework compliance in the higher-level RBMP and develop and approve the strategic concept and associated management action plan for the enhancement of the higher-level RBMPs. With regard to the project work related to the LDN, the project will ensure a close alignment with the UNCCD Secretariat published relevant documents and the GEF Scientific and Technical Advisory Panel (STAP) guidelines on LDN project funded by the GEF during project implementation.

Component 2: Demonstration of sustainable land management and biodiversity friendly agriculture practices	
Summary of Baseline Situation	**Incremental Reasoning**
Outcome 2: Sustainable management of 58,000 ha of cultivated landscapes ensured by small holder farmers, IP communities and multinational companies through adoption of sustainable land management and biodiversity friendly agriculture practices.	

Without necessary intervention, small holder farmers will continue focusing on monocrop and cash-crop, as they do not have the knowledge of the benefits of mixed cropping and other SLM, BDFA practices and agrobiodiversity conservation interventions which are long-term financially viable. Training and information dissemination related to this will remain to be ad hoc and not targeted towards farmers living in sensitive areas. Also, main crops, like corn, will continue to rely on varieties with a narrow genetic pool thereby making them vulnerable to climatic events as well as market dynamics. The currently weak enforcement and regulations against the indiscrete use of chemicals, including glyphosate, will continue to pose a threat to biodiversity in the agroecosystem and associated aquatic systems, as well as the ecosystem services they provide, including pollinator service and water quality. The potential of alternative crops useful for agroforestry such as coffee, abaca, adlai and indigenous species to promote crop diversification and farm resilience will likely continue to exist only as small pockets of good practices, lacking opportunity for upscaling. And while the IP farming communities will have better access to DA resources (agricultural guidance and inputs) due to the recently signed DA and NCIP convergence agreement, a good number of agri-support programs may not be directly suitable to the IP community value systems due to the absence of mechanisms to examine and adapt conventional agricultural systems to IP capacities. Because of this, the use of local varieties/traditional crops and traditional agrobiodiversity farming systems containing, for instance, open pollinated varieties (OPV) and applying ecologically sound practices, will continue to decline. Furthermore, the extension personnel of DA and DENR and even for NCIP will continue to have limited opportunity to learn about strategic extension needs of upland farmers and to develop new extension systems. Without additional support, existing ?learning sites? will not be able to fully absorb available SLM and BDFA practices as these cannot be supplied by LGU extension system, as it is now. The contribution of corporate agriculture, including MNCs, of incorporating BDFA in their operations will continue to be suboptimal when compared to their true potential, particularly if current recognition systems are not enhanced. This is especially true in the case of farms with relatively smaller scale operations	Under the GEF alternative, a range of BDFA and SLM practices in productive landscapes within the CDORB will be adopted to mitigate land degradation and protect important agrobiodiversity, including local varieties and traditional crops. Small holder farmers, MNCs and large national agribusinesses, as well as indigenous people?s communities, farmers cooperatives and CBFMA holders, will implement biodiversity sensitive sustainable farming on 53,000 ha of land[7][7], including sloping lands and upland areas within the CDORB. Capacitated stakeholders from the farming communities will implement low-cost, easy implementable yet effective BDFA and SLM options, hereby increasing the habitat quality, biodiversity, and ecosystem services of the land under their care. In addition, 5,000 ha of riparian lands will be restored. Playing a key role in the transformational change needed for broad scale adoption of BDFA and SLM practices in CDORB is the mobilization of project trained agricultural extension workers who will build the capacity of the local farmers and farmer-groups on applicable BDFA and SLM options. This on-the-ground work will be leveraged through local governments? agriculture and economic development programs and policy incentives. Also, in support of the National Soil Health Program of the DA-BSWM monitoring and evaluation protocols will be set up and selected measurable indicators at farm and landscape levels will be monitored. The projects on-the-ground work is also aligned with the One DA Reform Agenda and the national implementation of said agenda will become an important driver for Component 2 replication and upscaling. Locally important varieties and traditional crop resources will be identified and households in the IP communities will engage in the management of traditional farming systems, which will be adapted to fit a modern day setting without compromising the socio-economic and ecological benefits of said systems. The identification of locally important varieties and traditional crop resources will be based on the local IKSPs. The identification will be done in cooperation with the IP communities and hinge on community-agreed criteria, including cultural, biological, economic values and climate resilience. The revitalization of the use of traditional agrobiodiversity systems, as well as traditional crops and local varieties will also be supported by market related incentives. Market demand and niche market strategies for traditional crops will be explored/developed to provide economic incentives to IP communities for the preservation and/or reviving of traditional farming systems. Furthermore, capacitated IP community leaders will actively engage in discussions and implementation of SLM and BDFA based integrated landscape and watershed management within the Ancestral Domains (and beyond). Guidance for targeted PES interventions within the

Component 3: Gender, awareness-raising, knowledge management and monitoring and evaluation	
Summary of Baseline Situation	**Incremental Reasoning**
Outcome 3: Capacity and awareness of stakeholders raised on LDN, SLM and BDFA practices and integrated landscape management approaches by effective gender sensitive knowledge management, and project monitoring and evaluation ensured.	

Academia and institutions working on farming and forest lands have in-depth knowledge of land degradation and restoration in the Philippines, as well as a subset of tools and methodologies which can be implemented to address this. However, this information is not readily accessible to government staff and planners, farmers and other stakeholders.	Drawing from the other components processes, best practices, innovations, lessons learned and outcomes will under the GEF alternative be translated into useful communication materials or boundary objects such as policy briefs, technical advisory notes, guidelines, impact stories. These include modules for wider dissemination targeting not only CDORB but also other river basins in the Philippines including the five pilot river basins of the national LDN program.
Without GEF intervention, this information will not be accessible through a portal that brings information on SLM, BDFA, LDN and conservation of local varieties and traditional crops together in one place. The knowledge distribution will, thus, still flow within the existing ?networks? using the old dissemination patterns without new pathways for cross-fertilization and spreading of ideas and good practices. Also, without GEF interventions, there would not be an entity which would have a clear focus on bringing information on LDN, SLM and BDFA to the local and national stakeholders and practitioners, and through that sensitize and engage them, as well as create connections among them. In addition, there will be much less focus from media and on the social networks on success stories and lessons learned from people involved in mitigating land degradation and improving the ecosystem services through the implementation of SLM and BDFA. This includes knowledge management information on priority traditional farming systems and associated culturally significant areas, as well as IKSP of indigenous peoples would remain un-documented and unused in the stories on good SLM and BDFA practices employed by local communities. Likewise, farmer to farmer visits would not be used, in any marked way, to expedite and spread farming practices that have shown to halt or slow down land degradation, improve soil and water management on farms and increase local biodiversity within the agroecosystem.	Priority traditional farming systems and associated culturally significant areas, aimed at conserving local varieties and traditional crops will be assessed and documented, as will local IKSPs of the IP communities. On an exceptional basis, the geographical scope, in this regard, will expand beyond the CDORB and include adjacent municipalities to ensure that IP communities living inside Ancestral Domain which cover lands both inside and outside CDORB are included. Stakeholders and user-groups such as local planners, policymakers, watershed managers and practitioners, agriculture extension workers, MNCs, and farmers and students (*the youth*) will draw ?hands on? experiences from capacity building events disseminating project knowledge. These will include visits to farms and farming communities which are successfully implementing and maintaining BDFA and SLM practices on their lands within the agricultural landscape. The proposed online Knowledge Hub will enable sharing of experiences and knowledge product among stakeholders, practitioners, communities and PAs. The platform will, herewith, facilitate, among others, the upscaling of best practices on SLM, BDFA, LDN and conservation of local varieties and traditional crops across the Philippines. The maintenance and functionality of the portal will be secured through its embedment into an existing national system, hereby, ensuring long-term sustainability of the Knowledge Hub.

6) global environmental benefits (GEB):

The global environmental benefits (GEB) resulting from the project include improved provision of agroecosystem and forest ecosystems goods and services, conservation and sustainable use of

biodiversity in productive landscapes and conservation of globally significant biodiversity that would have otherwise been lost or declined in the absence of BDFA and SLM practices implementation at the project sites.

Due to the long-term sustainability and scaling up of the project, the project will initiate a momentum that will continue to produce GEB extending further than the project period. Specifically, the project is designed to secure long-term multifunctionality in the CDORB by deploying sustainable land management and biodiversity-friendly agricultural practices in the basin?s agroecosystems. The project will implement distinct management practices aimed at conserving agrobiodiversity in the productive landscape and increase the ecosystem services springing from these. It will also, in close collaboration with IP communities, expand the use of traditional agrobiodiversity systems and increase the sustainable use and protection of local varieties and traditional crops found within said systems. Aside from IP communities, the project will also work with small holder farmers and national agribusinesses and multinational corporations. The project?s interventions on improving management of the cultivated landscapes in the agroecosystem will focus on cropland, including sloping lands, as well as agroforest systems. A total of 58,000 ha will benefit from the implementation of low-cost, low-hanging and effective BDFA and SLM options, which will increase the habitat quality, biodiversity, and ecosystem services of the affected lands. While most of the cropland under the project, including the 5,000 ha of riparian areas which will be restored, is managed by small holder farmers, and national agribusinesses and multinational corporations, the project will also work with farmers and IP communities in deploying BDFA and SLM practices in 4,000 ha of the cultivated portions of PA buffer zones, 2,000 ha of ancestral domain land and 1,000 ha of degraded forest lands[8][8].

The wide scale adoption of SLM and BDFA practices in the productive landscape, including the agroforestry areas, will be a main driver for improving conditions for biodiversity and increasing the ecosystem services and their derived values, not only within the CDORB but also elsewhere. Although combining efficient agricultural land use with biodiversity conservation is a challenge, opportunities for agricultural landscapes to provide multiple ecosystem services beyond food production and biodiversity exists[9][9]. High yields and high biodiversity can co-exist in tropical small holder agricultural systems. For instance, traditional coffee production systems have been described to be biodiversity friendly both in their biodiversity content and quality of the matrix they create, while producing reliable yields[10][10].

Tscharntke et al. (2012) [11][11] has argued that conventional agricultural intensification often results in contamination by pesticides and fertilizers, which can affect human health and create non-target effects on wildlife and functional agrobiodiversity. The project?s extensive focus on BDFA will among other address pesticides and fertilizers usage by introducing biological alternatives. Introducing agroecological principles in agriculture practices, such as adopting environmentally friendly management practices, including SLM, focusing on diversifying cropping systems and other BDFA practices, can improve productivity and promote agroecosystem resilience[12][12].

Letourneau et al. (2011)[13][13] demonstrated that diverse agroecosystems have less pest damage, fewer herbivores and more natural enemies than less diverse cropping systems, and the biodiversity associated with these farming systems, within the agricultural landscapes, provides for important ecosystem services. Winfree and Kremen[14][14] shows that the diversity in the assemblage of pollinators influences crop yields. Further, the reliance on frequent pesticide application in conventional agricultural practices, including those within the CDORB, has been shown to have negative effects on functional biodiversity, for example on bees[15][15] (Brittain and Potts, 2011) or soil biota[16][16] (Culman et al., 2010). In addition, it has been shown that habitat heterogeneity enhances the density and diversity of natural enemies which in turn reduces crop pest pressure[17][17]. The project?s introduction and mainstreaming of relevant SLM and BDFA practices (see **Project Document Annex 34** *Catalogue of SLM and BDFA practices*) is expected to have a marked positive influence in this regard benefitting ecosystem services and biodiversity within the CDORB.

The Mt. Kitanglad Range Natural Park and Mt. Kalatungan Protected Area, partially located in CDORB, are important key biodiversity areas (KBA) and are both designated ASEAN[18][18] heritage parks for their unique biological diversity. Both PAs are, due to their high level of endemism, important plant areas[19][19] [20][20] and Mt. Kitanglad is one of three plant diversity centres found on Mindanao. The lower montane forest hosts 23 globally threatened species of birds, 12 species of mammals, and three species of butterfly. Nine of these species are reported as endemic to the lower montane forests of Mindanao. Large mammals such as Philippine Warty Pig (*Sus philippinenses*) and Philippine Brown Deer (*Cervus mariannus*) are found in this habitat and are assisting in maintaining species diversity of the forest. A recent province wide study[21][21] on neglected and underutilized

species cited 26 endemic and indigenous species that were being used by rural households. The agronomic species (including local varieties for some of them) include cereals, legumes and root crops[22][22] of which several are grown as part of regular diets in pockets or rural households, which come in handy in times of food deficient periods (lean months of the year, occurrence of disasters etc.). In addition, the same study cited 100 species which were used for their medicinal values, and they included different botanical forms (herbs, trees, nuts, vines etc.). These species exist in remnant forests, grown in home lots or included as part of traditional multi cropping systems. An example is the planting of protein rich rice bean, as relay crop, to traditional white corn together with native varieties of root crops that cover the soil. Such systems are examples of how farming systems can provide for conservation through sustainable use.

In Northern Mindanao (Region 10), which encompasses CDROB, local varieties of Adlai/Job?s Tears are being cultivated[23][23], along with a broad array of other indigenous and endemic varieties of crops such as taro and yam[24][24], by small holder farmers and IP communities. As an example, an IP community living in the Mt Kalatungan Range practices intercropping of yams, sweet potato, corn, upland rice, beans, legumes, coffee, banana, abaca and other traditional crops[25][25]. As such, agrobiodiversity is a critical part of the country?s biodiversity, and the national importance of its conservation has been underlined by its inclusion into the revised PBSAP as a specialized thematic area[26][26].

The project will improve provision of agroecosystems through preservation of local varieties and traditional crops by maintaining and expanding on traditionally used agrobiodiversity farming systems, as well as through storing seeds of local varieties in community seed deposits and the facilitation of seed exchanges between communities, which will not only conserve species and genetic material but also act as a source for local communities who want to include such crops into their farming systems. Finally, the project will provide global benefits in form of carbon sequestration in connection with the project?s restoration activities, as well as through the improved management practices of the productive land in the agroecosystem. Global experience has shown that agroecological practices have significant potential to increase the amount of stored soil carbon year-on-year, by about 0.2 tons CO2 per year particularly through reduced or zero tillage, growing cover crops, rotating crops, incorporating leguminous species etc. Using the FAO EX-ACT tool, the preliminarily expected greenhouse gas emission mitigated has been estimated, to be 5,009,136 (tCO2e) over a 20-year period. The GEB for the project relevant GEF core indicators are noted in Section E above and in the **Project Document Annex 22** (*GEF core indicators*).

7) innovativeness, sustainability and potential for scaling up:

Innovation: The project will help demonstrate the process of how to transform business as usual agriculture, found in ecologically fragile landscapes such as biodiversity rich areas and watersheds, towards one that is socio-ecologically friendly. The transformation will be facilitated by setting up an enabling regulatory framework at both national and local levels, that will guide both government and community institutions to incorporate the concepts of LDN, as well as SLM and BDFA in multi stakeholder strategies (e.g. Policy statements, CLUPs, Medium Term Development Plans, community consensus). This guidance will also cover programs of action (e.g Comprehensive Development Plans (CDP), Watershed programs, community plans) and capacity development for human resource skills and practices. This will build on the instructions and guidance provided by the project developed LDN and BDFAP JAOs.

The overarching theme of LDN would in particular, involve the establishing land degradation baselines in the river basin. The project will demonstrate how LDN can be negotiated and agreed upon, implemented (primarily through SLM and BDFA practices), monitored and eventually achieved in the river basin context. Using the established LDN indicators and developed baselines, achievements can be compared with those of other river basins in the country and in the world.

Guided by the principle of SLM, the project will enable communities and local government stakeholders, through guidance from national agency partners and CDORB support groups, to achieve consensus and undertake integrated and synergistic actions related to agriculture and forest management in multifunctional landscapes. An equally important project initiative is to mainstream project approaches into the agricultural programs for the rural poor, so that these programs are adapted to conditions of upland IP communities, which are both farmers and the custodians of forest and biodiversity resources of CDORB. Without the adaptation process, the massive infusion of agricultural support resources could be counter-productive and may not be sustainable.

As a key element of BDFA, the project will also support the recognition of the ecological services provided by traditional farming systems and the agrobiodiversity embedded in them. It will help find ways to make them more economically viable, in the context of modern times, and ensure that plant genetic resources are conserved to benefit both community agricultural systems as well as the agri-sector as a whole, particularly in the search for better ways to provide for resilience and adapt to climate change.

The project will invest in knowledge management, that recognizes the combined contributions of indigenous knowledge from IP communities in the river basin, as well as that from contemporary science, to guide the formation of shared practical visions and strategies. These vision and strategies can be combined with the decision support tools, such as trade-off analysis, to help decision makers

make sound land use decisions that maintain and enhance river basin integrity thereby sustaining ecological service and local livelihood systems. While trade-off analysis is used to some extent currently, they do not include factoring in ecological services nor do they make use of a suit of decision-making tools. The project will build the capacity of relevant stakeholders in this regard, with the aim for the DENR-RBCO to roll it out in all of the main river basins in the Philippines.

The project will also help the large agribusiness sector in CDORB internalize the values promoted under BDFA and translate these into their agribusiness operations on a sufficiently large scale that would in turn help build the case for adoption of biodiversity friendly vetted industry standards. Also, in regard to the engagement with the private sector, the project will work with large agribusiness in CDORB on setting up local BDFA and SLM focused PES mechanisms which will benefit local farming communities, including IP communities and communities involved in CBFM. Establishment of such mechanisms might be facilitated by an agreement, pursued under the project, to include soil carbon as a valid contributor to the carbon sink establishment which companies have to undertake as part of the Environment Compliance Certificate (ECC). Furthermore, the project will establish standards for a national BDFAP certification scheme.

Sustainability. Implementing the project recommended practices in the context of river basins provide the opportunity of these practices being progressively owned, not by single sectoral agencies, but by the multi stakeholder constituency of the CDORB management council, where local governments, business and civil society would be among the key stakeholders, in addition to the DA, DENR and NCIP.

The core foundations for sustainability would be actions to incorporate the values and practices of LDN, SLM and BDFA in the strategic directions and investment programs of national agencies (represented in the basin), as well as local governments. The biggest source would be the program resources of the DA (for which LGUs largely depend) and the key pathway is to ensure mainstreaming during the updating of the Sectoral Medium term Development Plan as initiated by the Regional Agri-Fisheries Modernization Plans. Current DA banner programs cover a wide spectrum of farmer needs, including those of commodity farmers, rural women and rural youth. The accountable officials mandated to implement the recently adopted DA-NCIP joint program would be a natural advocate for a dramatic increase in funding for agri-support services for IP communities. The same process would be advocated for the DENR and NCIP.

The project would help LGUs incorporate the concepts of LDN, SLM and BDFA in the CLUPs, as well as other local policy instruments such as the CDP, watershed programs and local ordinances relevant to agriculture (e.g. Soil Conservation Ordinance, Organic Agriculture Ordinance). The

provincial government would have a crucial sustainability role to play because it has the power and potential resources to guide municipal LGUs on agricultural concerns and co-finance programs. Also relevant is the recently approved Supreme Court ruling that revisited the formula for national revenues dedicated to LGUs. Based on this, LGU revenues is expected to increase by at least 27%. The mentioned ruling will enter into effect in 2022. The project can, thus, aim to advocate that a substantial portion of this ?windfall? could support SLM and BDFA initiatives

Equally important for sustainability is the incorporation of SLM and BDFA concepts in operating systems and TORs important for making BDFA happen on the ground. These would cover those for agriculture and natural resource management planners, field facilitators and extension workers, among others.

The project?s planned extension approach will not only be a purely farm household directed extension system but will support a culture and gender sensitive community-based agriculture land use planning and management. This approach helps ensure sustainable agricultural landscapes that is based on a combination of community level actions (such as protecting water sources, nutrient cycles and pollination services) as well as household level actions. The strengthening of local institutions such as IPs and IPOs are, in this regard, paramount investments for ensuring sustainability. The civil society network in Northern Mindanao (Region 10) is notable for its relatively advanced capacities in facilitating community-based NRM initiatives and they will be tapped to assist the project. The adoption by the DA-ATI of a pluralistic extension system that involves both government and non-government based extension services (instead of relying solely on government services) will help ensure access by farmers to important practical knowledge for agriculture that is biodiversity friendly.

Three pathways to draw private resources are underway. The project will support the full start up, and where feasible, implementation of PES mechanisms as recently promulgated by all LGUs in CDORB (except for Iligan). The PES initiatives are expected to draw private resources to support the work of upland communities that generates ecological services. The current CDORB initiative to promote corporate social responsibility (CSR) to support restoration initiatives can also be fully maximized under the project.

In addition, the project will help CDORBMC strengthen partnership measures that will encourage the corporate sector to further level up the ecological soundness of their operations for those who have already started (particularly the MNCs). Finally, it should be noted that the project will ensure that aspects of sustainable financing is embedded in the LDN and BDFAP JAOs. Supporting this, the project will build stakeholders capacity in preparing project proposals for bankable projects under various funding systems including the LDN Fund.

Potential for Upscaling. In addition to the project results within the CDORB outlined above, as well as the project?s planning related activities in the Cagayan, Pampanga, Mindanao, Agusan, and Iloilo-Batiano river basins[27][27], the potential for post-project upscaling is positive. The potential for upscaling strategies and good practices generated by the project, may be achieved though several pathways. As a demonstration project for a river basin, the experience and learnings can be adapted in other river basins in the country. Initial upscaling could be in other areas within the territories of the CDORB?s LGUs which are not part of the Cagayan de Oro river basin. Upscaling could also be done to other river basins and watersheds outside of CDORB but still inside Region 10. If convinced of the applicability of the concept, the natural advocate for this would be the project stakeholder Regional Development Council (RDC) and the immediate targets would be the nearby Tagoloan Watershed and the Marudugao Watershed of Iligan City (a major water source contributing to the catastrophe which impacted Iligan City under Sendong typhoon in 2011). Secondly, as the project will be providing capacity building and sensitization to the river basin management councils of the Cagayan, Pampanga, Mindanao, Agusan, and Iloilo-Batiano river basins, the potential for subsequent upscaling of project developed processes and on the ground actions will be high in these river basins. Based on the publicity and knowledge dissemination undertaken by the project, it is expected that interest will be sparked in five remaining river basins in Mindanao[28][28] under the auspices of by MinDA as MinDA will be involved in project activities implemented in the Cagayan de Oro, Mindanao and Agusan river basins. Furthermore, with DENR-RBCO being a key stakeholder in the project, it will exert its influence, during the project period towards the CDORB and the five mentioned river basins but will in addition facilitate the adaptation of project initiatives and processes in other main river basins within the Philippines under its mandate and influence, thus providing for further post-project upscaling. In this regard, while initial river basin management planning is to occur in the five priority river basins (i.e. Cagayan, Pampanga, Mindanao, Agusan, and Iloilo-Batiano) the implementation of project independent on the ground engagements in these basins are not foreseen to be initiated prior to project closure. As such project on the ground achievements during the project period are only to occur within the CDORB.

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

LGUs in CDORB can share their experience with other municipal LGUs in Region 10 through the peer-based League of Municipalities. The project?s good practices can be shared by LGU public service professionals such as Agriculture Officers and ENR officers to their respective professional leagues (League of Agriculturists and League of ENR officers). These leagues hold annual or biennial conferences that usually include seminars on institutional and technical innovations. The Provincial Government itself can also serve as an upscaling agent when it draws the learnings from municipal LGUs involved in pilot activities and mainstreams this in the provincial LGU programs that supports the municipal LGUs in the province.

Business firms which are involved in pilot activities can help advocate for the practices to their firms through the business associations such as the Chamber of Commerce in Region 10. The key actors here would be corporate agricultural operations officers as well as environment officers.

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[1] Implementation of Sustainable Land Management (SLM) Practices to Address Land Degradation and Mitigate Effects of Drought

[2] **On farm measures: a)** Crop diversification, multiple cropping and multi-story agroforestry for increased resilience; b) Conservation and use of agrobiodiversity as part of cropping systems; c) Livestock and inland fisheries integration in the farming system; e) On farm soil and water conservation including water retention and enhanced water use efficiency; f) Integrated nutrient management including soil carbon management; g) Integrated pest management and low or no pesticide/herbicide farm management; h) Improved post-harvest handling practices; i) Identification, response to and management of Invasive Alien Species; and j) Adoption of climate change adaptive measures for each of the cropping systems schemes. **Community /landscape wide measures: a)** Protection, regeneration of local/ community forests and including action on fire protection; b) Protection of water resources that support agricultural systems; c) Consideration of the micro watershed as framework for planning on farm soil conservation works; e) Sustainable use of non-timber forest products (NTFP) and community inland fisheries resources; f) Managing wildlife animal and human interaction to prevent zoonotic disease; g) Community collaboration to maintain 2nd party certification systems for organic agriculture if called for; h) Community collaboration for coordinated production calendars, farm input supply and other synchronized decisions, to leverage better market access; i) Exercise of biosafety in handling of farm inputs and farm products; j) Protection of caves and other local sanctuaries of species (e.g., pollinators) important to agriculture; and k) Management of sharing of community agricultural facilities.

[3] ancestral domain sustainable development and protection plan (ADSDPP)

[4] For additional information related to this output please see **Project Document Annex 18** (*SLM and BDFA Livelihood Assessment*) and **Project Document Annex 33** (*Livelihood options and PES support*)

[5] For additional information related to this output please see **Project Document Annex 33** (*Livelihood options and PES support*)

[6] GEF-7 REPLENISHMENT PROGRAMMING DIRECTIONS https://www.thegef.org/sites/default/files/council-meeting-documents/GEF-7%20Programming%20Directions%20-%20GEF_R.7_19.pdf

[7] Of the 53,000 ha approximately 34,000 ha are managed by small holder farmers, 12,000 ha are managed by MNCs and large national agri-businesses, 4,000 ha of the cultivated land of PA buffer zones are managed by IP communities, 2,000 ha of land on Ancestral Domain land are likewise managed by IP communities, and 1,000 ha of forest lands are managed by communities with CBMFAs.

[8] The project?s intervention area of 58,000 ha constitutes approximately 34,000 ha that are managed by small holder farmers, 12,000 ha that are managed by MNCs and large national agri-businesses, 4,000 ha of the cultivated land of PA buffer zones that are managed by IP communities, 2,000 ha of land on Ancestral Domain land that are likewise managed by IP communities, and 1,000 ha of forest lands that are managed by communities with CBMFAs. In addition, the project will engage in restoration of 5,000 ha riparian areas within CDORB.

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[18] Association of Southeast Asian Nations (ASEAN)

[19] Framework for Philippine Plant Conservation Strategy and Action Plan: https://www.researchgate.net/publication/275970366_Framework_for_the_Philippine_Plant_Conservation_Strategy_and_Action_Plan

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[21] Joy M. Jamago, Ma. Joverly M. Abello, Kristoffer M. Sulatorio, and Lowell G. Aribal 2019 Trans. Nat. Acad. Sci. & Tech. (Philippines) Vol. 41(No. 1) Neglected and underutilized fruit, vegetables, spice and root crop species of Bukidnon.

[22] Cereals such as Adlai/Jobs tears (*Coix lacryma-jobi* L.) traditional upland rice, white corn and Dawa/Foxtail millet (*Setaria italica*), legumes such as Tajuri/Rice bean (*Vigna umbellata*) and Kalios (*Cajanus cajan (L) Millsp*) and root crop such as Gabi (*Colocasia esculenta*), Biga/Giant Taro (*Alocasia macrorrhizos),* Bisol/ Taro Yayena and Nami/Intoxicating Yam (*Dioscorea hispida* Dennst.).

[23] Philippine Bureau of Agriculture Research (BAR) October-December 2013 issue (vol.15 No4) https://www.bar.gov.ph/index.php/digest-home/digest-archives/372-2013-4th-quarter/5391-octdec2013-adlai-rd

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[26] Philippine Biodiversity Strategy and Action Plan 2015-28 https://fasps.denr.gov.ph/images/filedocs/ph-nbsap-v3-en_opt.pdf

[27] The five basins are listed as priority river basins in the National LDN-TSP report

[28] Mindanao island has eight river basins indanao has eight river basins, Cagayan de Oro, Agusan, Mindanao, Tagum-Libuganon, Davao, Buayan-Malungan and Agus, where the project, in addition to is main interventions in CDORB also has active engagement in/with the Agusan and Mindanao river basins.

1b. Project Map and Coordinates

Please provide geo-referenced information and map where the project interventions will take place.

The CDORB lies between 8o31?20.58 and 7o56?10.55? North and 124?30?28.08? and 124?51?11.12? East. Please see Project Document **Annex 3** and **Annex D** of the current document for the project area map. Full landscape profiles documentation, including detailed maps of the project targeted productive landscapes can be found in the Project Document **Annex 10** (*Landscape Profile and situation analysis*).

1c. Child Project?

If this is a child project under a program, describe how the components contribute to the overall program impact.

2. Stakeholders

Select the stakeholders that have participated in consultations during the project identification phase:

Civil Society Organizations Yes

Indigenous Peoples and Local Communities Yes

Private Sector Entities Yes

If none of the above, please explain why:

Please provide the Stakeholder Engagement Plan or equivalent assessment.

In addition, provide a summary on how stakeholders will be consulted in project execution, the means and timing of engagement, how information will be disseminated, and an explanation of any resource requirements throughout the project/program cycle to ensure proper and meaningful stakeholder engagement

Select what role civil society will play in the project:

Consulted only;

Member of Advisory Body; Contractor; Yes

Co-financier; Yes

Member of project steering committee or equivalent decision-making body; Yes

Executor or co-executor;

Other (Please explain) Yes

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

The stakeholder engagement during the PPG phase was undertaken in compliance with UNDP Social and Environmental Standards, as well as applicable regulatory framework of the Philippine Government. In light of the current COVID-19 pandemic situation, the stakeholder consultations were done virtually. It should be noted that no on-site community visits were done by the PPG Team and close interactions with project related communities and individuals where not undertaken, thus, complicating the information collection and interaction with said stakeholders. However, the process was improved with the help of local facilitators based in CDORB who assisted the PPG Team with their interactions at local level. Despite challenges posed by the COVID-19 pandemic, a deliberate effort was made to engage rural, IP, and women farmers, and representatives of youth groups. The first major kick off activity was a combined National and Regional Stakeholder Consultation held on 9 October 2020 which was well attended by a wide array of stakeholders (67 females and 34 males) coming from state and non-state actors, academe, and private sector. A second and third/final TWG meeting was held on 18 January 2021 and 8 April 2021, respectively and was attended by 51 participants. A combined National and Provincial Validation workshop was also held on 16 April 2021 to present the project document to key stakeholders at the national, regional, municipal levels, including the impacted communities and affected groups. This meeting was attended by 148 participants.

Furthermore, more than 65 provincial, municipal, and community level consultations were conducted to obtain the insights from the following stakeholder groups:

? State actors (national/regional/provincial/municipal/barangay levels);

? Non-state actors (NGOs; CSOs, IPOs; conservation organizations and private sector organizations);

? Impacted communities; and

? Vulnerable groups (rural farmers, rural and IP women, men and youth, forest guardians)

In total, 699 participants (41% females) were consulted in the focus group discussions (FGD) held from September 2020 to February 2021**.** In addition to these main consultations, a subset of meetings was conducted by the PPG team to further follow up on and discuss issues that had emerged during the FGD consultations. For further insight into the undertaken stakeholder consultations, please see **Project Document Annex 13** *Stakeholder Engagement Plan*.

The objectives of the stakeholder engagement consultations were to ensure that stakeholders expectations and concerns of project partners were heard and considered in the project development. The consultations were a main entry point for the project?s development of the: (i) *Gender Analysis and Gender Action Plan*; (ii) *Stakeholder Engagement Plan*; (iii) *Environmental Social and Management Framework*, as well as the *Capacity Development Score Card* review and the *Social and Environment Screening Procedures* (**Project Document Annex 12, 13, 14, 19 and 6** respectively).

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

Stakeholder engagement and stakeholder management are arguably the most important ingredients for successful project delivery. Institutions, communities and its members will only respond if they are meaningfully engaged and empowered. To ensure this the project has developed a *Stakeholder Engagement Plan* (see **Project Document Annex 13**), which outlines the project approach to an effective engagement which presents how target participants will participate in the proposed activities as well as their roles and responsibilities in relation to the project.

A key engagement of the main stakeholders is their participation in the Project Board as they will provide oversight of, and direction to, the project implementation. Particularly, the project?s inception workshop and first project board meeting are relevant in this regard as it will: a) re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project implementation; b) discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms; c) review the results framework and discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E plan; d) review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and e) plan and schedule Project Board meetings and finalize the first year annual work plan. The inception workshop is proposed to be held in CDORB (assuming the pandemic is already under control) and will be led by DA-BSWM in partnership with DENR-BMB, NCIP, and the PMU. Table 5 below briefly outlines the project?s main stakeholders and their significance for and influence and effect on the project. For a further discussion on the engagement of the project stakeholders, refer to the *Stakeholder Engagement Plan* (see **Project Document Annex 13**) as well as the Annex on *Description of project activities* (see **Project Document Annex 9**).

Finally, as an important part of the stakeholder engagement intervention under the project, it should be noted that as part of the *Environment Social Management Framework* (**Project Document Annex 14**), the project will engage in the official FPIC procedures. The FPIC process will be initiated directly following the project inception and is expected to have been completed within the first project year. No project activities involving the CDORB IP communities, or their Ancestral Domains will be undertaken prior to the official FPIC approval.

Table 5: Stakeholders Engaged, their Significance, Influence and Effect.

Stakeholder.	Roles and Responsibilities in the Project.	Engagement in the Project.	Significance[1] /Influence and Effect.[2]
Department of Agriculture - Planning and Monitoring Service - Policy Research Service - Project Development Service - Field Operation Service/ Special Projects Coordination and Management Assistance Division (SPCMAD)	DA-BSWM is the mother agency that will support the successful implementation of the project. They will be supported by key Bureaus (Bureau for Agricultural Research, Bureau for Agricultural and Fisheries Standards, and Agricultural Training Institute), Region 10 Office, and SPCMAD, and various Services in the Department.	Implementation support for all 3 components	5/5+

DA-Bureau of Soils and Water Management	DA-BSWM is the Implementing Partner of the Project which will be accountable for the delivery of the project?s target outputs. It will be mainly responsible for developing approaches for promoting the LDN framework through SLM and BDFA practices. They will be mainly responsible for managing the project. At the preparation stage they will enter into Memorandum of Agreements (MOA) with various government agencies, selected NGOs, and organizations for the implementation of components and activities in CDORB. Particularly, DA-BSWM will: ? Spearhead the joint SLM and BDFA vision and assistance strategy equally with DA, DENR, and NCIP for upland farming communities in CDORB; Ensure that SLM and BDFA concerns are incorporated in Medium Term Development Plan based on experience from the CDORB project; ? Provide technical guidance to LGUs in their Comprehensive Land use Plans (CLUP) processes related to agriculture and land use, as well as using decision support tools for said planning; ? Provide technical support to community for SLM BDFA planning and implementation in ancestral domains and Community Based Forest Management Areas; ? Provide guidance and support to LGU and community based extension services in upland areas; ? Serve as key implementing agency mainly responsible for managing the project; Co-host of the Project Management Unit; and **the entity will provide co-financing for the project.**	Lead implementation for all 3 components	5/5+
DA Special Projects Coordination and Management Assistance Division	SPCMAD will provide operational support to DA-BSWM to ensure smooth and successful implementation of the project.	Implementation support for Component 3 and less for Components 1 and 2	3/3+

Department of Environment and Natural Resources - Policy and Planning Service - Knowledge and Information System Service - Foreign Assisted Special Projects Services (FASPS)	DENR is the mother agency accountable for the successful implementation of the project. They will be supported by key Bureaus (DENR-BMB and DENR-FMB), DENR Region 10 Office, DENR-FASPS, and various Services in the Department.	Implementation support for all 3 components.	5/5+
DENR Biodiversity Management Bureau	? Lead the implementation of the Joint Administrative Order on BDFAP; ? Incorporation of SLM in Forest Local Government Unit (FLGU) guidelines; ? Ensure that SLM and BDFA concerns are incorporated in Medium Term Development Plan based on experience from the CDORB Project, as well as using decision support tools for said planning; ? Provide technical support to community SLM planning (with embedded BDFA and NRM concerns) in ancestral domains and CBFM areas; ? Provide guidance and support to LGU and community-based programs in upland areas pertaining to sustainable forest management supporting agricultural landscapes; and **the entity will provide co-financing for the project.**	Implementation support for Components 1 and 2 and less for Component 3	5/5+
DENR Forest Management Bureau	DENR-FMB will be mainly responsible for implementing the parallel programs on forest protection and management, and in implementing SLM and BDFA practices in protected areas in CDORB. They will provide technical guidance to LGUs in their CLUP processes related to forest land use supporting agricultural landscapes; and **the entity will provide co-financing for the project.**	Implementation support for Components 1 and 2 and less for Component 3	4/4+

DENR Foreign Assisted Special Projects Services (FASPS)	DENR-FASPS will be co-responsible for overseeing the successful implementation of the project, particularly for monitoring and evaluation, and documentation of lessons learned.	Implementation support for Component 3 and less for Components 1 and 2	4/4+
DENR River Basin Control Office (RBCO)	DENR-RCBO?s participation is crucial for the implementation of integrated landscape management approaches in the CDORB, as well as enhancing the river basin management plans. They will also be responsible for scaling up project interventions and lessons learned in five priority river basins in the country (i.e. Cagayan, Pampanga, Mindanao, Agusan, and Iloilo-Batiano). DENR-RBCO will also facilitate the development of five strategic work plans towards enhancing the river basin management plans for the said basins.	Implementation support for Components 2 and 3, and less for Component 1	5/3+

National Commission on Indigenous People	NCIP?s participation will be crucial in supporting the participation of various IP groups and help ensure strong participation of IP communities in CDORB. In particular, they will, together with the IP leaders, represent IP concerns in the implementation of project activities involving IP communities and/or ancestral domains lands and LGU upland programs in said areas; ? NCIP will co-spearhead the joint SLM and BDFA vision and assistance strategy together with DA and DENR for upland farming communities in CDORB; ? Co-facilitate community based SLM planning (with embedded IKSP concerns) in ancestral domains; ? Provide guidance and support to service providers providing capacity building for Indigenous Political *Structures* (IPS) and IPOs; ? Provide technical guidance and guarantee the IP communities voice in relation to the development of BDFAP and LDN enabling policies at the local level; ? NCIP is a key partner for FPIC process and will oversee the successful implementation and monitoring of the Environmental and Social Management Framework and the resulting Indigenous Peoples Plan and Environmental and Social Management Plan.	Implementation support for all 3 components	5/5+
Regional DA 10	DA region 10 will co-host the Project Management Unit under the Regional Director Office. They will collaborate with CDORBMC and other regionally based institutions in the implementation of the project. **The entity will provide co-financing for the project.**	Implementation support for all 3 components	5/4+

Regional DENR 10	DENR region 10 will collaborate with CDORBMC and other regionally based institutions in the implementation of the project. **The entity will provide co-financing for the project.**	Implementation support for all 3 components	5/4+
Regional NCIP 10	NCIP region 10 will collaborate with CDORBMC and other regionally based institutions in the implementation of the project.	Implementation support for all 3 components	5/3+
National Economic and Development Authority	In collaboration with CDORBMC, NEDA will participate in the conduct of training and development of training manuals on the use of decision-making support tools for planners and practitioners, including introducing LDN as a planning framework. They will advocate for the mainstreaming of SLM and BDFA in DA Medium-Term Development Plan for the agriculture sector and for the DA Monitoring framework for Agribusiness sub sector, as well as for the DENR Medium Term Development Plan for the ENR sector and the DENR/NCIP Medium Term Development plan for the IP sector.	Implementation support for Component 1 and less for Components 2 and 3	3/3+

NEDA 10 Regional Development Council	In collaboration with CDORBMC, they will participate in the conduct of training and development of training manuals on the use of decision-making support tools for planners and practitioners, including introducing LDN as a planning framework. In collaboration with NEDA Central Office, NEDA Region 10 will advocate for the mainstreaming of SLM and BDFA in the Climate and Disaster Risk Regional Physical Framework Plan, 2013-2040; Regional Development Investment Programmes; Regional Development Policy Research Agendas; and Regional Development Plans. They will be part of the Project Board.	Implementation support for Component 1 and less for Components 2 and 3	3/3+
Department of Interior and Local Government	DILG will advocate for the buy-in of SLM and BDFA amongst the League of Local Chief Executives, League of Local Environment and Natural Resources Officers and League of Local Planning and Development Coordinators. Provide peace and security support to project sites where insecurity is high. They are part of the Project Board and **the entity will provide co-financing for the project.**	Implementation support for Component 2 and less for Components 1 and 3	4/4+

Province of Bukidnon: - Provincial Planning and Development Office (PPDO) - Provincial Engineer?s Office (PEO)	At the local level, the provincial government will promote the general welfare of its people including the indigenous communities of Bukidnons; Higaunons; Manobo; Matigsalug; Talaandigs; Tigwahanon; and Umayamnon. In partnership with key stakeholders, the province will support the following: ? Delivery of basic services, increase and include SLM and BDFA in agricultural productivity and investment, regenerate its natural resources. ? Conduct of continuing studies, research, and training programs on SLM and BDFA that feed into plans and programs for implementation. ? Passing of ordinances supporting SLM and Organic Agriculture. ? Provision of technical support to community SLM planning (with embedded BDFA concerns) in ancestral domains and CBFM areas. ? Use existing programs for implementation of SLM and BDFA at local level, and **the entity will provide co-financing for the project.**	Implementation support for all 3 components	4/4+

Municipal Local Government Units (MLGU) (Talakag; Libona; Baungon; Cagayan de Oro; Iligan)	MLGUs will incorporate SLM and BDFA in CLUP through an inclusive process. Depending on the LGU, they will contribute to the following activities: Finalization of watershed programs particularly in mainstreaming BDFA aspects; Incorporating BDFA in Comprehensive Development Plans; Passing of ordinances supporting SLM and Organic Agriculture; Provision of technical support to community SLM planning (with embedded BDFA concerns) in ancestral domains and CBFM areas; Provide direct extension services in upland areas or indirectly through farmer-based extension systems; and **the entities will provide co-financing for the project.**	Implementation support for all 3 components	5/4+
Department of Human Settlements and Urban Development	DHSUD will provide support on the enhancement and approval of the CLUP of the five CDORB LGUs. **The entity will provide co-financing for the project.**	Implementation support for Component 1 and less for Components 2 and 3	3/3+
Department of Trade and Industry	They will provide support on building the capacity of the CDORB community oriented upland agriculture extension service providers for BDFA and SLM practices implementation via the project developed trainings. They will provide value-adding support, product development, and marketability of products to be produced by the project.	Implementation support for Components 2 and 3 less for Components 1	4/3+
Agricultural and Training Institute	ATI will provide support on building the capacity of the CDORB community oriented upland agriculture extension service providers for BDFA and SLM practices implementation via the project developed trainings.	Implementation support for Components 2 and 3 less for Components 1	4/4+

Department of Science and Technology	DOST will provide value adding through technology and innovation support, product development, and marketability of products to be produced by the project.	Implementation support for Components 2 and less for Components 1 and 3	3/3+
Department of Tourism (DOT)	DOT will help promote ecotourism and agro-tourism sites underscoring the value of SLM and BDFA in CDORB. Emphasis will be given to sites that will be established by indigenous communities in upland areas. They will provide avenues to market products to be produced by the project.	Implementation support for Components 2 and less for Components 1 and 3	3/3+
Cagayan de Oro River Basin Management Council	In collaboration with national, regional, provincial, and municipal stakeholders, CDORBMC will provide a key role in orchestrating and facilitating the Project?s activities particularly at the basin level. They will be part of the Project Board and will represent the issues and concerns of IP groups, farmers, and young people through the CDORBMC TWG group on environment. **The entity will provide co-financing for the project.**	Implementation support for all 3 components	5/5+
International/national/local NGOs such ICRAF; Hineleban Foundation; Samdhana Institute; ESSC; Forest Foundation Philippines; PCA; Project Ridge to Coast, Rain to Tap; SHIELD; STREAMS; NTFP; PFP; Project ACDI/VOCA; PEF; KIN; and MILALITTRA[3]	These NGOs will work with DA-BSWM and PMU to ensure the best partnership arrangements of communities in CDORB. DA-BSWM will execute MOAs with these groups to assume responsibilities for the implementation of defined activities in project sites. **A smaller subset of theses will provide co-financing for the project.**	Implementation support for all 3 components	4/3+

Indigenous peoples and local communities (farmers engaged in agriculture, upland forestry, and other economic activities in the CDORB)	The participating IP and non-IP communities (farmers engaged in agriculture, upland forestry, and relevant stakeholders that have on-going economic activities at the project sites) will have to agree on a set of ground activities that will be implemented under the project. They will have to provide a written and signed agreement with DA/BSWM on their concurrence to the activities prior to project implementation. The technical capacity of IPs and local communities to implement SLM and BDFA practices and undertake gender-responsive livelihood interventions will be strengthened. For the IP communities, this will, among others, be based on their IKSPs. The enhancement of the technical capacity will enable said communities to become the repository for technical know-how necessary to sustain livelihood enterprises beyond the project. This will include training on: i) skills and technology development; ii) gender-responsive enterprise development; iii) organisational management; iv) financial management; v) access to finance; vi) market linkages; and vii) product promotion.	Implementation support for all 3 components	5/4+
Women and youth	The project will provide women and youth with, amongst others, the skills and insights needed to engage in sustainable farming and adopt environment-friendly production methods. With some additional efforts through farmers? organizations, cooperatives, and improved infrastructure, women and young farmers will be connected to markets to sell their higher value farm produce. Facilitating women and youth?s access to credit will help them become agricultural entrepreneurs, improving their self-esteem and the feeling that they can make a living in rural areas.	Implementation support for all 3 components	4/3+

Academic and Research Institutions (Xavier Science University; Central Mindanao University; Northern Mindanao Consortium for Agriculture, Aquatic and Natural Resources Research and Development; Bukidnon State University; University of Science and Technology of Southern Philippines)	Academic and Research Institutions will be involved in project preparation by advising on the necessary research and other studies, and in sharing of scientific information on the sites. The project will enter into MOAs with these organizations to carry out possible assessment or long-term research and monitoring of changes and impacts in CDORB.	Implementation support for all 3 components	4/3+
Multinational companies; large agri-businesses; (holders of large plantations; supporters of PES initiatives; contributes to re-forestation, and sustainable livelihood activities in CDORB)	The project will engage actively with the Multinational companies and large agri-businesses at the onset to explore potential investment opportunities to support the implementation of SLM and BDFA practices and review their environmental management and CSR plans to be consistent with LDN framework and soil conservation policy in CDORB. They will also serve as technical persons on good practice models on SLM and BDFA that are being implemented in their areas; and serve as demonstration sites for replication and upscaling to other multinational corporations present in CDORB. A smaller subset of theses will provide co-financing for the project.	Implementation support for Components 2 and 3 and less for Component 1	4/5+
Development partners (UNCCD, INREMP, GIZ, ICRAF/World Agro Forestry, USAID, IUCN)	DA-BSWM and PMU will ensure that there is synergy with ongoing and future projects, and that all initiatives are consistent with the overall directions of the project	Implementation support for Component 1 and less for Components 2 and 3	3/3+

[1] The s**ignificance of the stakeholder** is rated by using the following rating: 1=Little/No Significance; 2=Some Significance; 3=Moderate Significance; 4=Very Significant; and 5=Critical player

[2] The influence of the stakeholder is rated by using the following rating: 1=Little/No Influence; 2=Some influence 3=Moderate Influence; 4=Significant Influence; and 5=Very Influential. The effect of the rated influence can either be negative (-) or positive (+). For the current project all identified stakeholders are deemed to have a positive effect on the project.

[3] ICRAF/World Agroforestry; Hineleban Foundation; The Samdhana Institute; Institute of Environmental Science for Social Change (ESSC); Philippine Coffee Alliance (PCA); Project Ridge to Coast, Rain to Tap (R2CR2T); Sustainable and Healthy Integrated Ecosystem though Lobby and Advocacy (SHIELD); Sustainable Ridge-River-Reef Advocacy and Management Society (STREAMS); Non Timber Forest Products (NTFP); Philippine Forest Foundation (PFP); Project ACDI/VOCA; Peace Equity Foundation (PEF); Miarayon-Lapok-Lirongan-Tinaytayan Tribal Association (MILLATRA).

3. Gender Equality and Women's Empowerment

Provide the gender analysis or equivalent socio-economic assesment.

As part of the overall stakeholder consultation process mentioned above, a Gender Analysis and Gender Action Plan (**Project Document Annex 12**) was prepared to review the role of females and males related to the focus of project and its implementation and potential impacts of the project on each gender group. In addition, a United Nations Convention to Combat Desertification (UNCDD) gender sensitive value-chain analysis was prepared (**Project Document Annex 16**). The aim is to ensure an inclusive approach through which women and men are able to participate actively and benefit equitably, i.e., provide equitable access to the project resources and receive fair social and economic benefits under the project. The gender analysis, as well as the value-chain study, determined the differentiated roles of rural and indigenous women and men in natural resource management and biodiversity, agriculture, land rights and inheritance rights, land-based livelihoods, amongst others.

The PPG exercise used mixed methods including focus group discussions with repeated follow-up meetings, key informant interviews, and related literature review. The prevailing gender issues that have emanated include:

? Rural and indigenous women farmers are taking on increasing household labor and their lives are characterized by mounting drudgery. Rural and indigenous women contribute to farm work and household tasks. With the shutdown of schools due to COVID19 pandemic, rural and indigenous women oversee home schooling of their children, too.

? Rural and indigenous women lack access to agricultural extension services, especially those living in upland and mountainous areas.

? **Rural and indigenous women lack access to institutional credit**, loans and other financial services, which may limit their ability to set-up income generating activities.

? **Gender roles vary within and between communities**. Rural and indigenous women and men have distinct, but not necessarily rigid, tasks and responsibilities, which often vary by crop or activity. Some tasks are shared between women and men, including transplanting, weeding, fertilizer application, manual harvesting, and post-harvest activities. Only women are involved in the preparation of meals and snacks for hired laborers and their delivery to the field. Women are heavily engaged in

post-harvest tasks, such as threshing, processing and marketing. As transportation facilities improve, women are also increasingly involved in transporting produce to the market.

? **Gender biases in practice have been observed in environmental protection and management**. Some examples mentioned during FGDs were: ?men are used to venturing into the mountains? and ?men are more capable to protect the forests?. These biases can limit women?s ability to participate in community-based forest governance causing social inequity and forest non-stewardship, as well as limit women?s ability to make decisions about and benefit from trees, forests, and their products. It can also restrict women?s access to land where they have legal rights over it.

? **Underrepresentation in natural resource decision-making and leadership**. While active members of rural and IP organizations, women have few leadership and decision-making roles in the organizations they are engaged in, as these are predominantly held by men. They also have weak participation in the process of environmental development, planning, budgeting, and policymaking.

? **Gender, ENR, and agriculture government focal points have limited capacity to conduct gender analysis** to ensure that gender and development (GAD) plans and budgets address gender issues of the organization and its clients; low GAD budget utilization; GAD programs, projects, and activities are not integrated in the agency monitoring and evaluation system; no gender impact assessment of GAD programs implemented; weak capacities of agencies on how to integrate GAD perspective in their agency flagship programs; weak utilization of GMEF and HGDG[1]; and significant gaps in gender statistics at the local/community level that do not represent the lived realities of rural and indigenous women and girls particularly in the environment sector.

As part of the developed Gender Action Plan (**Project Document Annex 12**) the project will recruit a Gender and Environment and Social Safeguard (ESS) specialist who will act as the project?s gender focal point. S/he will provide gender trainings to the staff of the PMU and project partners including staff in relevant government departments in CDORB, CDORBMC and in the five LGUs in CDORB.

The Gender and ESS specialist will play an important role in liaising, coordinating, recording, and reporting gender related activities throughout the project cycle. The recruited Gender and ESS specialist will also review the project planning of activities and provide guidance to how gender equality and women empowerment can be incorporated in the implementation of the activities, such as including a gender focus in training materials and training implementation. The gender expert will also review the project?s policy work and other output through a gender lens, as well as ensure that there is equal gender representation in project events etc.

As outlined in the Gender Action Plan, the project will directly support efforts towards gender equality and women empowerment in five specific areas: **1)** Access to and adoption of work burden solutions or options; **2)** Eliminate gender bias, traditional practice and cultural norms that affect women?s rights; **3)** Foster women?s participation, leadership and involvement in decision-making at all levels; **4)** Capacity

Development of rural and indigenous women; and **5)** Engage with key state actors (DA, DA-BSWM, DENR, DENR-BMB, DENR-FMB, NCIP at the national/provincial/municipal levels) and non-state actors (academe, NGOs, CSO, IPOs) to strengthen their gender mainstreaming and gender analysis skills.

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

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[1]Harmonized Gender and Development Guidelines (HGDG) and Gender Mainstreaming Evaluation Framework (GMEF)

Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment?

Yes
Closing gender gaps in access to and control over natural resources;

Improving women's participation and decision making Yes

Generating socio-economic benefits or services or women Yes

Does the project?s results framework or logical framework include gender-sensitive indicators?

Yes

4. Private sector engagement

Elaborate on the private sector's engagement in the project, if any.

The project will work with large scale actors, engage the agribusiness sector and, in doing so, will support the CDRBMC?s aspiration for more substantial engagement and collaboration with the sector to ensure widespread adoption of SLM and BDFA in the basin. The project interventions are three-fold **a)** to engage directly with MNCs and large national companies on expanding the SLM and BDFA practices in their plantation operations; **b)** to directly assist SLM work of small farmers by supporting value addition and social enterprise with these farmers, as a form of CSR; and **c)** to indirectly support the SLM work of upland small farmers by contributing to the PES mechanism. The private sector will demonstrate applicable schemes with local communities, as ES providers, ranging from input-based co-investment schemes to outcome-based payments of commoditized ecosystem services. They will demonstrate the concept of ?in-setting? whereby restoration efforts are carried out, and ecological footprints are reduced within the value chain (at production level? lower part of the value chain) rather than paying offsets from restoration efforts elsewhere.

While some MNCs, such as Del Monte, Dole Fil and UNIFRUTI are already practicing various SLM and BDFA oriented practices and are participating in different international certification schemes, the project will, through consultations, work with the relevant companies on ways for further improvement. In this connection, the project will seek to work with MNCs which have proven track-records in meeting, or exceeding, national and international standards. Del Monte?s pineapple plantation in the Philippines has, as the first pineapple plantation in the world, been Global Good Agricultural Practices (GLOBALGAP) certified and it has the Rainforest Alliance Certification for complying with standards prescribed by the Sustainable Agriculture Network (SAN). Del Monte is further engaged in and continues the process of installing soil and water conservation structures, as well as adopting cultural practices designed to mitigate runoff and erosion in their cultivated fields. Mt. Kitanglad Agriventure, Inc. (MKAVI ? a Unifrutti subsidiary) was, in 2001, the first recipient of the Rainforest Alliance Certification in Asia for Highland Banana. Best practices of MKADC include provision of soil erosion control structures, cover cropping and vegetative buffers, contour block lay-out of plantation, devotion of 20% farm area for soil erosion control and no use of nematicide, herbicide, fungicide and insecticide. In addition, companies are involved in PES activities i.e. Del Monte in Talakag and Unifrutti in Lantapan ? both areas are in the Bukidnon province in which CDORB is also located.

In contrast to the mentioned MNCs, many other MNCs and large national corporations operating within CDORB are not yet practicing SLM and BDFA in any substantive level, and these will be assisted to plan and implement relevant programs. The project will focus on companies involved in plantation operations but would also engage in an exploratory way with large commercial livestock and

poultry enterprises as they, depending on the type of operation, can impact both the land and waterways (i.e., aquatic biodiversity).

The project will engage with volunteer firms for which tailored options, based on the project developed menu, will be identified and the project will engage in small demonstration activities which, following proof-of-concept are to be upscaled company-wide by the firms themselves. The project will also work with the local chambers of commerce to organize one sharing session each year where the experience of firms already practicing SLM and BDFA will be shared.

Companies will be assisted to launch outreach programs that will help other farming communities implement SLM and BDFA practices and gain revenues from value addition, social enterprise and marketing assistance, building on existing examples in CDORB, such as that of UNIFRUTI, through its work with the Hinelaban foundation.

The project, together with stakeholders, will prepare a guideline/template on how such programs can be developed and implemented for interested companies to use in setting up their own programs. The guideline/template will be done in cooperation with the CDORBMC and relevant government agencies (DA, DENR, NCIP and LGUs) to ensure broad scale applicability and acceptance.

5. Risks to Achieving Project Objectives

Elaborate on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, the proposed measures that address these risks at the time of project implementation.(table format acceptable):

The 14 risks (nine SESP risks and five non-SESP risks) identified in the project identification form (PIF), were discussed and confirmed by CDORB stakeholders during the PPG consultations. In addition to the initially identified risks, other risks were identified, three of which relate to COVID-19. A total of 29 risks have been identified of which 15 were identified during the PPG phase. Table 6 lists the project risks, including the identified project social and environmental screening procedure (SESP) risks, that were rated using the Jan 1, 2021 UNDP SESP guideline[1]. The risk assumptions and mitigation actions required during project implementation to address these risks are presented in the **Project Document Annex 5** (*Social Environmental Screening Procedures*). The overall assumptions on which these project risks also depend are listed in the project?s Theory of Change (**Project Document Figure 3**). As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office through progress reports and the PIR. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high. Management responses to critical risks will also be reported to the GEF in the annual PIR.

The SESP was finalized during project preparation, as required by UNDP?s Social and Environmental Standards. The SESP identified 13 risks for this project that could have potential negative impacts in the absence of safeguards, nine were rated as Moderate and four were rated as Substantial. Therefore, the overall SESP risk categorization for the project is Substantial. The following safeguards were triggered:

Human Rights; Gender Equality and Women?s Empowerment; Accountability; Biodiversity Conservation and Sustainable Natural Resource Management; Climate Change and Disaster Risks; Community Health, Safety and Security; Cultural Heritage; Displacement and Resettlement**;** Indigenous People?s; Labor and Working Conditions and Pollution Prevention and Resource Efficiency.

In addition to the 13 mentioned SESP risks described in **Project Document Annex 5** (*Social Environmental Screening Procedures*) the full list of identified project risks and their assessment and management are described in **Project Document Annex 6** (*UNDP Atlas Risk Register*) and reproduced in table 6 for ease of reference, where the following

Low	Moderate	Substantial	High

color coding for the risks have been applied

Table 6: Identified risks.

Description	**Risk Category, Impact & Probability**	**Risk Treatment / Management Measures**

Description	Risk Category, Impact & Probability	Risk Treatment / Management Measures
Risk 1: Rights of affected populations (particularly of marginalized groups) that are adversely impacted by project interventions and outcomes, and do not have the possibility or capacity to claim their rights or meaningful participation.	Social I = 4, L = 3 **Substantial**	Stakeholders? meaningful participation and engagement in the project activities has been part of the project design and it considers the areas of concern flagged during the stakeholder consultations. In addition, the project has, as mentioned, prepared a Stakeholder Engagement Plan, as well as a Gender Action Plan, which will guide the project?s inclusive approach towards its stakeholders to avoid any unintended discrimination. The project recognizes the importance of tenure security and the importance of enhancing the extent of community participation, and access, to support programs aimed at improving their capacity to participate. Furthermore, as outlined in the ESMF annexed to the project document the project, through the Implementing Partner and in coordination with NCIP, will commence the formal FPIC during the first year of the project to acquire consents of the IP communities prior to implementing any project activities within the Ancestral Domains or involves the IP communities. The FPIC process will follow the 1997 Indigenous Peoples? Rights Act and the 2012 revised rule. Also, the project is aligned with the guidance and directions provided by NCIP and the Philippine Government overall. As part of the FPIC process the project will, following the national ascribed approach for the preparation of local Ancestral Domain Memorandum of Agreements (MOA) which demarcate the project activities to which the IP communities are agreeing to participate in. The SLM and BDFA activity menus, which will be engaged in, and their relation to various site categories, are outlined in the project document annexes *Catalogue of SLM and BDFA practices* and *Landscape profile and situation analysis.* During the implementation, the project will regularly monitor and report on the mentioned plans and they will be reviewed during the project inception and the mid-term evaluation to ensure that changes in the local context are updated in the Social and Environment Screening Procedures (SESP), the project?s IPP and the Stakeholder Engagement Plan and Gender Action Plan. The project will also rely on feedback from oversight project visits and from local consultations envisaged as part of the project. Furthermore, the project will monitor the communication on its social media accounts to detect any misgivings stemming from project participants. In addition, the project will as part of its work with stakeholders and stakeholder groups (particularly farmer groups, IP communities etc.) set up a Project level GRM which will enable the stakeholders to register any potential grievances during the implementation. The project will regularly inform the stakeholders about the GRM during the project inception workshop as well as regularly through its communication work and the implementation of its Stakeholder Engagement Plan and other project plans. As outlined in the ESMF, developed during the PPG and annexed to the project document, this risk and the project?s related activities will be assessed via an Environment and Social Impact Assessment (ESIA) during the first year of the project. In this regard, the implementation of the planned project activity related to this risk should not start prior to the completion of the ESIA nor prior to the ESIA ascribed

Description	Risk Category, Impact & Probability	Risk Treatment / Management Measures
Risk 2: Prevailing gender biases in the Philippines unintentionally discriminate against women limiting or adversely impacting their possibilities for accessing opportunities and/or exerting influence on project interventions and outcomes.	Social I = 3, L = 2 **Moderate**	Gender equality and empowerment have been incorporated into the activity design where gender mainstreaming in policy, livelihood and knowledge management have specifically been considered. The project includes a livelihood component where women?s possibility to engage and benefit from the project?s on-the-ground activities is guaranteed by the project design and where women?s access to project?s interventions are embedded in the project?s activities. This includes identification of labour-saving technologies and innovations, fast tracking an increased involvement of women and piloting women-led model initiatives (e.g. women led cooperatives or livelihood) to showcase the possibility of, and improvements in, women empowerment. Furthermore, the project is designed to leverage current gender and development plans and programs among participating LGUs and government agencies towards project activities. The PPG Gender Specialist prepared the project?s *Gender Action Plan* and the project management unit will include a Gender, Environment and Social Safeguard Specialist, who will be responsible for implementing the Gender Action Plan. The Specialist will also be responsible for ensuring the project engages with women and adheres to the UNDP and the Government of Philippine?s gender policies. The project will regularly collect gender-disaggregated data for the planned M&E activities. Finally, as part of the ESMF an ESIA will be undertaken during the first year of project implementation to assess project risks in detail. The ESIA will in this regard outline, as needed, any additional management measures which are to be included in the *Gender Action Plan.* Further, an ESMP to address this risk will be developed. Project activities which might have impact on this risks or its underlying safeguard questions should not be engaged in before the ESMF has been completed and matters raised has been fully addressed.

Description	Risk Category, Impact & Probability	Risk Treatment / Management Measures
Risk 3: Biodiversity Friendly Agriculture practices unintentionally and negatively impact habitats and ecosystem services at the project landscape.	Environmental I = 4, L = 3 **Substantial**	The project will implement trainings and demonstrate the menu for SLM and BDFA practices which are designed to improve the land?s microclimate and will ensure resilience. As such, the project proposed interventions should bring about an increase in ecosystem service benefits which not only will improve local conditions on stakeholder lands but will also provide for accumulative benefits for people living further downstream within the CDO river basin. Also, the project will engage in restoration/reforestation of riparian areas which will further increase the environmental benefits of the project. Further through its knowledge management and communication work, the project will publicize the benefits of including SLM and BDFA practices in farmers? land management as well as disseminate success stories to entice stakeholders in broad scale adoption. This will include using social media for broadscale information dissemination on the project?s engagement in capacity-building activities and technology support to encourage buy-in from target stakeholders for adopting SLM and BDFA practices. The project will work together with DA-ATI and other relevant learning entities for production efficiency, latest R&D, and insights for optimizing natural resource development, and will collaborate with these entities on spreading the word. Finally, an ESIA which will be undertaken via the implementation of the ESMF during the first year of the project will assess the project?s activities and potential negative impacts from the proposed Biodiversity-Friendly Agricultural Practices. The ESIA will in this regard outline, as needed, any additional management measures which are to be adhered to during project implementation. Further, an ESMP to address this risk will be developed. Project activities which might have impact on this risks or its underlying safeguard questions should not be engaged in before the ESMF has been completed and matters raised has been fully addressed.

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Risk 4: The effects of climate change such as flooding, and droughts could impact project areas and activities.	Environmental I = 3, L = 3 **Moderate**	The project will, in its site selections and engagement areas, avoid disaster prone areas, and local areas with severe land degradation. In the implementation of the projects ?on-the-ground? activities, SLM and BDFA practices and local crops will be screened for their climate adaptive capacity in relation to the biophysical conditions of the local areas. This will be done in consultation with the local climate experts and the local stakeholders who have the first-hand knowledge of the climate hazard, impacts, and protections. Further, the project will refer to credible regional, national, and international climate reports to verify climate risks, hazards and impacts for the project sites and planned project activities. The ?on-the-ground? implementation of SLM and BDFA practices, will emphasize the importance of these practices in building local resilience by improving land qualities such as soil and water retention. Finally, the project?s planning work, including the trade-off analysis and use of decision-making tools, embeds climate and disaster elasticity to further safeguard against future calamities

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Risk 5: Introduction of SLM and BDFA practices in the agricultural and agroforestry production (changes to the land management practices) may have potential impacts negative on livelihoods and result in reduced household incomes.	Social/financial I = 3, L = 3 **Moderate**	The project will follow the implementation of its livelihood related activities very closely, as these are interrelated to stakeholders? interests in engaging in SLM and BDFA practices and technologies on their lands. The project will also ensure that there is a close coordination of activities under Component 2, which relates to the ?on-the-ground? implementation of SLM and BDFA practices and the project?s livelihood and marketing work. It will also work with the Department of Trade and Industry (DTI) on providing assistance to IP communities and small holder farmers on market linkages through accessing the DTI Shared Service Facilities (SSF). The project will furthermore work with the Department of Tourism on developing ecotourism activity and engage with Cagayan de Oro Chamber of Commerce for the development of market linkages for communities and BDFAP certification. With regard to the financial interventions, which mainly focus on the development of PES mechanisms, the project will work with both the CDORB LGUs and private sector in establishing mechanisms which focus on mitigating land degradation within the agroecosystem. The project will work closely together with the CDORBMC to develop the PES Guidelines, which will be used by local stakeholders to ensure a common approach to the establishment and implementation of PES mechanisms in CDORB. The voluntary introduction of SLM and BDFA practices by farmers will not result in permanent or temporary restrictions to their access to land. However, while the project does not anticipate any marked changes to the stakeholders? livelihoods and reduction in income generation potential due to their voluntary adoption of proven SLM and BDFA practices on their land. To ensure that there are no income reduction from the BDFA practise, the project has developed an indicator to measures *minimum of 10% increase in household?s income*, in *at least 2,500 households adopting improved cropland management using BDFA and SLM practices.* The ESIA will validity the project?s SLM/BDFA technology and livelihood and financial interventions together with experts to mitigate any unintentional impacts of income generation from the planned project activities. The mentioned ESIA, which is part of the ESMF implementation will assess the project?s activities and their implications for the current risk. The ESIA will in this regard outline, as needed, any additional management measures which are to be adhered to during project implementation. Further, an ESMP to address this risk will be developed. Project activities which might have impact on this risk or its underlying safeguard questions should not be engaged in before the ESMF has been completed and matters raised has

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Risk 6: invasive alien species (IAS) are inadvertently introduced to the project areas by the project?s on-the-ground engagements.	Environmental I = 3, L = 3 **Moderate**	In addition to developing and providing training on recognizing, managing IAS and avoiding unintentional spread of IAS (Output 2.1), project trained extension service workers will in their work with farmers pay particular attention to whether IAS are present on the farmlands on which they work. The project will work with CDORBMC and also tap experts from academic/research institutions to provide guidance on this. Also, a farmer driven reporting system on identified IAS will be introduced as part of the training. Thus, the presence of IAS will be monitored throughout the project by stakeholders and the project will be alerted to any emerging concerns which it needs to address. As with other risks the project will report on these through the UNDP reporting system. Further, as key agencies, which will implement the project, DA and DENR will also be engaged in overseeing invasive species will not be introduced. In addition, as part of the ESMF the ESIA will assess the current risk in connection with the developed menu of SLM and BDFA practices outlined in the *Catalogue of SLM and BDFA practices* annexed to the project document. The ESIA will highlight adjustments to the proposed activities as needed. Further, an ESMP to address this risk will be developed. Project activities which might have impact on this risks or its underlying safeguard questions should not be engaged in before the ESMF has been completed and matters raised has been fully addressed.

Description	Risk Category, Impact & Probability	Risk Treatment / Management Measures
Risk 7: Indigenous peoples have limited possibilities for accessing opportunities and/or exerting influence on project interventions and outcomes which negatively affect their development priorities.	Social I = 4, L = 3 **Substantial**	As outlined in the ESMF, annexed to the project document, the project will, during the first project year, engage in the mandatory FPIC process, following NCIP and other government [i.e. NCIP AO 03-2012 Revised FPIC guidelines and Ancestral Domains Sustainable Development and Protection Plan (ADSDPP) (NCIP AO 02-2018)] and other relevant procedures as well as the UNDP SES. In this regard, the project will not implement any activities (aside from the FPIC related work) involving the IP communities or land within the Ancestral Domains before said FPICs are in place. It should also be noted that should the FPIC process bring about any issue which merits a revision or changes to the project documentation these would be undertaken prior to any on-the-ground action. Such changes (if any) will be approved by the Project Board. In addition, the project will as part of the ESMF perform an ESIA of project activities which might affect the SESP identified risks and underlying safeguard questions. Any mitigation measures not already addressed within the project documentation and set-up will be included as ascribed by the ESIA recommendations. Further, an ESMP to address this risk will be developed. As noted, project activities which might have impact on this risks or its underlying safeguard questions should not be engaged in before the ESMF has been completed and matters raised has been fully addressed. In addition, the Gender, Environment and Social Safeguard Specialist will, as part of the project team, be responsible for implementing the risk management plan as well as undertake monitoring and data collection for reporting. Lastly, the project?s GRM provides an avenue for IP groups to raise feedback, concerns and complaints to the project. The Gender, Environment and Social Safeguard Specialist will together with the PMU setup the project?s GRM and ensure that it is fully operational, and more specifically ensure that IP communities and other minority stakeholders, as well as disadvantaged groups are fully aware of the GRM and the process to register any concerns associated with the implementation of the project.

Description	Risk Category, Impact & Probability	Risk Treatment / Management Measures
Risk 8: Human health and the environment are negatively affected by the inappropriate use of pesticides and insecticides.	Social/environmental I = 3, L = 3 **Moderate**	The project will as part of its training (output 2.1) sensitize farmers by providing training in safe handling and disposal of fertilizers and pesticides, as a safeguard, to ensure that negative effects to human health and the environment is minimized and preferably do not occur. Farmers and residents will thus be duly informed of proper use and restrictions and strict compliance with Good Agricultural Practices (GAP) standards on health and safety procedures will be enforced for all workers. In addition to managing, handling and disposal of pesticides and herbicides, the project will train stakeholders in how to optimize dosage and usage of selective/point application as well as about nonchemical alternatives to pest management. For project sites where there might be a need for pesticide and herbicide use, only those approved by the Fertilizer and Pesticide Authority of the DA will be allowed. Furthermore, in line with UNDP guidance the project will not use products that fall in Classes I.a (extremely hazardous) and I.b (highly hazardous) of the World Health Organization Recommended Classification of Pesticides by Hazard WHO Class II (moderately hazardous) chemicals will not be used. Chemicals will also be handled, stored, applied and disposed of in accordance with international good practice such as the FAO International Code of Conduct on the Distribution and Use of Pesticides. Also, as part of the project?s engagement with project capacitated extension workers, they will regularly engage with farmers and ask about their management of chemicals to ensure that these are safely stored and used. This risk will be monitored by the PMU on an ongoing basis through input from project experts and partners. In addition, as part of the ESMF the ESIA will assess the current risk. The ESIA will highlight adjustments to the proposed activities as needed.

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Risk 9: *Zoonotic* diseases are transferred within CDORB and affect local communities and livestock/wildlife.	Social/environmental I = 3, L = 3 **Moderate**	The project will follow the government of Philippines guidance and instructions on domestic and international travels, gatherings, social distancing, and use of personal protective equipment (PPE) to control the potential spread of COVID-19. The project events (meetings, trainings, workshops, etc.) will be organized virtually or outdoors strictly adhering to the government?s guidance on large gatherings. Indoor meetings, where necessary, will adhere to all spacing and PPE requirements and will be limited to permissible crowd size. The project will also draw from the lessons learned during the PPG process which have identified a subset of shortcomings related to the effectiveness of internet held meetings. The project will engage in an adaptive management approach for how to optimize stakeholder engagement while at the same time ensuring the safety of all parties concerned. The equipment and ICT costs are adjusted in the project budget to support virtual meetings and trainings needs. *The project will, with regard to the transference of deceases between wildlife and livestock, provide training to local community stakeholders, including representatives from the IP and CBFMA communities in upland areas, on* managing wildlife animal and human interaction to prevent zoonotic disease. Finally, as part of the ESMF the ESIA will assess the current risk. The ESIA will highlight adjustments to the proposed activities as needed.
Risk 10: Capacity building and gender mainstreaming exacerbate gender-based violence due to women?s empowerment and changes in gender norms, roles and responsibilities	Social I = 3, L = 2 **Moderate**	In this connection, the ESIA, which is to be undertaken as part of the implementation of the ESMF during the first year of project implementation, will review this risk and the management response put forth in the *Gender Action Plan.* The ESIA will in this regard outline, as needed, any additional management measures which are to be included in the *Gender Action Plan.* Further, an ESMP to address this risk will be developed. The PPG Gender Specialist has prepared the project?s mentioned *Gender Action Plan* and the project management unit will include a Gender, Environment and Social Safeguard Specialist, who will be responsible for implementing the Gender Action Plan. The Specialist will also be responsible for ensuring the project engages with women and adheres to the UNDP and the Government of Philippine?s gender policies. The project will regularly collect gender-disaggregated data for the planned M&E activities.

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Risk 11: Livelihood models and market development options pursuing increased income and improved livelihoods adversely affects the social and environmental impacts.	Social I = 4, L = 3 **Substantial**	The proposed income and improved livelihoods activities will be explored in the ESIA, which is to be undertaken as part of the implementation of the ESMF. The ESIA will provide needed management measures related to the income and improved livelihoods activities, an ESMP addressing this risk will be developed. Further as part of the ESMF implementation a mandatory FPIC process for the respective Ancestral Domains will be undertaken (first year of project implementation) Also, as part of the value-chain and livelihood development work the assigned sub-contractors will together with the project Gender, Environment and Social Safeguard Specialist pre-screen the project activities using the UNDP SESP template and procedural approach to safeguard against that the selected livelihood models and market development options will result in adverse environmental or social impacts.
Risk 12: National and international biosafety protocols are not sufficiently observed increasing the potential of negatively affecting biodiversity.	Social/Environment I = 3, L = 3 **Moderate**	This risk will be explored in the ESIA. The ESIA will review the current practices and determine as to whether the planned project interventions described in the project document provides for sufficient safeguards ensuring that the risk will not materialize during project implementation. The risk is already a project concern and specific trainings on biosafety in handling of farm inputs and farm products are planned. Furthermore, the menu of the project interventions suitable to be pursued in connection with farmlands with GMO corn are outlined in the *catalogue of SLM and BDFA practices,* annexed to the project document. The ESIA will review and provide relevant inputs to both the proposed training and the outlined project interventions.
Risk 13: National labour laws and international commitments, including those related to child labour are not adequately observed, leading to inappropriate working conditions for project and contractor workers.	Political I = 3, L = 3 **Moderate**	This risk will be explored in the ESIA. As part of the ESIA management measures related to this risk will be put forth, and if the ESIA recommends a need for mitigation measures for the risk, mitigation measure addressing this risk will be include in Project Management operation procedure. The implementing partner DA-BSWM will as part of its responsibilities undertake the hiring of project staff, consultants and sub-contractors, and ensure that such contracting is in line with national legislation and international commitments. This will be reviewed annually as part of the project audit. As a safeguard recruitment of workers will include a submission of a copy of National Identity Card, which bears the age of the card holder. In addition, sub-contractors are to provide a disclaimer that they will uphold the national labour code and other legislation relevant to working conditions and child labour.

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Risk 14: The policy-backing from concerned agencies towards LDN target/priority and BDFAP framework implementation, cooperation and coordination does not materialize.	Political I = 3, L = 2 **Moderate**	The project will monitor this risk continuously and address any changes in perception for relevant departments throughout the project. If changes in perception would occur the PMU will first address this through the National Project Director who would bring the issue up through the relevant government channels. A further option is to bring the issue up with UNDP and through them initiate a dialogue with the Philippine government. With the LDN Joint Administrative Order (JAO) and the biodiversity friendly agricultural practices (BDFAP) JAO being project indicators their development and subsequent implementation will be key reporting areas for the project, and the project?s performance towards this will part of the project reporting including the Project Implementation Review (PIR), UNDP annual reports as well as part of the project?s risk monitoring.
Risk 15: Adopting the Joint Administrative Orders, the CDORB Comprehensive Land Use Plan and strategic workplans takes longer than planned.	Political/operational I = 3, L = 2 **Moderate**	As the response for risk 15 the project will monitor this risk continuously and address identified ?slow-downs? in the overall process. If process bottlenecks occur, the PMU will first address this through the National Project Director who would bring the issue up through the relevant government channels. A further option is to bring the issue up with UNDP and through them initiate a dialogue with the Philippine government. With the LDN and BDFAP JAOs and the CLUPs being project indicators, their development and subsequent implementation will be key reporting areas for the project, and the project?s performance towards this will form part of the project reporting including the Project Implementation Review (PIR), UNDP annual reports as well as part of the project?s risk monitoring.
Risk 16: The Multinational Corporations and large agri-businesses in CDORB will, only to a limited extend (or not at all), participate in the project.	Financial/Other I = 4, L = 2 **Moderate**	The Project will engage private sector, including the Multinational Corporations in a range of project activities including how they can better integrate SLM and BDFA practices into their production practices. The project will also work with them on how they, through their CSR work, can assist small scale farmers in the implementation oof SLM and BDFA practices on their lands. The project is also aiming at developing PES mechanisms together with the Private sector. In addition, the representatives from the private sector will be engaged in the policy and planning work under the project, both at national level and within CDORB ? in connection with the projects work with the CDORB local government units (LGU). Both types of engagements will be implemented and monitored as part of the project overall implementation and M&E work.

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Risk 17: The Indigenous Peoples Communities have little or no interest in re/adopting or expanding the use of traditional agrobiodiversity systems.	Social I = 4, L = 2 **Moderate**	The project will, immediately following the project initiation, engage in the mandatory FPIC process, hereby formalizing the initial agreements obtained from the IP communities. With regard to the FPIC process no activities, involving IP communities or their ancestral domains, will be undertaken prior to the FPIC approval. With regard to the subsequent implementation of the project?s on-the-ground activities which are to be implemented together with the IP communities, close consultations on the implementation modalities and approaches will be held to ensure that the projects interventions are appropriate and culturally sensitive. In addition, the representatives from the IP communities) or their organizations= will be engaged in the policy and planning work under the project, both at national level and within CDORB ? in connection with the projects work with the CDORB local government units (LGU). With regard to the above, the project will ensure the implementation of the project?s ESMF (**Annex 14**) and follow the resulting Indigenous Peoples Plan. All of the project work will be implemented and monitored as part of the project overall implementation and M&E work and the project?s performance will be part of the project reporting including the Project Implementation Review (PIR), UNDP annual reports as well as part of the project?s risk monitoring.

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Risk 18: Private sector partners are not thoroughly vetted resulting in the risk for unintentionally partnering with companies engaging in malpractices.	Other I = 4, L = 1 **Low**	The project will on a regular basis follow the national and local news and other information sources to monitor whether any potential issue related to the projects private sector partners emerges. In the Technical Working Group (TWG) at the site level, private sector representatives will be selected to ensure that private sector partnerships are sustained given the private sector engagement policies of UNDP. They will also be involved during year-end assessment and planning exercises so they will be abreast of Project implementation progress and emerging concerns and issues. In cases any issue emerges. the PMU will take contact (through UNDP) to the private sector partner, and other relevant parties, for clarification to fully understand the issue at hand. Based on the obtained information the PMU will consult with UNDP and the Department of Agriculture ? Bureau of Soils and Water Management (DA-BSWM), the projects Implementing Partner, on options on how to proceed. In cases where it is deemed warranted termination of the cooperation with the private partner will be ensured. The project will review this risk as part of its overall risk monitoring work and any identified issue will be included in the project?s reporting including the Project Implementation Review (PIR), UNDP annual reports.
Risk 19: Project implementation disrupted due to transitions from election cycles and agency reorganizations.	Political I = 2, L = 2 **Low**	The project will follow this closely and discuss with DA-BSWM and local partners on how best to prepare for the any potential change or slow-down following the Philippine elections. These discussions will focus on how best to leave the project?s implementation (and timing of activities etc.) unaffected. In cases where affects might occur the project will engage in a proactive manner, through the National Project Director (and potentially through UNDP) to address any emerging issues.
Risk 20: Peace and order situation in local project areas within CDORB may affect dissemination and implementation of the program	Other (Safety and security) I = 2, L = 1 **Low**	The Project will monitor the local security situation regularly and will take immediate action should changes in the situation occur. If changes to the security alert materializes the project will follow Government and UNDP directions and to the extent possible ensure the safety of project staff and associates working with the project.

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Risk 21: Effective implementation of, and operational challenges to, the project occurs due to COVID-19 pandemic related delays and-or restrictions	Social/other (health) I = 2, L = 2 **Low**	The project will when and where needed ensure an extended use of the technology/ communication tools engaged in during the PPG process, to ensure an as smooth project implementation as possible. The project?s communication strategy (Activity 3.1.1) will include a section of how to optimize communication and information exchange, as well as how to ensure an effective public awareness and trainings in similar crises (like the COVID-19 pandemic) where face-to-face interactions are restricted. In this regard the project has set aside an appropriate budget for communications/internet connection that will facilitate online trainings etc., In addition, project activities involving people-to people interactions will be ongoingly adjusted to fit with the realities of the day.
Risk 22: A prolonged COVID-19 pandemic and a slow economic upturn in the wake of the pandemic impacts the flow of project co-financing from Government and other co-financing partners	Social/other (health) I = 3, L = 1 **Low**	The project will review, on an ongoing basis, how the COVID-19 situation affects the project implementation and will instigate needed countermeasures to minimize any operational delays will be employed. Although the project will employ an adaptive management process, in this regard workplan adjustments might ultimately be needed. The Implementing Partner, together with the Project Board, should monitor and address significant changes resulting from a prolonged COVID-19 pandemic. This would also include the economic effect of COVID-19 which might result in significant financial constraints arising due to both exchange rate fluctuations and any delays or failures in co-financing delivery. Budget shortfalls due to exchange rate fluctuations in the time between the GEF approval and the project?s start, will be reviewed and decisions on any necessary measures to be taken will be made at the projects inception workshop (first Project Board meeting). Further budget reviews (and decisions) will be carried out annually as needed to address any subsequent fluctuations.

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Risk 23: Environmental, social and governance related issues arise that may result in UNDP?s reputational risks. These issues may be related with fraud, corruption, harmful environmental management practices, violation of human rights and, use of forced and/or child labour, among others.	Social and environmental, political, organizational I = 4, L = 1 **Low**	An Environmental and Social Management Plan (ESMP) will be developed during Year 1 of Project implementation subsequent to a risk assessment following the project environmental and social risk management framework (ESMF) prepared during the PPG phase. This ESMP will provide details on managing the environmental and social risks associated with the Project. A Gender and ESS Specialist will be engaged to provide to ensure implementation of environmental and social safeguards, including carrying-out of this Risk Mitigation Strategy. The grievance redress mechanism will be rigorously set-up. This will be used as a platform on identifying emerging environmental, social and governance issues and providing solutions to address these issues. All Project stakeholders will be encouraged to utilize the grievance redress mechanism to help developing and implementing risk mitigation measures. Emerging issues will be discussed during Project Board meetings so guidance on resolving these issues and undertaking mitigation measures can be provided. Also, these emerging issues will be discussed during CDORBMC TWG meetings and discussed during Project Board meetings. In case environmental, social and governance issues arise, a communications strategy will be rolled-out to manage the negative publicity which may result from this. This Risk Mitigation Strategy and the Communications Strategy will also be updated to promptly respond to issues as they arise. The project management unit, specifically the safeguards expert, will monitor the private sector partners? ESG risks covered by the media. The project management unit will report to the Project Board, the IP, and the PMU immediately if such incidents are observed. Further, the IP, through the PMU, will engage periodically, during the implementation phase to encourage development (if necessary) and implementation of internationally accepted ESG standards in their operations. In addition, should there be any media reports and compliant through GRM on the private sector partners engagement that complicit in serious human rights violations as per the UNDP policies and deemed reputational and operational / programming risk, and a failure from the private sector partners to correct such situations, the collaboration with these private sector partners will be re-assessed and if necessary, the partnership will be terminated immediately.

Description	Risk Category, Impact & Probability	Risk Treatment / Management Measures
Risk 24*: Philippine Government are not in a position to follow GEF/UNDPs deadlines for Project document signing and initial project inception.	Political I = 3, L = 2 **Moderate**	The UNDP will monitor this risk ongoingly in the period leading up to the project document signing and beyond. UNDP will liaison with the DA-BWSB to ensure that the project is followed by the government entities relevant for the project signing and initiation. In turn DA-BWSB will take steps to ensure the early setup of the PMU. If and when needed UNDP Senior Management will engage with the Philippine Government to expedite the process.
Risk 25*: Project oversight support might be affected by COVID 19 situation and CO capacities to handle simultaneous implementation of GEF Projects	Social and environmental, organizational I = 3, L = 2 **Moderate**	? Field missions will be conducted semi-annually, travel restrictions allowing, with Back to Office Reports (BTORs) submitted and discussed with UNDP Senior Management, IP and Project Team to review emerging risks, issues and concerns. These will allow an oversight of project performance, identify and address potential risks and issues and to design response mechanisms. ? Other Project oversight measures to be undertaken include the following: - Participation of UNDP CO in Project Board meetings where strategic directions on delivery of committed outputs will be set; - Conduct of quarterly meetings, at the minimum, among UNDP CO, IP and Project Management Unit, to discuss quarterly targets and accomplishments vis-?-vis the Annual Work Plan (AWP); - Participation of UNDP CO in Project yearly assessment and planning; - Conduct of Annual Partners? Meeting to discuss HACT and GEF policies as well as emerging concerns and issues in Project implementation; - Conduct of necessary audit exercises and spot checks, i.e., at least one spot check per year and once in a lifetime financial audit, based on the IP?s risk rating. - Participation of UNDP CO in annual and/or semi-annual programme visits; and - Conduct of midterm review and terminal evaluation. - Due to the COVID-19 pandemic and restricted mobility, alternative mechanisms have been adopted for verification of project results, such as utilization of ICT technologies for communication with stakeholders in the fields, engagement of field teams, including local government focal points (and other assigned members as deemed necessary) for verification and monitoring and others. The Country Office has issued Programme Monitoring Guide and Template to be followed for annual field missions for more effective project oversight support.

Description	Risk Category, Impact & Probability	Risk Treatment / Management Measures
Risk 26*: Potential audit findings given implementation modality of NIM with CO support, i.e., direct cash transfer and direct payments	Organizational I = 3, L = 2 **Moderate**	? Measures put in place to respond to 2019 audit findings concerning the Implementing Partner include the following: (i) Discussion of the audit findings with the Implementing Partner to agree on risk mitigation measures for future GEF-UNDP projects. This meeting was joined by the National Project Director and representatives from the Implementing Partner?s Finance, Budget, Accounting and Procurement Units. One of the concrete steps identified was the development of the Operations Manual for pipeline GEF-UNDP projects, including this one. The project specific Operations Manual will help provide step by step procedure on ensuring compliance with POPP, HACT and GEF policy provisions. (ii) Conduct of monthly review of NEX advances (iii) Issuance of programme monitoring visit guide and template last November 2020. (iv) Issuance on guidance on drafting and approval of Annual Work Plans (AWPs) last August 11, 2020 (v) Conduct of capacity-building activities on POPP compliance last April 2020 (vi) Drafting of HACT Assurance Plan for the Implementing Partner ? The CO HACT focal person will take the lead in ensuring that HACT guidelines are strictly followed by the IP for this Project. More specifically, independent audit firm will be engaged to conduct spot checks and IP capacity assessment. The CO has Long-term Agreements (LTAs) for firms undertaking spot checks and IP capacity assessment. Prior to awarding the contract, the CO will be required to clear the TOR for the HACT. ? Conduct of quarterly financial monitoring has also been put in place. This is to ensure that resource utilization of the project is in line with the AWPs and Project Documents. Spot checks are also scheduled and carried-out per HACT Assurance Plan per Implementing partner. These spot checks have been provided with resources in the Project budget.

Description	Risk Category, Impact & Probability	Risk Treatment / Management Measures
Risk 27*: There is not political support for neither the strengthening the legal and institutional framework for SLM, LDN and BDFA implementation nor for mainstreaming this into provincial planning and management processes.	Political I = 2, L = 2 **Low**	The project will monitor this risk continuously and address any changes in perception for relevant departments throughout the project. If changes in perception would occur the PMU will first address this through the National Project Director who would bring the issue up through the relevant government channels through the Project Board. Key national government agencies which are mandated to take the lead in supporting the legal and institutional framework for LDN, SLM and BDFA practices are members of the Project Board. A further option is to bring the issue up with UNDP and through them initiate a dialogue with the Philippine government.
Risk 28*: The scale-up and rollout of developed capacities of governmental institutions are not sufficient to create a viable and effective change in the national, provincial and local SLM, LDN and BDFA management.	Political/ operational I = 2, L = 2 **Low**	The projects capacity building processes will be regularly monitored and evaluated in connection with their implementation in the CDORB and subsequently in the five priority river basins. In addition feedback on applicability and ease of use will be solicited and relevant corrections made to address eventual shortcomings. This will be pursued through the relevant government channels and engagement with key government entities will be ensured.
Risk 29*: The Government?s roll-out and use of the SLM, LDN and BDFA knowledge management platform/hub does not increase the capacities of local extension services and local stakeholders	Operational/ social I = 2, L = 2 **Low**	The quality and accessibility of information included in the SLM, LDN and BDFA knowledge management platform/hub will be regularly accessed. Furthermore, user feedback will be sought to further the usability and functionality of the knowledge management platform/hub and needed adjustments will be made in accordance. In addition, relevant government entities will, following the establishment of the knowledge management platform/hub, ongoingly promote and make reference to it.

As part of the overall consultation process and in agreement with the IP communities within the CDORB, the project will, as set out in the project?s ESMF (see **Project Document Annex 14**), from the project onset engage in a mandatory FPIC process. Although initial willingness to engage has been expressed by representatives of the IP groups of Talaandig and Higaonon during the PPG process (letter of confirmation

is attached to the above mentioned ESMF annex), the consultations were preliminary in scope and in agreement with NCIP were not part of the mandatory FPIC process. Thus, a formal FPIC process is a requirement, and FPIC approval has to be in place prior to any project activities involving members of the IP communities or being implemented within Ancestral Domains. It is anticipated that the FPIC process, which will be initiated at project start, will be finalized within the first project year.

An ESMF has been developed based on the project?s risk categorization to specify the processes that will be undertaken by the project for the additional assessment of potential impacts and identification and development of appropriate risk management measures, in line with UNDP?s Social and Environmental Standards. As part of the ESMF, the project will, during its first year of operation, engage in project Environment and Social Impact Assessment, Strategic Environment and Social Assessment which will result in the development of a scoped Environment and Social Management Plan. In addition, as part of the above mentioned FPIC process, an Indigenous Peoples Plan will be developed which aligns with both UNDP SES and NCIP standards. In this regard, any activity under assessment review or included under the ESMP and the IPP should not be initiated until such a time when the assessments/plans have been finalized and are operational.

The ESMF also details the roles and responsibilities for its implementation. The ESMF also sets out the additional safeguards measures that apply to the project during the inception phase, which will include identified management measures as required. The implementation of the ESMF, as well as the *Stakeholder Engagement Plan* (**Project Document Annex 13**), the *Gender Action Plan* (**Project Document Annex 12**) and the to be developed ESMP and IPP will involve public consultation and public disclosure, in line with UNDP?s Information Disclosure Policy, and Social and Environmental Standards. These plans will be reviewed during project inception and mid-term review to ensure that changes in the local context are integrated in these safeguard documents.

In addition, a project-level Grievance Redress Mechanism (GRM) will be established upon project inception and managed by the Project Board and the project Implementing Partner. The project GRM will function separately from, and will be an addition to, the established UNDP and government GRMs and will follow guidance provided by the relevant UNDP Stakeholder Response Mechanism[2]. The GRM will provide for a ?first line? of response to stakeholder concerns that have not been prevented by proactive stakeholder engagement. The terms of reference (TOR) for the project GRM can be found in the **Project Document Annex 27**.

Also, risks related to the COVID-19 pandemic should be mentioned. Depending upon the immunization levels within the Philippine populations ? including through vaccination, and the timescale upon which this happens, it must be foreseen that the presence of COVID-19 might impact the project?s implementation in the first year of the project, as it has impacted upon the PPG phase. Most importantly COVID-19 might affect the health of beneficiaries, therefore, measures to minimize the spread of the disease limitations in

face-to-face consultations and interactions with and among stakeholders will be observed. Travel restrictions between regions and internationally might also remain in place. Although the availability of communication technologies is widespread and, in many cases, can be effective substitutes for meetings/trainings/workshops, many upland areas like those within the CDORB can be difficult to access due to poor connection or lack of appropriate technology. The extended use of technology/communication tools engaged during the PPG process will be continued and further refined during project implementation. The project?s communication strategy (Activity 3.1.1) will include a section of how to optimize communication and information exchange, as well as how to ensure an effective public awareness and trainings in similar crises (like the COVID-19 pandemic) where face-to-face interactions are restricted. In this regard the project has set aside an appropriate budget for communications/internet connection that will facilitate online connectivity etc**.** In addition, project activities involving people-to people interactions will be ongoingly adjusted to fit with the realities of the day.

To avoid spread of the pandemic and in order to reduce health risks to project staff and stakeholders, risk mitigation procedures will apply, complying with directives from the government of the Philippines, and following UN advice at https://www.un.org/en/coronavirus/UN-responce. At the same time, the project will review on an ongoing basis how the situation affects the project implementation and needed countermeasures to minimize any operational delays will be employed. Although the project will employ an adaptive management process in this regard, workplan adjustments might ultimately be needed. The Implementing Partner, together with the Project Board, will monitor and address significant changes resulting from a prolonged COVID-19 pandemic. Changes to the project?s financial situation depending upon severity of the situation could lead to alterations in the scope or timing of planned activities which hence would lead to workplan adjustments.

With regard to the COVID-19 Pandemic and the projects engagement within the setting of UN Philippines, the UN Socioeconomic and Peacebuilding Framework for COVID-19 Recovery in the Philippines 2020-2023 (SEPF) was approved in 2021. The SEPF provides a roadmap for prioritizing, aligning, and positioning the UN in the Philippines. It incorporates follow-on actions from the COVID-19 Global Humanitarian Response Plan (HRP), updates the Partnership Framework for Sustainable Development (PFSD), and serves as our COVID-19 response and recovery plan, addressing in an integrated manner the area?s most in need of attention and support across the UN Philippines? three mutually reinforcing pillars: People, Prosperity and Planet, and Peace[3].

The SEPF has outlined a larger menu of immediate responses as well as an outline of areas of engagement for the medium-term and recovery phase, and the GEF/DA-BSWM/UNDP project will through its planned activities provide support to at least 9 of the UN determined action areas supporting the medium-term and recovery phase in the Philippines. The SEPF identified areas and the anticipated GEF/DA-BSWM/UNDP project support is listed in further detail in the **Project Document Annex 26** (*COVID-19 Analysis and response***)**.

[1] UNDP Social and Environmental Screening Procedure_Pre-Launch.pdf

[2] Stakeholder Response Mechanism - Overview and Guidance (Rev 9 June).pdf (undp.org)

[3] These encompass the UN?s global COVID-19 five response pillars ? **1)** Ensuring that essential health services are still available and protecting health systems, **2)** Helping people cope with adversity, through social protection and basic services, **3)** Protecting jobs, supporting small and medium-sized enterprises, and informal sector workers through economic response and recovery programs, **4)** Guiding the necessary surge in fiscal and financial stimulus to make macroeconomic policies work for the most vulnerable and strengthening multilateral and regional responses, and **5)** Promoting social cohesion and investing in community-led resilience and response systems. https://www.un.org/sites/un2.un.org/files/un_framework_report_on_covid-19.pdf

6. Institutional Arrangement and Coordination

Describe the institutional arrangement for project implementation. Elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives.

The project?s implementation and management arrangements are detailed in the **Project Document Section VIII Governance and Management Arrangements**. Key aspects have been reproduced here for ease of reference. The project will be implemented over five years. The Project will be implemented following UNDP?s National Implementation Modality (NIM), according to the Standard Basic Assistance Agreement between UNDP and Government of the Philippines and the Country Program

Implementing Partner: The Implementing Partner for this project is DA-BSWM. DA-BSWM, as the Implementing Partner, is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in the signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in the UNDP project document. The Director of DA-BSWM will serve as the National Project Director to oversee the tasks of the Bureau as the Implementing Partner. The National Project Director (NPD) will closely work with UNDP and the Project Management Unit in all aspects of planning, implementation and management of the Project. Upon the recommendation of the NPD, certain functions of NPD will be delegated through a Special Order signed by the Secretary to the DA Regional Director in order to enhance integrated management of field level project deliverables that depend on different DA offices and programs at the regional level.

Responsible Parties: At the CDORB level, Responsible Parties will be identified to implement work packages for the delivery of specific project activities and outputs. These work packages will be carried-out through signing of a Memorandum of Agreement between the Responsible Party and DA-BSWM. Key criteria for the selection of Responsible Parties will include, among others:

? Strategic presence in the CDORB to ensure ownership and capacity-building of local stakeholders;

? Comprehensive understanding of local development planning and budgeting processes;

? Familiarity of the governance dynamics of state and non-state actors within CDORB;

? Demonstrated experience in working with LGUs as well as with indigenous people and local communities, specifically on facilitating stakeholder consultations and consensus building; and

? Familiarity with SLM and BDFA practices.

Project stakeholders and target groups: The CDORBMC, being the senior beneficiary of the project, is deemed necessary to be part of the Project Board. Representation of the Council during Project Board meetings can be on a rotating basis as decided through a consensus within the CDORBMC. The CDORBMC will serve as the platform where local stakeholders, including the local National Government Agencies (NGAs), LGUs, indigenous people and local communities (IPLCs), CSOs, academic institutions and private sector, can undertake strategic and holistic discussion of SLM and BDFA related concerns and overarching project implementation issues and opportunities to arrive at a consensus on project directions that will be put forward during Project Board meetings. Since the Council is a relatively big group, the Council will create an Operations Committee as the site level TWG as agreed among the Council members that will act as the focal group to ensure that the above roles are undertaken. To do this, it can also call on other CDORBMC TWGs to provide technical guidance and support the implementation of respective project components as needed. At the minimum, the Operations Committee or the site level TWG will be composed of DA Region 10 as Chair, CDORBMC secretariat (to be represented by the Executive Director) as co- chair and Regional Officers of DENR, NCIP, DILG and the National Project Coordinator. The Operations Committee will regularly report its progress to the CDORBMC *en banc*.

UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes overseeing of project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP GEF Executive Coordinator, in consultation with UNDP Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF project.** UNDP is responsible for the Project Assurance role of the project governance and presents to the Project Board and attends Project Board meetings as a non-voting member. A firewall will be maintained between the delivery of project oversight and quality assurance performed by UNDP and charged to the GEF Fee and the support to project execution performed by UNDP (as requested by and agreed to by both the Implementing Partner and GEF) and will be charged to the GEF project management costs (as approved by GEF). The supporting documents for execution support including the request, the letter of agreement, and details of the UNDP charges are provided with the GEF Audit Checklist annexed to this ProDoc (see Annex 29).

Project organization structure:

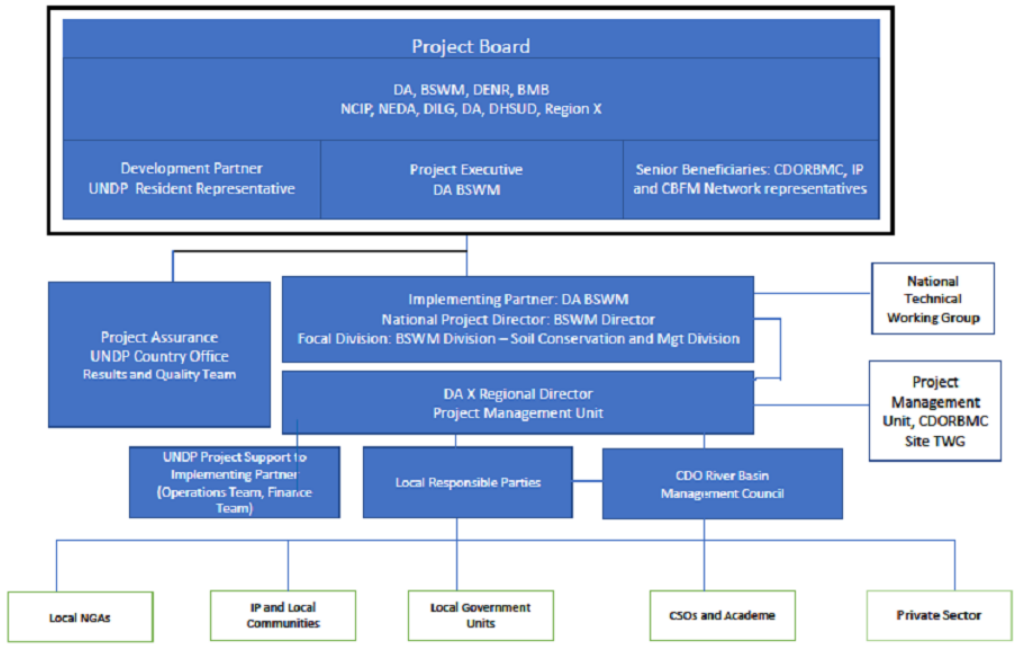

Figure 4: Project Board organigram[1]

Project Board: The project is governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project. The two main (mandatory) roles of the project board are High-level oversight of the execution of the project by the Implementing Partner and Approval of strategic project execution decisions of the Implementing Partner. In addition the responsibilities of the Project Board is to ensure consensus decision making, oversee project execution, Risk Management and Coordination. Members of the Project Board will include the Department of Agriculture Central Office, DA-BSWM, Department of Environment and Natural Resources Central Office (specifically the Foreign Assistance and Special Projects Services or FASPS), DA-BMB, NCIP, National Economic and Development Authority (NEDA), DILG, DA Region 10, CDORBMC, IP and CBFM Network representatives and UNDP. The DA-Office of the Undersecretary for Agri-Industrialization and the Fisheries, which also serves as the GEF focal of the Department, will serve as the Chair of the Project Board.

In case consensus cannot be reached within the Board, the UNDP Resident Representative will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed. The composition of the Project Board must include the following roles:

a. Project Executive: The Project Executive is: Department of Agriculture ? Bureau of Soils and Water Management.

b. Beneficiary Representative(s): The Beneficiary representatives are the Cagayan de Oro River Basin Management Council (CDORBMC), IP and CBFM Network representatives from CDORB. The CDORBMC will facilitate consensus-building on selection of IP and CBFM Network representatives to the Project Board.

c. Development Partner(s): The Development Partner is UNDP which will be represented by its Resident Representative.

d. Project Assurance: UNDP performs the quality assurance and supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution. A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP?s project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is the Monitoring and Evaluation Analyst of the Results and Quality Team.

National Inter-Agency Technical Working Group. The national TWG formed for the PPG phase for this project will be sustained and expanded, when needed, for the whole Project implementation period. Members of this TWG will be revisited given the Project design. This TWG will assist the IP, the Project Board and the PMU on the following areas:

? Updates on policies, guidelines, protocols, research, available funding facilities, programs and projects related with LDN, SLM and BDFAs;

? Recommendations on SLM and BDFA necessary policy support, national and site level coordinating mechanism, partnerships, Monitoring and Evaluation systems, emerging good practices and lessons learned, appropriate SLM and BDFA technologies and innovations, knowledge management and capacity-building programs;

? Feedback on Project?s progress milestones and, implementation concerns and issues, including necessary adaptive management strategies;

? Processing of lessons learned, including what works and don?t work; and

? Exist strategy, sustainability planning and replication/scaling-up strategy.

Project Management Unit. The Project Coordinator is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of all project inputs, supervision over project staff, responsible parties, consultants and sub-contractors. The project manager typically presents key deliverables and documents to the board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers. The project coordinator will be the primary PMU representative attending board meetings. The Project Management Unit (PMU), while reporting directly to the National Project Director or the BSWM Director and the Division Chief of the Soils and Water Conservation Division of the Bureau, will be lodged within the Region 10 Office of DA. The PMU will be composed of full-time project personnel, including the Project Coordinator, Administrative and Finance Assistant, SLM and BDFA Specialist and, Gender and ESS Specialist which will manage the day-to-day operations of the Project. It will support the National Project Director, Division Chief and DA Region 10 Office for the day-to-day operations. PMU will have the following key functions: (i) preparation of Project Board meeting agenda and minutes of meeting; (ii) facilitation of workplans, work packages and TORs; (iii) negotiation of partnership agreements and contracts with Responsible Parties and deployment of consultants; and (iv) monitoring and facilitation of evaluation and learning. Additional staff complement can be decided by the PMU in consultation with UNDP and DA-BSWM, and subject to fund availability. The PMU will also be supported by short-term and interim Consultants, including the Chief Technical Advisor.

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[1] NOTE: **First line of defense:** UNDP oversight of project support to IP cannot be UNDP staff providing project assurance or providing programmatic oversight support to the Resident Representative (RR). **Second line of defense:** a) Regional Bureau oversees RR and Country Office compliance at portfolio level; b) BPPS NCE RTA oversees technical quality assurance and GEF compliance. BPPS NCE PTA oversees RTA function; c) UNDP NCE Executive Coordinator and Regional Bureau Deputy Director can revoke DOA/cancel/suspend project or provide enhanced oversight.

7. Consistency with National Priorities

Describe the consistency of the project with national strategies and plans or reports and assesments under relevant conventions from below:

NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc.

The project supports the revised PBSAP (2015-2028). In the revision, a critical new area of concern was introduced, namely agrobiodiversity, which became one of the PBSAP?s three thematic areas. While the PBSAP does not enter into species details, it emphasizes that agrobiodiversity is a critical part of the country?s biodiversity and that its conservation is of national importance. More specifically the project will support the PBSAP agrobiodiversity program interventions to: **i)** Increase the number of in situ and ex-situ sites that conserve and propagate diverse indigenous species and varieties; **ii)** Increase the number of communities practicing heritage agriculture that adopts dynamic conservation programs and sustains important traditional varieties; **iii)** Integrate conservation and sustainable use of agrobiodiversity in PA plans as well as plans for conservation areas outside the PA system; and **iv)** Incorporate agrobiodiversity concerns in enhanced CLUPs and other LGU plans and programs. The project supports the BPSAP targets 4, 9, 10, 11, 13, 14, 15 and 18 as well.

The project also supports four of the Philippine?s 2018 Voluntary Land Degradation Neutrality targets (i.e. Attain Land Degradation Neutrality in degraded croplands; Attain Land Degradation Neutrality in five Pilot River Basins[1]; Strengthen consensus-based stewardship of protected areas and Ancestral Domains; and Sustain positive trends in land management (reversion from cropland to forests particularly in key watersheds). In addition, the project will assist the Philippine Government in developing the LDN JAO, which will be a prime policy document for the roll-out of the LDN in the country.

Further, the project aligns with the Philippine Development Plan (PDP 2017-2022) specifically under sub-sectors 1 and 2, Biodiversity and functioning of ecosystems services sustained and Environmental Quality improved - Land Quality Management respectively. The project will also contribute to the objectives of the Climate and Disaster Risk Sensitive Regional Physical Framework Plan of Region 10, 2013-2040 (2015 Update) and the Northern Mindanao's Regional Development Plan 2017-2022 and in particular to its chapter 19 on improving ecological integrity and socio-economic conditions of resourced-based communities. Furthermore, the project is aligned with the One DA Reform Agenda._

The project also supports the implementation of the BDFAP Framework which in turn supports the implementation of the DENR Executive Order no 578 on Establishing the National Policy on Biodiversity, and the Administrative Order No. 2016-12 on Adopting the PBSAP 2015-2028. The objectives of the BDFAP Framework are: **1)** to promote agricultural development that is compatible with the conservation of the ecosystem in areas where agricultural and fishery activities are carried out; **2)** to ensure judicious use of the country's natural resources for sustainability and to conserve genetic diversity of biological resources used for food and agriculture; **3)** to initiate/strengthen the institutionalization of biodiversity friendly agricultural practices in multiple use and buffer zones of protected areas, and tenured areas within key biodiversity areas through the mainstreaming of their use by occupant-tiller/farmers and tenured migrants; and **4)** to provide the framework for the future formulation of standards on biodiversity-friendly agricultural practices and relevant certification and recognition systems. For additional information on the project?s linkages to the national policies, programs and strategies, please see **Project Document Annex 11 (***Policy and Program baseline***).** Table 7 below outlines the main national strategies, plans and legislation relevant for the project.

The project is also in support of the UN decade of ecosystem restoration and aligned with the Convention to Combat Desertification and its strategic approach towards achieving LDN. The project also supports the Convention on Biodiversity and contributes to 9 Aichi Targets (i.e. 2, 4, 5, 7, 13, 14, 15, 18 and 19). Finally, the project is also relevant to the Sustainable Development Goals (SDGs), particularly SDG 15 (Life on land) but also SDG 2 (Zero hunger), SDG 5 (Gender equality), SDG 13 (Climate action), and SDG 17 (Partnership for the goals), and the respective targets under said goals namely targets 2.4, 5.5, 13.3, 15.3, 15.5, 15.9, 17.14, and 17.17. Table 1 and 2 in Section E of this document highlights the project?s support towards the SDGs and the Aichi Targets.

Table 7: Project relevant national strategies, plans and legislation.

X	Philippine National Action Plan to Combat Desertification, Land Degradation and Drought and (NAPDLDD) 2010?2020
X	Philippine Biodiversity Strategy and Action Plan (PBSAP), 2015-2028.
X	Philippine Agriculture and Fisheries Modernization Plan (AFMP) 2018-2023
X	Philippine Development Plan (PDP) 2017-2022, (Chapter 8)
X	Philippine National Framework Strategy on Climate Change 2010-2022
X	Philippine National Climate Change Action Plan 2011-2028
X	Philippine Master Plan for Climate Resilient Forestry Development (PMPCRFD), 2016-2028
X	Philippine Voluntary Land Degradation Neutrality (LDN) Targets
X	Philippines Biodiversity-Friendly Agricultural Practices Framework
X	Executive Order 263, 1995 Adopting the Community-Based Forestry Management (CBFM) National Strategy to Ensure the Sustainable Development of the Country?s Forestland Resources and Providing Mechanism for its Implementation.
X	Executive Order 318, 2004, Promoting Sustainable forest Management in the Philippines
X	Republic Act 6657 Comprehensive Agrarian Reform Law (CARP);
X	Agriculture and Fisheries Modernization Act (AFMA);
X	Republic Act 10068 on Organic Agriculture;
X	Republic Act 7586, the National Integrated Protected Areas System (NIPAS);
X	Presidential Decree 705, Revised Forestry Code;
X	Republic 8367, Indigenous People?s Rights Act (IPRA),
X	Republic Act 9710 Magna Carta of Women (MCW)
X	Ambisyon Nation 2040

[1] i.e. Cagayan, Pampanga, Mindanao, Agusan, and Iloilo-Batiano. For summary river basin profiles please see Project Document Annex 15 (*Five river basin descriptions*)

8. Knowledge Management

Elaborate the "Knowledge Management Approach" for the project, including a budget, key deliverables and a timeline, and explain how it will contribute to the project's overall impact.

The project?s management approach is anchored in Component 3 of the project with Output 3.4 being a key centerpiece as it will establish and operate a Knowledge Hub on LDN, SLM, and BDFA practices, providing a framework for organizing scientific and technical information and access to good practices. The Knowledge Hub will provide a space for stakeholders to connect as well as facilitate knowledge flow. The Hub will contain project related information (reports and analysis), project trainings and MOOCs,

access to funding information (Output 1.2) and information and links to other entities working in the sphere of LDN, SLM, and BDFA. As part of this, connections to global communication and knowledge management platforms (e.g. Exposure and Panorama) will be established.

The general structure and main content areas of the Knowledge Hub will be outlined in the knowledge management and communication strategy to be developed under Outcome 3.1. A key aspect of the project?s knowledge management strategy and dissemination is the project?s assistance to the CDORB?s LGUs in establishing needed linkages and expand their existing IMS, as well as strengthen the information support systems at the local federation of IP tribal councils. The latter is important in connection with strengthening said councils? IKSP documentation and management. These engagements will be undertaken under Output 3.4.

The project?s knowledge management and communication strategy will be developed during the first year of the project. It will outline how the project?s communication with key interlocutors, engaged in the project?s component 1 and 2 best can facilitate that said interlocutors becomes authorities on scientific and technical knowledge on LDN, SLM and BDFA practices. The project will also prepare popular videos documenting proof of concept. These videos will act as good practice/ lessons learnt examples on specific SLM and BDFA practices. Although popular the videos should contain sufficient technical specificities making them relevant in trainings and capacity building exercises.

Component 1 and 2 activities will be supported through the development of policy guidance notes, policy briefs, discussion papers etc. Technical bulletins for on-farm protocols for biodiversity and indigenous species conservation will also be prepared to facilitate replication and upscaling within CDORB and elsewhere. Partnership with mass media, established through project partner channels and the documenting and disseminating of technical reports, publications and a compendium of knowledge management products (including in local languages accessible to IPs) will also be supported under Output 3.1.

The project knowledge management efforts will, under Output 3.2, have a specific focus on documenting IP communities? IKSPs related to BDFA and SLM practices, including traditional ecological knowledge, which are effective in conserving biodiversity and regulating sustainable resource use. An equally important aspect will be the reporting on the effectiveness and success of SLM and BDFA practices on ecosystem service provision. Monitoring and documentation of the effects of these practices on said services will be part of the implementation of the project?s activities under Output 3.3.

The exposure of local farmers and promotion of SLM and BDFA practices will, in part, be ensured through cross-farm visits to sites where SLM and BDFA practices are being implemented[1]. The cross-farm visits will facilitate farmer-to-farmer exchange and provide farmers and other stakeholders with ?learn through their own eyes? experiences. This, in turn, will help ?spread the news? more broadly not only through local champions but also through the mass media as the learning visits will provide for good media opportunities, which the project will capitalize on.

Under Output 3.4 the project will establish an online Community of Practice (CoP) on LDN, SLM and BDFA practices. The CoP will consist of several sub-CoPs consisting of like-minded, interacting individuals, institutions and experts who work on various aspects and areas of the project?s pallet of subject related areas. In this regard and connected with project?s knowledge management, in general, the project will establish project social media platforms (Facebook, InstaGram, Twitter etc.) to increase the public outreach of the project. While these platforms will be aimed at disseminating information about SLM and BDFA practices within CDORB, a broader scope is anticipated. The overall scope of these platforms will be determined, and laid out, in the knowledge management and communication strategy.

While at least 150,000 persons, of which 75,000 will be direct beneficiaries, are expected to be reached through the project?s learning events and technical work, it is not possible to accurately quantify how many would benefit from the project?s interventions in the long-term but given the amount of people who are reliant upon the ecosystem services deriving from healthy watersheds and river basin, in CDORB alone, the numbers would be substantial.

The project does not have a specific knowledge management output as the different deliveries/aspects of the project?s knowledge management approach is integrated in the various outputs under Component 3. Because of this, a specific budget has not been assigned to knowledge management as such but the anticipated cost is approximately 170,000 USD, which does not include the support towards preparing knowledge products by project staff and specific experts.

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[1] Farm visits will be done in four different areas within CDORB: 1) Ancestral Domains and other IP community-managed areas; 2) lands managed by Multinational Cooperation and large national companies; 3) privately held/owned farming lands; and 4) CBFM areas.

9. Monitoring and Evaluation

Describe the budgeted M and E plan

The details of the project?s monitoring and evaluation is provided in the **Project Document Section VI Monitoring and Evaluation Plan** and is reproduced here for ease of reference, The monitoring and evaluation plan and budget is summarized in table 8 below. The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored annually and evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. The Monitoring Plan included in the **Project Document Annex 8** details the roles, responsibilities, and frequency of monitoring project results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP (including guidance on GEF project revisions) and UNDP Evaluation Policy

The UNDP Country Office is responsible for ensuring full compliance with all UNDP project M&E requirements including project monitoring, UNDP quality assurance requirements, quarterly risk management, and evaluation requirements..

Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the GEF Monitoring Policy and the GEF Evaluation Policy and other relevant policies. The costed M&E plan and budget included below, and the Monitoring plan in the **Project Document Annex 8,** will guide the GEF-specific M&E activities to be undertaken by this project. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed including during the Project Inception Workshop and will be detailed in the Inception Report.

Minimum project monitoring and reporting requirements as required by the GEF:

Inception Workshop and Report: A project inception workshop will be held within 2 months from the First disbursement date, , with the aim to:

? Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.

? Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.

? Review the results framework and monitoring plan.

? Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP and other stakeholders in project-level M&E.

? Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework (where relevant) and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.

? Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.

? Plan and schedule Project Board meetings and finalize the first-year annual work plan. Finalize the TOR of the Project Board.

? Formally launch the Project.

GEF Project Implementation Report (PIR): The annual GEF PIR covering the reporting period July (previous year) to June (current year) will be completed for each year of project implementation. UNDP will undertake quality assurance of the PIR before submission to the GEF. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR. The PIR submitted to the GEF will be shared with the Project Board. UNDP will conduct a quality review of the PIR, and this quality review and feedback will be used to inform the preparation of the subsequent annual PIR.

GEF Core Indicators: The GEF Core indicators included in the **Project Document Annex 22** will be used to monitor global environmental benefits and will be updated for reporting to the GEF prior to mid-term review (MTR) and terminal evaluation (TE). Note that the project team is responsible for updating the indicator status. The updated monitoring data should be shared with MTR/TE consultants prior to required evaluation missions so these can be used for subsequent ground truthing. The methodologies to be used in data collection have been defined by the GEF and are available on the GEF website.

Independent Mid-term Review (MTR): The terms of reference, the review process and the final MTR report will follow the standard UNDP templates and guidance for GEF-financed projects available on the UNDP Evaluation Resource Center. The evaluation will be ?independent, impartial and rigorous?. The evaluators that UNDP will hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project under review. The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the evaluation process. Additional quality assurance support is available from the BPPS/NCE-VF Directorate. The final MTR report and MTR TOR will be publicly available in English and will be posted on the UNDP ERC by (*August 2025*). A management response to MTR recommendations will be posted in the ERC within six weeks of the MTR report?s completion.

Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance for GEF-financed projects available on the UNDP Evaluation Resource Center. TE should be completed 3 months before the estimated operational closure date, set from the signature of the ProDoc and according to the duration of the project. Provisions should be taken to complete the TE in due time to avoid delay in project closure. Therefore, TE must start no later than 6 months to the expected date of completion of the TE (or 9 months prior to the estimated operational closure date). The evaluation will be ?independent, impartial and rigorous?. The evaluators that UNDP will

hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated. The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the BPPS/NCE-VF Directorate. The final TE report and TE TOR will be publicly available in English and posted on the UNDP ERC by *(December 2027)*. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report?s completion.

Final Report: The project?s terminal GEF PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Agreement on intellectual property rights and use of logo on the project?s deliverables and disclosure of information**:** To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[1] and the GEF policy on public involvement[2].

Monitoring Plan: The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the Project Management Unit annually, and will be reported in the GEF PIR every year, and will be evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. Project risks, as outlined in the risk register (**Annex 5**), will be monitored quarterly. For the project?s detailed monitoring plan please see Annex 8.

Table 8: Monitoring and Evaluation Plan and Budget

Monitoring and Evaluation Budget for project execution:		
GEF M&E requirements to be undertaken by Project Management Unit (PMU)	**Indicative costs (US$)**	**Time frame**
Inception Workshop and Report	8,000	Inception Workshop within 2 months of the First Disbursement
M&E required to report on progress made in reaching GEF core indicators and project results included in the project results framework	6,000	Annually and at mid-point and closure.
Preparation of the annual GEF Project Implementation Report (PIR)	None14	Annually typically between June-August

Monitoring of: ESMF, Stakeholder Engagement Plan, , Gender Action Plan and other plans identified through the ESIA.	39,870	On-going.
Supervision missions	None[3]	Annually
Independent Mid-term Review (MTR)	48,000	June 2025
Independent Terminal Evaluation (TE)	48,000	October 2027
TOTAL indicative COST	**149,870**	

[1] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

[2] See https://www.thegef.org/gef/policies_guidelines

[3]The costs of UNDP CO and UNDP-GEF Unit?s participation and time are charged to the GEF Agency Fee.

10. Benefits

Describe the socioeconomic benefits to be delivered by the project at the national and local levels, as appropriate. How do these benefits translate in supporting the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCF/SCCF)?

The combined effect of the project?s components will improve ecosystem services stemming from agricultural and agroforestry lands in CDORB, brought about by the application of integrated BDFA and SLM practices. The implementation of BDFA and SLM will also result in an increase in the agrobiodiversity found in the project?s targeted agricultural landscapes and beyond. Reducing land degradation within the agroecosystem will have positive ecological and socio-economic consequences, where the latter will have impact on the local farmer communities? livelihoods, as well as financial implications. More than 10,000 ha of farmlands will benefit from direct project interventions. In addition, through project facilitated voluntary replication of similar type of BDFA and SLM practices, as well as changed management via for instance amendments to the CLUP of the CDORB?s five LGUs, the project will ensure sustainable management of at least 58,000 ha. The project?s area of influence could, however, be much larger depending upon the BDFA and SLM practices uptake in other areas of the Philippines. Such uptake could occur in areas of the five project LGUs which are situated outside the CDORB or within the five LDN priority river basins with which the project will also work. Facilitated by the BDFAP and LDN JAOs, the project?s knowledge management and results dissemination, as well as its collaboration with Government departments, including DA and DENR, will facilitate the upscaling of BDFA and SLM practices outside CDORB. The project?s alignment with government programs, for instance DENR?s NGP and DA?s NOAP, are examples of upscaling vehicles, as is the One DA Reform Agenda.

The project?s work on relevant regulations, guidelines, and plans will provide for a more holistic and integrated approach towards mitigating land degradation. The project?s enhancement of the agriculture and agroforestry aspects of the local CLUPs and its support to LGU and barangay programs and plans (e.g. city development plans, river basin strategic management plans, watershed management plans, IP ADSDPP) will facilitate the adoption of SLM and BDFA in the agricultural landscapes within CDORB. This will result in a reduction or halt of land degradation, ensure better soil and water conservation and management, increase habitats mosaic within the agroecosystem benefitting biodiversity and improved livelihood for people depending upon the services and products of the land and the value chain products and services these provide.

The direct project beneficiaries, including national, provincial and local government agency staff, as well as staff from academia and NGOs, will, due to the project, improve their knowledge and skills on using analytical tools, prepare environment sensitive trade-off analysis, as well as use this knowledge to assess and revise plans and programs to ensure that they are ecosystem services orientated. At least 1,900 staff (50% female) will be capacitated under the project. More than 10,000 local community members including farmers, farmers cooperatives, agribusinesses and indigenous people etc. will be capacitated in the use of BDFA and SLM management technologies that reduce land degradation and improve local agrobiodiversity and traditional varieties[1]. This will, among others, result in at least 2,500 households (11,250 persons) having a 10% increase in household?s income stemming from improved cropland management using BDFA and SLM practices. Of these, 50% of the beneficiaries will be women. As part of this, at least 1,000 households from IP communities will be actively engaged in growing selected local varieties and traditional crops and 750 IP households will be supported to adopt or re-adopt/adapt improved farming practices mimicking traditional farming systems and their ecological functions.

Incremental funding from existing government and local development programs as well as linkages with microfinancing schemes will support BDFA and SLM implementation within the agroecosystem and improve and diversify livelihoods and incomes of stakeholder communities and ensure sustainability of investments beyond the life of the project.

The project?s recognition of Indigenous Knowledge Systems and Practices (IKSPs) and traditional agrobiodiversity products compatible with SLM and BDFA principles will not only preserve knowledge but will also improve understanding and sensitivity towards IP culture and heritage. Aspects of this may be included in the complimentary development project and programs undertaken by government, NGOs or as part of companies? CSR. In addition, through the project?s engagement with the IP tribal leaderships, the capacities within the IP councils will be strengthened leading to increased cooperation with various IP groups and improved partnership outlook with non-IPs organizations and institutions.

The training materials, training videos and MOOC will be made available for all interested parties through the publicized project Knowledge Hub. Indirect beneficiaries will include the wider farming communities in CDORB but will also extend into the five priority river basins with which the project is working as well as into the Philippines at large - through Government interventions and promotion of the project. While at least 150,000 persons are expected to be reached through the project?s learning events and technical work, it is difficult to predict how many would benefit from the project?s interventions long-term but the numbers is perceived to be substantial.

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[1] Stakeholders involved in the project?s training are further described in the result and partnership section below, and more detailed information is provided in the **Project Document Annex 9** (*Description of Project Activities*)

11. Environmental and Social Safeguard (ESS) Risks

Provide information on the identified environmental and social risks and potential impacts associated with the project/program based on your organization's ESS systems and procedures

Overall Project/Program Risk Classification*

PIF	CEO Endorsement/Approval	MTR	TE
High or Substantial			

Measures to address identified risks and impacts

Elaborate on the types and risk classifications/ratings of any identified environmental and social risks and impacts (considering the GEF ESS Minimum Standards) and any measures undertaken as well as planned management measures to address these risks during implementation.

Project Information

Project Information	
1. Project Title	Securing Long-Term Sustainability of Multi-functional Landscapes in Critical River Basins of the Philippines.
2. Project Number (i.e. Atlas project ID, PIMS+)	ATLAS Award ID: 00116590; ATLAS Project/Output ID: 00113663; PIMS number: 6500
3. Location (Global/Region/Country)	The Philippines
4. Project stage (Design or Implementation)	Design
5. Date	April 2021

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach

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

Briefly describe in the space below how the project is likely to improve gender equality and women?s empowerment

The project aims to improve gender equality and women?s empowerment by focusing on their current roles and potential opportunities to improve employment access, community management, and representation in planning and decision-making bodies. To this end the project will strive to achieve a 50/50 gender balance during implementation of trainings and capacity building project activities. The project also plans to achieve gender balance by actively promoting women engagement in the project livelihood activities. The project activities and policy work in local realities will be alignment with Gender and Development (GAD) plans of Region 10 and participating LGUs. The detailed project strategy for improving gender equality and women empowerment is presented in the project?s Gender Action Plan which is annexed to the project document. The plan incorporates several measures to promote social inclusion, gender equality and youth engagement, as well as promote the role of women (rural and indigenous women in particular) in various activities. The Gender Action Plan (GAP) will address the gender-based constraints and opportunities for the adoption of a dual approach of gender mainstreaming and targeting women to deliver multiple benefits through SLM and BDFA practices in CDORB. The project through its design will pursues strong entry points for the inclusion, and addressing, gender concerns in connection with for instance policy development such as the Joint Administrative Orders (JAO) on LDN and biodiversity-friendly agriculture practices (BDFAP) and local zoning ordinances. Another identified entry point is on the empowerment of women through capacity development. The project?s engagement in knowledge management and communication will also provide an avenue for furthering gender equality and women?s empowerment**.** Furthermore, project monitoring and evaluation will measure process towards gender equality and women empowerment by collecting youth and gender-disaggregated data and other relevant gender statistics. The project team will include a Gender, Environment and Social Safeguard Specialist with the responsibilities to ensure that the project uphold the UNDP standards for gender equality and women empowerment during its implementation. This will be achieved through, for example, equal gender representation in trainings, that consultant contracting is gender neutral and encourages women to apply. The specialist will also take the lead for the implementation of the GAP as well as provide training on gender equality and women empowerment to project staffs and the staffs of project partners. Additional support to ensure the improve gender equality and women?s empowerment during the project implementation will also be available to the Specialist by the Philippine Commission on Women by request on an as-needed basis. The project is assigned with the gender marker GEN-2, indicating that gender equality will be incorporated as a ?significant objective? during project design and implementation.

Briefly describe in the space below how the project mainstreams sustainability and resilience

The project has been put in place to create an enabling environment for the realization of the LDN targets and to mainstream SLM and BDFA practices in CDORB. The project will do this by promoting SLM and BDFA practices in the diverse agricultural settings within the basin?s agroecosystem. SLM and BDFA practices include soil preservation, selection of traditional agrobiodiversity, multi-story agroforestry, and integrated farming, which are key to ensure environmental sustainability and climate resiliency in the basin. The aim is to empower Peoples Organizations (PO), especially IP communities, Community-Based Forest Management agreement (CBFMA) holders and small holder farmers to become an active part of developing basin?s climate resiliency while at the same time maintaining and improving their livelihoods stemming from their farming activities. On the policy and planning level, the project will build the capacity of river basin planners and managers for using trade-off and decision-making tools aimed at bringing ecosystem services and environmental sustainability to the centre of the local river basin planning processes. Further, the project will update LGUs CLUPs to better support SLM and BDFA within the basin towards ensuring LDN of CDORB. While the trainings and capacity building activities, on SLM and BDFA implementation and undertaking trade-off analysis, will be focus on CDORB, it will also involve stakeholders at national level as well as stakeholders in five additional river basins (i.e. Cagayan, Pampanga, Mindanao, Agusan, and Iloilo-Batiano). The CDORB wide strategies will primarily be promoted and organized by CDORBMC, Department of Agriculture Bureau of Soils and Water Management (DA-BSWM) and Department of Environment and Natural Resources Biodiversity Management Bureau (DENR-BMB). Information will be disseminated through regular stakeholder conferences and the project established Knowledge Hub which will provide for constant access to stakeholders in the basin as well as stakeholders in other aspiring basins within the Philippines to upscale similar sustainable activities. Lessons learnt and best practices will be shared among CDORB LGUs for replication and may be used in adjacent watersheds and other critical river basins nationwide.

Briefly describe in the space below how the project strengthens accountability to stakeholders

The PPG team carried out extensive stakeholder consultations, more than 65 consultations in total, during the design phase. Therefore, the project design has captured, consolidated and incorporated a wide range of stakeholders? concerns and inputs in the project design, ensuring that the project design is fully participatory. Furthermore, during the implementation, the project will safeguard the marginalized groups such as IPs, CBFM and small holder farmers by actively engaging these groups throughout the project implementation phase as outlined in the Stakeholder Engagement Plan. This will also be ensured through a mandatory FPIC process related to the project's engagement with the CDORB IP communities and through formal and informal engagement with PO and Non-Governmental Organisations (NGO) intermediaries as described in the Stakeholder Engagement Plan. In the project?s involvement with the IP communities, it will fully recognize the local governance mechanisms of IP communities and their decision-making practices including those related to the IP communities? engagement in implementing SLM and BDAF practices within their Ancestral Domains. The project?s stakeholder engagement will be broad-based and focused on actors who directly manage and work on agricultural lands in CDORB. As part of this, capacity building activities will also be extended to marginalized POs to improve their capacity and performance and these stakeholders will be prioritized for the project?s engagements related to enterprise training, technology transfer and facilitation of the market linkages. The identified capacity building and knowledge management activities aim to equip these groups, as well as other stakeholders, will be provided (through the projects Knowledge Hub) with the opportunity to access relevant and up-to-date information that is necessary for their engagements in project facilitated activities even after project closure. Monitoring and evaluation conducted with the stakeholders will provide opportunities for direct inputs to the project evaluations, in turn, initiating potential project change requests. Feedback and interactions with stakeholders will also occur during the implementation of the project?s activities, where the on-the-ground activities will make connections to local farmers and IP communities, as well as local NGOs and women?s groups. More formally the project will engage with key stakeholder groups and organizations from CDORB via CDORBMC which is the primary local stakeholder platform where IPs and non-IP communities, NGOs, LGUs and private sector can come together and discuss project implementation-related concerns and issues. The CDORBMC is a member of the Project Board, creating a vital stakeholder link to the project?s decision-making organ. In addition, project stakeholder forums would provide for venues to clarify and assess any concerns on the overall implementation of the project. The project?s social network engagement will also provide an avenue for project/stakeholder interactions. The project will also strengthen the accountability to stakeholders through for instance its capacity-building of LGUs and national government agencies (NGAs) which will improve the LGUs accountability to their constituents on delivery of agri-related services and improved environment and nature resources (ENR) management through BDFA and SLM practices. Also, the project engagement with the development of PES mechanisms will also promote accountability through recognition of providers of ecosystem services (sellers) and resource users (buyers or those benefitting from good SLM and BDFA practices) Furthermore, the project will establish a project Grievance Redress Mechanisms (GRM) managed by the Project Board during the project implementation. The project GRM will function separately and will be an addition to the established UNDP and government GRMs. Thus, local and national level feedback and complaints will be discussed and sufficiently addressed without prejudice or retribution to the stakeholder or affected parties. An important task of the project?s communication plan will be how to most efficiently communicate the UNDP?s Accountability Mechanism to project stakeholders and how they can effectively interact with the project and use the established project?s mechanism to bring forth concerns and grievances.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Complete SESP Attachment 1 before responding to Question 2.*	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5below before proceeding to Question 5*			**QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High**
Risk Description ***(broken down by event, cause, impact)***	***Impact and Likelihood (1-5)***	***Significance*** ***(Low, Moderate Substantial, High)***	***Comments (optional)***	***Description of assessment and management measures for risks rated as Moderate, Substantial or High***

Risk 1: Rights of affected populations (particularly of marginalized groups) that are adversely impacted by project interventions and outcomes, and do not have the possibility or capacity to claim their rights or meaningful participation. **Principles 1: Human Rights** (P3 and P5) **Principle 3: Accountability** (P13 and P14) **Standard 6: Indigenous Peoples** (6.3, 6.5 and 6.7)	I = 4, L = 3	**Substantial**	The main marginalized groups under the project are women and members of rural communities in the CDORB upland areas, including rural poor and CBFMA holders. The marginalized groups also include IP communities, which are a special group within the Philippines with specific rights under the law. The NCIP is the national Government agency responsible for protecting the rights of the indigenous peoples of the Philippines, and its provincial arm is a central counterpart for the project. While the project?s goal is to demonstrate the environmental and social benefits of improved land management practices, through the implementation of SLM and BDFA practices, it has the potential to have adverse social and environmental impacts if the identified risks (as outlined in this SESP) are not appropriately managed and mitigated. Part of this is to ensure that stakeholders have access to meaningful participation as well as the	**<u>Assessment:</u>** Project stakeholders and local community groups including women representatives, IP and CBFMA holders were consulted during the PPG consultation process and provided inputs and reflections to the project?s analytical work annexed to the project document such as the ?*landscape profile and situation analysis.*?, ?*Planned involvement with Indigenous Peoples communities.*? ?*SLM and BDFA Livelihood Assessment.*? Also annexed to the project document are the: *Stakeholder Engagement Plan* which describes identified stakeholders? involvement with the project, as well as outlining key project mechanisms for stakeholder engagement and interaction including bringing forth eventual grievances. *Gender Action Plan* which describes the CDORB stakeholder identified gender issues as well as how the project, through its interventions, will address these. With regard to the IP communities, initial consultations, to explain the project concept and outline the anticipated activities to be undertaken together with the IP communities within the Ancestral Domains located in CDORB, were held. However, the PPG consultations were not part of a mandatory FPIC process, which will be initiated in the first year of the project. As outlined in the Environment and Social Management Framework (ESMF) it was agreed, with NCIP, that the mandatory FPIC process, and hence full negotiations with the IP communities would be undertaken during the first year of the project. This approach also resulted in that neither the project?s Indigenous Peoples Plan (IPP) nor an Indigenous Peoples Plan Framework was prepared during the PPG phase, as both are reliant on in depth consultations with IP stakeholders, and such consultations

Risk 2: Prevailing gender biases in the Philippines unintentionally discriminate against women limiting or adversely impacting their possibilities for accessing opportunities and/or exerting influence on project interventions and outcomes. **Principle 2: Gender Equality and Women?s Empowerment** (P9 and P11) **Standard 7: Labour and Working Conditions** (7.5)	I = 3, L = 2	**Moderate**	While having closed 78% of its gender gap and while the Philippines remains the top Asian country according to the World Economic Forum?s Global Gender Gap Report 2020, stakeholders in the CDORB still brought forth gender discrepancy issues during the PPG stakeholder consultations. Many of these were related to long held gender biases, particularly in rural upland communities. And while the frequency in occurrence is diminishing, caution towards gender equality and the empowerment of women will be important for the project to uphold.	**<u>Assessment:</u>** Risks associated with gender equality and women?s empowerment were assessed during the project?s stakeholder consultation. As part of the analysis, the PPG team examined the status quo of women?s legal rights and status, their access to natural resources, legal and societal restrictions, statistics on gender inequality in income, and representation in decision making capacity. The PPG conducted extensive consultants with gender focal points within the CDORBs provincial and local institutions who are in charge of gender issues, as well as overseeing these entities gender and development (GAD) project and programs. Further, an assessment of the current standing of women in development projects and farming activities were reviewed in connection with the PPG consultations and fed into the *Gender Action Plan,* annexed to the project document, which describes the CDORB stakeholder identified gender issues and how the project, through its interventions, will address these. In addition, gender roles in agricultural commodities? value-chains were also analysed and the survey is annexed to the project document. **<u>Management:</u>** Gender equality and empowerment have been incorporated into the activity design where gender mainstreaming in policy, livelihood and knowledge management have specifically been taken under advisement. The project includes a livelihood component where women?s possibility to engage and benefit from the project?s on-the-ground activities is guaranteed by the project design and where women?s access to project?s interventions are embedded in the project?s activities. This includes identification of labour-saving technologies and innovations, fast tracking an increased involvement of women and piloting women-led model initiatives (e.g. women led

Risk 3: Biodiversity Friendly Agriculture practices unintentionally and negatively impact habitats and ecosystem services at the project landscape. **Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management** (1.1, 1.3, 1.7, 1.8 1.9 and 1.10)	I = 4, L = 3	**Substantial**	Approximately 13% of the land in CDORB are experiencing various degrees of land degradation. This is aggravated by the fact that two thirds of the landscape have slopes over 18% making it susceptible to water induced soil erosion resulting in loss of topsoil and reduction in water retention. Only 8.7% of the river basin is categorised as having a soil organic carbon (SOC) content rated as high (or above), while 55.4% has a low SOC content. The primary reasons for CDORB to be under continued threat from land degradation are the use of unsustainable agricultural practices, unregulated use of its agricultural lands, forests and waters. And while sustainable farming practices such as organic farming and multi and intercropping systems are on the rise, the changes are slow. Hence the unsustainable land use practices within the agricultural landscape will continue to cause a decrease in the ecosystem services the agroecosystem provides.	**Assessment:** The project aims at addressing the current unsustainable land use practices within the agricultural landscape which causes a continued decrease in the ecosystem services. The project has in this regard reviewed the current status quo which has been described in the project document, as well as in the project documented annexes *Landscape Profile and situation analysis.* The project also identified the main agricultural systems in CDORB (corn, rice, banana, cassava etc.) based on 2018 land use data and maps, as well as identified and described groupings (menu) of SLM and BDFA interventions (project document annex *Catalogue of SLM and BDFA practices)* which the project will pursue in its support towards stakeholders within the farming communities. The project has grouped said communities as being IP communities, communities which holds CBFMAs, small holder farmers and plantation owners and large-scale farmers including multinational companies (MNC) and large argi-businesses. - - **Management:** The project will implement trainings and demonstrate the menu for SLM and BDFA practices which are designed to improve the land?s microclimate and will ensure resilience. As such, the project proposed interventions should bring about an increase in ecosystem service benefits which not only will improve local conditions on stakeholder lands but will also provide for accumulative benefits for people living further downstream within the CDO river basin. Also, the project will engage in restoration/reforestation of riparian areas which will further increase the environmental benefits of the project. Further through its knowledge management and communication work, the project will publicize the benefits of including SLM and BDFA practices in farmers? land management as well as disseminate success stories to entice stakeholders in broad scale adoption. This will include

Risk 4: The effects of climate change such as flooding, and droughts could impact project areas and activities. **Standard 2: Climate Change and Disaster Risks** (2.1, 2.2 and 2.3)	I = 3, L = 3	**Moderate**	The project has been initiated in response to devastating floods in 2011, and the project?s focus on mitigating land degradation through the implementation of SLM and BDFA will facilitate an increased climate resilience of the production landscape within the agroecosystem. The CDORB has experienced increased extreme temperatures days in the recent years and it is projected to continue on this trend in the future. Such events are predicted to be of moderate intensity, frequency, or duration. Although the CDORB experienced devastating floods in 2011 the region generally has low exposure meaning there is a chance of approximately 1% that potentially damaging river floods will occur in the coming 10 years. In terms of urban flooding however high exposure is likely based on available flood modelling information. Further, certain areas within the project location have experienced some droughts in the past and is expected to	**<u>Assessment:</u>** This risk was assessed using the World Bank Climate and Disaster Risk Screening Tool annexed to the project document and while CDORB are, by the above-mentioned tool, considered to be in a risk prone area, chances of a climate or disaster event occurring during or directly following the project are deemed moderate. **<u>Management</u>**: The project will, in its site selections and engagement areas, avoid disaster prone areas, and local areas with severe land degradation. In the implementation of the projects ?on-the-ground? activities, SLM and BDFA practices and local crops will be screened for their climate adaptive capacity in relation to the biophysical conditions of the local areas. This will be done in consultation with the local climate experts and the local stakeholders who have the first-hand knowledge of the climate hazard, impacts, and protections. Further, the project will refer to credible regional, national, and international climate reports to verify climate risks, hazards and impacts for the project sites and planned project activities. The ?on-the-ground? implementation of SLM and BDFA practices, will emphasize the importance of these practices in building local resilience by improving land qualities such as soil and water retention. Finally, the project?s planning work, including the trade-off analysis and use of decision-making tools, embeds climate and disaster elasticity to further safeguard against future calamities.

Risk 5: Introduction of SLM and BDFA practices in the agricultural and agroforestry production (changes to the land management practices) may have potential impacts negative on livelihoods and result in reduced household incomes **Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management** (1.3) ***Standard 5: Displacement and Resettlement*** *(5.2)* ***Standard 6: Indigenous Peoples*** *(6.6)*	I = 3, L = 3	**Moderate**	This risk centres around that the improved SLM and BDFA technologies (provided under output 2.1) could result in lower income long-term. It also relates to the potential absence of benefits deriving from the project?s livelihood and financial interventions (output 2.3 and 2.4). A prerequisite for the livelihood interventions to be successful is that local stakeholders adopt SLM and BDFA practices and engage in the use of endemic species, local varieties and traditional crops. These crops will provide the supply of produce for market-oriented livelihood initiatives.	**<u>Assessment:</u>** The project?s SLM/BDFA technology and livelihood and financial interventions and their appropriateness within the CDORB social and ecological setting has been discussed with stakeholders, experts and practitioners during the PPG consultation phase. Their inputs and considerations are reflected in the project?s analytical work annexed to the project document mainly the ?*SLM and BDFA Livelihood Assessment.*?, ?*gender roles in agricultural commodities? value-chains*?, ?*Livelihood options and PES support*? and ?*Catalogue of SLM and BDFA practices*?. In this regard the general stakeholder consensus has been that, if designed well, integrating SLM and BDFA practices into current land use/management of existing farming systems would have both environmental and economic benefits. **<u>Management:</u>** The project will follow the implementation of its livelihood related activities very closely, as these are interrelated to stakeholders? interests in engaging in SLM and BDFA practices and technologies on their lands. The project will also ensure that there is a close coordination of activities under Component 2, which relates to the ?on-the-ground? implementation of SLM and BDFA practices and the project?s livelihood and marketing work. It will also work with the Department of Trade and Industry (DTI) on providing assistance to IP communities and small holder farmers on market linkages through accessing the DTI Shared Service Facilities (SSF). The project will furthermore work with the Department of Tourism on developing ecotourism activity and engage with Cagayan de Oro Chamber of Commerce for the development of market linkages for communities and BDFAP certification.

Risk 6: invasive alien species (IAS) are inadvertently introduced to the project areas by the project?s on-the-ground engagements. **Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management** (1.4 and 1.6)	I = 3, L = 3	**Moderate**	As noted in the National Invasive Species Strategy and Action Plan (NISSAP) 2016-2026 very little is known about the impact of IAS on Philippine native biota. And while the impact of IAS can be very serious, the extent and intensity of this impact are generally unknown. As an example, the NISSAP only has one national example in its presentation of the economic loss posed by IAS. The lack of information, awareness and understanding of IAS also extend to the CDORB where little or no information is available. This is a concern because if IAS is not being recognized as an issue (which can have large economic implications) it makes it very difficult to combat IAS. In relation to the current project the main concern is the accidental spread of IAS as well as lack of early identification and eradication. The level of accidental spread within the current farming systems in CDORB will not be increased through the project?s introduction of SLM and BDFA practices. On the contrary. This is	**Assessment:** During the PPG phase?s stakeholder consultations, the concern of IAS were not raised as a concern. However, when working in agriculture and land management there is a potential for accidental introduction of IAS, thus, the this risk is included in the SESP. Because of this the recognition of, management of and avoiding unintentionally spread of IAS has been identified as one of the trainings to be provided under Output 2.1. This topic has been included as a precaution because IAS will spread to any area, which meets its ecological requirements and where there are few or no restrictions to its growth and reproduction. The local training on IAS is a worthwhile precaution, as IAS, through their spread, can also threaten species outside the immediate production landscape and can spread into sensitive ecological areas including PAs. This is particularly true for the current project where parts of the project intervention areas lie within the buffer zone of the two PAs (Mt. Kitanglad Range Natural Park and Mt. Kalatungan Protected Area). **Management:** In addition to developing and providing training on recognizing, managing IAS and avoiding unintentional spread of IAS (Output 2.1), project trained extension service workers will in their work with farmers pay particular attention to whether IAS are present on the farmlands on which they work. The project will work with CDORBMC and also tap experts from academic/research institutions to provide guidance on this. Also, a farmer driven reporting system on identified IAS will be introduced as part of the training. Thus, the presence of IAS will be monitored throughout the project by stakeholders and the project will be alerted to any emerging concerns which it needs to address. As with other risks the project will report on these through the UNDP reporting system. Further, as key agencies, which will implement the project, DA and DENR will also be engaged in overseeing invasive species will not be

Risk 7: Indigenous peoples have limited possibilities for accessing opportunities and/or exerting influence on project interventions and outcomes which negatively affect their development priorities. **Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management (**1.2**)** **Standard 4: Cultural Heritage** (4.1, 4.3 and 4.5) **Standard 6: Indigenous Peoples** (6.1, 6.2, 6.3, 6.4, 6.5, 6.7 and 6.9)	I = 4, L = 3	**Substantial**	One of the main stakeholder groups are the IP Communities within the CDORB and given the fact that project activities under Component 2 will involve the IP communities and their Ancestral Domains there is a risk for the project to unintentionally impact sacred sites within the landscape that have a special meaning or significance under indigenous cultural heritage. The project intends to use the traditional knowledge to promote the sustainable agricultural practices, which in turn, and outside of the project scope, could result in commercialization or use of such traditional knowledge and practices. The project will not result in limit access to land, natural resources, etc. on Ancestral Domains claimed by the indigenous population nor will it result in any physical displacement.	**Assessment:** Representatives of IP communities, IP organizations such as MILILITRA and KIN, NCIP as well as Higaonon and Talaandig tribal leaders were consulted during the PPG consultation process and provided inputs and reflections to the project?s analytical work annexed to the project document such as the ?*Planned involvement with Indigenous Peoples communities.*? and ?*Livelihood options and PES support.*?. These consultations were not part of the mandatory FPIC which will be engaged in as part of the implementation of the ESMF during the first year of implementation. Also annexed to the project document are the: *Stakeholder Engagement Plan* which describes identified stakeholders? involvement with the project, including the IP communities and NCIP, as well as outlining key project mechanisms for their engagement and interaction including bringing forth eventual grievances. *Gender Action Plan* which describes the CDORB stakeholder identified gender issues and how the project, through its interventions, will address these. With regard to the IP community initial consultations were, as mentioned, held. But in agreement with NCIP, the mandatory FPIC process, and hence full negotiations with the IP communities was not undertaken during the PPG phase due to procedural difficulties in clear geographic demarcation of the ancestral domains. Therefore, in consultation with NCIP, the FPIC process will be carried out as part of the ESMF and the IPP prepared based subsequent to ESIA. **Management:**

Risk 8: Human health and the environment are negatively affected by the inappropriate use of pesticides and insecticides. ***Standard 3: Community Health, Safety and Security*** *(3.5)* **Standard 7: Labour and Working Conditions (**7.6**)** ***Standard 8: Pollution Prevention and Resource Efficiency*** *(8.1, 8.2, 8.3 and 8.5)*	I = 3, L = 3	**Moderate**	The excessive and inappropriate use of chemical in agriculture cause land degradation and losses in soil fertility in the Philippines. The Medium-Term Philippine Development Plan from the National Economic and Development Authority (NEDA) notes that 37% of the total water pollution in the Philippines originates from agricultural practices. In addition, in 2004 fertilizers and pesticides accounted for 83.2 of the farm expenditures (65 and 18.2 % respectively). Farm chemical does not only have environmental implications but also human health ones. The Philippine National Poison Control and Information Service reported that between 2000 and 2001 11 people died from occupational exposures to pesticides.	**<u>Assessment:</u>** The extent to which chemicals in agriculture (and agroforestry) is used in CDORB and the potential risk it poses was discussed with stakeholders during the PPG phase in connection with the project preparation and document formulation. This even though the project advocates SLM and BDFA practices and generally would discourage the use of pesticides, herbicides and other chemical agents to the extent possible. And while the project will not eliminate the use of chemicals, it will, compared to the business- as-usual scenario, bring about, overall, a need for less usage of chemicals, hereby generally decreasing the risk of negative impact of chemicals on people and the environment. Based on this the use of pesticides and insecticides have been identified as a risk in the project document and is being address under the projects output 2.1. In addition, an ESIA to be undertaken as part of the ESMF (annexed to the project document) will further assess this risk. **<u>Management:</u>** The project will as part of its training (output 2.1) sensitize farmers by providing training in safe handling and disposal of fertilizers and pesticides, as a safeguard, to ensure that negative effects to human health and the environment is minimized and preferably do not occur. Farmers and residents will thus be duly informed of proper use and restrictions and strict compliance with Good Agricultural Practices (GAP) standards on health and safety procedures will be enforced for all workers. In addition to managing, handling and disposal of pesticides and herbicides, the project will train stakeholders in how to optimize dosage and usage of selective/point application as well as about nonchemical alternatives to pest management. For project sites where there might be a need for pesticide and herbicide use,

Risk 9: Zoonotic diseases are transferred within CDORB and affect local communities and livestock/wildlife. **Standard 3: Community Health, Safety and Security** (3.4 and 3.7)	I = 3, L = 3	**Moderate**	As the project is expected to start implementation in the first part of 2022, COVID-19 will remain a factor as the roll-out of vaccinations will not have reached critical mass in the Philippines before much later. Because of this there is a risk that project employed personnel will accidentally transmit the decease when visiting CDORB. In addition, the chances of transferring COVID-19 among local level stakeholders and beneficiaries will increase with the project start as increased interactions would occur. Further as the COVID-19 pandemic, as well as outbreaks of for instance bird flu and African swine fever, has shown that in between species transfer of zoonotic and non-zoonotic viral diseases is indeed possible. Although not a common occurrence there is, particularly in the remote upland areas of CDORB, a potential risk of transference of deceases between wildlife and livestock and visa versa.	**<u>Assessment:</u>** A COVID-19 rapid assessment was conducted during the PPG phase and is attached to the project document. In summary, according to government, Region 10, of which CDORB is part, has been comparatively mildly affected by COVID-19. As of 18 April 2021, there are 14,492 confirmed COVID-19 cases, with 12,805 recovered and 318 deaths in Region 10. 4,846 cases were reported in Cagayan de Oro City, followed by Bukidnon with 2,650 cases, Misamis Oriental with 2,271 and Misamis Occidental with 1,946 cases. 114 deaths have been reported from Cagayan de Oro City, followed by 71 deaths from Iligan City, 44 deaths from Bukidnon and 39 deaths from Misamis Occidental. Part of the explanation of this is that the population density in Region 10 is not overly high and the upland communities are comparatively isolated. That said anecdotal evidence suggest that people are moving back to Region 10 due to lack of employment (COVID-19 induced), hereby increasing population numbers locally. At the same time strict travel and meeting restrictions and other social restrictions are in place placing a damper on the spread. Philippines started its COVID-19 vaccination program in February 2021, and as per 18 April 2021 1.09 million people had received at least one dose of COVID-19 vaccine and 162,065 had been fully vaccinated . While the farming practices of free roaming livestock in the small holder farming were part of the stakeholder discussions, the the transference of deceases between wildlife and livestock, did not emerge as a concern during the PPG phase although at expert level it is recognized as a potential risk. The project has thus included specific training on managing wildlife animal and human interaction to prevent zoonotic disease as a precautionary measure. **<u>Management:</u>** The project will follow the government of Philippines guidance and instructions on domestic and international travels, gatherings, social distancing, and use of personal protective equipment (PPE) to control the potential spread of COVID-19. The project events (meetings,

Risk 10: Capacity building and gender mainstreaming exacerbate gender-based violence due to women?s empowerment and changes in gender norms, roles and responsibilities. ***Gender Equality and Women?s Empowerment*** *(P12)*	I = 3, L = 2	**Moderate**	Within the Philippines violence against women appears as one of the country?s pervasive social problems. According to the 2017 National Demographic and Health Survey conducted by the Philippine Statistics Authority, one in four Filipino women age 15-49 has experienced physical, emotional or sexual violence by their husband or partner. For Region 10 (Northern Mindanao), within which CDORB lies, this number is 19.1%. Further a 2020 study, commissioned by UNFPA, approximates that under the current pandemic intimate partner violence will increase by 16 percent in the country. As gender-based violence most often springs from the power dynamics between the genders (often, but not exclusively, within the household setting) changing such dynamics for instance through training of women could result in physical, emotional or sexual violence as a reaction to the new status quo.	**Assessment:** While gender, gender equality and women?s empowerment were discussed and assessed during the project?s stakeholder consultation, gender-based violence following the capacity building and empowerment of women did not surface as an issue. This might have been due to the sensitivity of the issue and the reluctance (on behalf of the individual women) to mention such matters in the open forums, used during the PPG phase (necessitated by the COVID-19 pandemic), which included both men and women. Although not raised as an issue during the stakeholder consultations, gender-based violence has been included as an area of concern which is being addressed in the *Gender Action Plan,* annexed to the project document. However, it is deemed appropriate to further evaluate the potential impact the projects capacity building and empowerment of women could have on gender-based violence as well as identify project relevant mitigation and safeguard measures. **Management:** In this connection, the ESIA, which is to be undertaken as part of the implementation of the ESMF during the first year of project implementation, will review this risk and the management response put forth in the *Gender Action Plan.* The ESIA will in this regard outline, as needed, any additional management measures which are to be included in the *Gender Action Plan.* Further, an ESMP to address this risk will be developed. - The PPG Gender Specialist has prepared the project?s mentioned *Gender Action Plan* and the project management unit will include a Gender, Environment and Social Safeguard

Risk 11: Livelihood models and market development options pursuing increased income and improved livelihoods adversely affects the social and environmental impacts. ***Gender Equality and Women?s Empowerment*** *(P 9, P12 and P13)* **Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management** (1.1, 1,2, 1.9 and 1.10) **Standard 6: Indigenous Peoples** (6.1, 6.2, 6.4, 6.5, 6.7 and 6.9) **Standard 7: Labour and Working Conditions (**7.5**)** ***Standard 8: Pollution Prevention and Resource Efficiency*** *(8.2)*	I = 4, L = 3	**Substantial**	The market development options springing from the use and marketing of traditional species, neglected and underutilized species, endemic species and local varieties are seen to have a potential to increase local livelihoods. At the same time this has the potential to change the local production patterns at farm level and more broadly. It also has the potential to expand the number of micro and small businesses which are involved in the new market opportunities springing from the project. And while initial species are identified etc. the project?s focus will be reliant upon value-chain analysis? which are to be undertaken within the first six months of the project. Because of this there is a risk that, if not appropriately designed, the implementation of the income and improved livelihoods activities will not fully adhere to the project?s social and environmental standards	**<u>Assessment:</u>** In preparation for the project several analysis and reviews have been made of which the project document annexes *SLM and BDFA Livelihood Assessment*, *Livelihood options and PES support*, and *Gender roles in agricultural commodities? value-chains* are of relevance for the current risk. Being part of the project documentation, they are included in the current SESP and are thus part of the outlined assessment and management of the identified risks. That said, there will be a need for further review once the value-chain analysis has been undertaken (within the first six months of the project) and the project?s on-the-ground engagements are to be determined, to ensure that the design and implementation of the income and improved livelihoods activities adhere to the project?s social and environmental standards. Also, during the consultations with the IP communities the concerns was raised that an introduction of new practices (SLM-BDFA) and resulting livelihood options could be seen as having the potential to erode, at least in part traditional livelihoods of IP communities. These raised concerns would be an important aspect of the FPIC process to review. - **<u>Management:</u>** The proposed income and improved livelihoods activities will be explored in the ESIA, which is to be undertaken as part of the implementation of the ESMF. The ESIA will provide needed management measures related to the income and improved livelihoods activities, an ESMP addressing this risk will be developed. Further as part of the ESMF implementation a mandatory FPIC process for the respective

Risk 12: *National and international biosafety protocols are not sufficiently observed increasing the potential of negatively affecting biodiversity.* ***Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management*** (1.12)	I = 3, L = 3	**Moderate**	The project will not, as part of its activities, be introducing or using genetically modified organisms (GMO)/living modified organisms (LMO). However, GMO corn is used within the CODRB by local farmers. And as the project is to engage in SLM and BDFA practices in these farming systems, to optimize the environmental sustainability of the farming system as well as reduce the land degradation potential of the employed farmland management practices, concerns related to biosafety due to inappropriate handling and utilization of the GMO corn is apparent. This apparent concern needs to be fully explored and adaptive project measures are to be put in place to address any identified shortcomings.	**<u>Assessment:</u>** As outlined in the *Catalogue of SLM and BDFA practices* annexed to the project document, which among other was compiled via the PPG stakeholder consultations, the Government promotes open pollinated varieties (OPV) of corn, as well as hybrids. However, farmers often prefer to use the GMO corn which is also promoted by Government. Farmers tend to only avail of government support for OPV (free start up seeds) when the supply of GMO seeds for a cropping season runs out. Due to high cost of seeds (Php 2,500 or USD 50 per 9 kg bag), farmers engage in crossing GMO varieties with native varieties, producing what is colloquially referred to as ?sige-sige?. The new batch of seeds produced by the original GMO seeds are planted again and this is repeated until the third cropping. It has been observed the sige-sige tends to retain the basic GMO characteristic of herbicide resistance but the resistance to corn borer diminishes. An NGO study done in Central Mindanao, reports on ?contamination? of the native varieties by GMO traits. This is a potential concern from the perspective of maintaining the integrity of the genetic pool (of native varieties) for future varietal improvement programs especially related to climate change adaptation. As the project is to work on traditional farming systems and the utilization of local varieties and endemic species within said systems there is a need to further assess the biosafety implications of the growing native species of corn in close proximity to, or intermixed with, GMO corn and how the integrity of native corn varieties can be maintained. - **<u>Management:</u>** This risk will be explored in the ESIA. The ESIA will review the current practices and determine as to whether the planned project interventions described in the project document provides for sufficient safeguards ensuring that the risk will not materialize during project implementation. The risk is already a

Risk 13: National labour laws and international commitments, including those related to child labour are not adequately observed, leading to inappropriate working conditions for project and contractor workers. **Standard 7: Labour and Working Conditions** (7.1 and 7.3)	I = 3, L = 3	**Moderate**	While the labour code of the Philippines and other national legislation and regulations outlines the national rules for working conditions including minimum working age there are regular occurrences where the national law is not followed to the full extent, including gaps in minimum salaries, prolonged working hours, non-contractual workers and use of child labour. Particularly the issue of child labour is of concern as it among other occur in the agricultural sector (including bananas, coconuts, corn, rice). In this connection it should be noted that according to the national labour code minors below 15 are allowed to work under the direct supervision of her/his parents/guardian. This would therefore include work on the family farmland. Regardless, as infringement of the national legislation do occur there is a need for the project to be especially diligent in its employment and contractual arrangements.	**Assessment:** The project is a full NIM project, the project?s contracting of consultants and sub-contractors, will follow the national regulations on procurement of goods and services that governances the DA-BSWM. Workers and working conditions for all project staffs and contractors will be governed by the 1974 Labour Code of the Philippines (*Presidential Decree No. 442*) and other national legislation on labour and working conditions. As part of the UNDP due diligence requirements HACT assessments were completed for DA-BSWM. In addition to this, DA-BSWM has been part of the UNDP audits. In this regard there has been no indication that DA-BSWM are not strictly adhering to the national legislation in their hiring policies (and their implementation). Nonetheless, there is a risk that the project proposed SLM and BDFA interventions could facilitate or even be reliant on child labour and this should be further reviewed, particularly as ILO and UNICEF in 2020 warned that the COVID-19 crisis might push millions of children into child labour. **Management:** This risk will be explored in the ESIA. As part of the ESIA management measures related to this risk will be put forth, and if the ESIA recommends a need for mitigation measures for the risk, mitigation measure addressing this risk will be include in Project Management operation procedure. The implementing partner DA-BSWM will as part of its responsibilities undertake the hiring of project staff, consultants and sub-contractors, and ensure that such contracting is in line with national legislation and international commitments. This will be reviewed annually as part of the project audit.

	QUESTION 4: What is the overall project risk categorization?				
	Low Risk	**?**			
	Moderate Risk	**?**			
	Substantial Risk	**X**			
	High Risk	**?**			
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)				
	Question only required for Moderate, Substantial and High Risk projects				
	Is assessment required? (check if ?yes?)	**?**			***Status? (completed, planned)***
	if yes, indicate overall type and status		**X**	Targeted assessment(s)	Completed (during PPG): Stakeholder analysis, Gender analysis
			X	ESIA (Environmental and Social Impact Assessment)	Planned
			X	SESA (Strategic Environmental and Social Assessment)	Planned
	Are management plans required? (check if ?yes)	**X**			
	If yes, indicate overall type		**X**	Targeted management plans	Completed (during PPG): Gender Action Plan, Stakeholder Engagement Plan
			X	ESMP (Environmental and Social Management Plan)	To be developed

			X	ESMF (Environmental and Social Management Framework)	Completed (during PPG) A main scope of the ESMF is to be undertake the mandatory FPICs and obtain Memorandum of Agreements from the IP communities in the Ancestral Domains (as per national legislation). Another scope is to develop the projects Indigenous Peoples Plan which is aligned with the obtained FPIC MOAs. Under the ESMF the project will also undertake a project level ESIA assessing the potential impacts of project activities and to reassess the project risks, as well as identify, as needed, additional management and safeguard measures to be followed by the project.

	Based on identified risks, which Principles/Project-level Standards triggered?		**Comments (not required)**
	Overarching Principle: Leave No One Behind		
	Human Rights	**X**	Risk 1
	Gender Equality and Women?s Empowerment	**X**	Risk 2, Risk 10 and Risk 11
	Accountability	**X**	Risk 1
	1. Biodiversity Conservation and Sustainable Natural Resource Management	**X**	Risk 3, Risk 5, Risk 6, Risk 7 Risk 8, Risk 11 and Risk 12
	2. Climate Change and Disaster Risks	**X**	Risk 4
	3. Community Health, Safety and Security	**X**	Risk 8, Risk 9 and Risk 10
	4. Cultural Heritage	**X**	Risk 7, and Risk 8
	5. Displacement and Resettlement	**X**	Risk 5
	6. Indigenous Peoples	**X**	Risk 5, Risk 7, Risk 8 and Risk 11
	7. Labour and Working Conditions	**X**	Risk 2, Risk 8, Risk 11 and Risk 13
	8. Pollution Prevention and Resource Efficiency	**X**	Risk 8 and Risk 11

Supporting Documents

Upload available ESS supporting documents.

Title	Module	Submitted
PIMS 6500_ Annex 05 SESP Final 1224-2021	**CEO Endorsement ESS**	

ANNEX A: PROJECT RESULTS FRAMEWORK (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

Annex A: Project Results Framework

This project will contribute to the following Sustainable Development Goal (s): The project supports the SDG # 2 (Zero Hunger) and more specifically its target 2.4: ?By 2030, ensure sustainable food production systems and implement resilient agricultural practices that increase productivity and production, that help maintain ecosystems, that strengthen capacity for adaptation to climate change, extreme weather, drought, flooding, and other disasters and that progressively improve land and soil quality?. It also supports the SDG # 15 (Life on Land) and its targets 15.3: ?By 2030, combat desertification, restore degraded land and soil, including land affected by desertification, drought and floods, and strive to achieve a land degradation - neutral world.? and 15.5: ?Take urgent and significant action to reduce the degradation of natural habitats, halt the loss of biodiversity and, by 2020, protect and prevent the extinction of threatened species?.					
This project will contribute to the following country outcome (UNDAF/CPD, RPD, GPD): CPD/UNDAF Outcome 2: ?Urbanization, economic growth, and climate change actions are converging for a resilient, equitable, and sustainable development path for communities? and the underlying Country Program Output 2.3: ?Partnerships strengthened, and economic models introduced to reduce biodiversity degradation from unsustainable practices and climate impact?					
	Objective and Outcome Indicators	**Baseline**	**Mid-Term Target**	**End of Project Target**	**Means of verification, Risks and Assumptions**

Project Objective: To create an enabling environment for the realization of the National Land Degradation Neutrality Target and to mainstream biodiversity-friendly agricultural practices in the Cagayan de Oro River Basin (CDORB) through national policy framework implementation and capacity strengthening.	**Mandatory Indicator 1:** Number of hectares of productive lands managed through direct SLM and BDFA practices and principles implementation, replications and policy interventions[1] [2]. Contributes to GEF core indicator 4 sup-indicator 4.1 and 4.3 Contributes to the National LDN target 1	Kalawaig Sub-watershed 0 ha Bubuwanan Sub-watershed 0 ha Batang Sub-watershed 0 ha Bulaong Sub-watershed 0 ha Tumalaong Sub-watershed 0 ha Picalin Sub-watershed 0 ha Mawala Sub-watershed 0 ha Manigui Sub-watershed 0 ha	Kalawaig Sub-watershed 2,000 ha Bubuwanan Sub-watershed 2,000 ha Batang Sub-watershed 1,000 ha Bulaong Sub-watershed 1,000 ha Tumalaong Sub-watershed 1,000 ha Picalin Sub-watershed 1,000 ha Mawala Sub-watershed 400 ha Manigui Sub-watershed 400 ha	Kalawaig Sub-watershed 13,000 ha Bubuwanan Sub-watershed 13,500 ha Batang Sub-watershed 7,000 ha Bulaong Sub-watershed 7,000 ha Tumalaong Sub-watershed 6,500 ha Picalin Sub-watershed 1,500 ha Mawala Sub-watershed 2,500 ha Manigui Sub-watershed 2,000 ha	*Means of verification:* Reports from MNCs, cooperatives, village communities, tribal organizations and local extension services as well as Consultant reports, and Office reports from local government partners, and other partners. Gazette amendments to Comprehensive Land Use Plans (CLUP) and other Government plans etc. *Assumptions:* Project activities are well designed and relevant to target groups (including farmers) and the local benefits of the project interventions (including livelihood improvements) are well demonstrated and documented, providing for sufficient interest by stakeholders *Risks:* Local stakeholders show little or no interest in project BDFA and SLM practices and are therefore not interested in undertaking an upscaling of project developed initiatives on their own accord.

	Mandatory Indicator 2: Number of hectares of riverine *areas, in the CDORB 8 sub-watersheds, under restoration*[3]. Contributes to GEF core indicator 3 sub-indicator 3.1 Contributes to the National LDN target 1[4]	0 ha	1000 ha	5,000 ha	*Means of verification:* Consultant reports, Subcontractor reports, and Office reports from local government partners, and other partners. *Assumptions:* Project activities are well designed and relevant to target groups (including farmers) and the local benefits of the project interventions are well demonstrated and documented, providing for sufficient interest by stakeholders *Risks:* Local farmers and IPs show little or no interest in using existing and new PES options to engage in project restoration activities and are therefore not interested in undertaking an upscaling of project developed pilots on their own accord.

	Mandatory Indicator 3: Number of stakeholders directly benefitting from the project?s activities and outputs. Contributes to GEF Core Indicator 11 -	0 Female 0 Male	11,000 Female 11,500 Male	36,600 Female 38,400 Male	*Means of verification:* Consultant reports, Subcontractor reports, and Office reports from local government partners, and other partners. *Assumptions:* Project activities are well designed and relevant to target groups who have an interest in improving their knowledge, skill set and livelihood options *Risks:* Project activities are not deemed interesting/relevant by direct beneficiaries who will refrain from participating
	Mandatory Indicator 4: tCO2e emission avoided through direct SLM and BDFA practices and principles implementation, replications and policy interventions. [Estimated Based on 20-Year Period] Contributes to GEF core indicator 6 sub-indicator 6.1	0 tCO2e	1,000,000 tCO2e	5,016,638 tCO2e	*Means of verification:* Data from indicator 1 & 2 above. *Assumptions:* Please see assumptions 1 & 2 above. *Risks:* Please see risk 1 & 2 above.
Project component 1	National LDN and BDFAP policy created and implementation capacity strengthened.				

Project Outcome 1: Enabling policy environment created for LDN and BDFAP and capacity for integrated landscape management enhanced at sub-national level leading to improved biodiversity and ecosystem services in the Cagayan de Oro River Basin.	*Indicator 5:* Number of policy instruments supporting LDN and BDFA approved, measured by: 5.1) Number of Joint Administrative Orders (LDN and BDFAP) and 5.2) Number of CDORB LGUs Comprehensive Land Use Plans (CLUP) amended[5].	5.1) 0 (BDFAP and LDN JAOs not developed.) 5.2) 0 (5 LGU CDORB Comprehensive Land Use Plans (CLUP) not amended.)	5.1) 0 (BDFAP JAO developed and under review by agencies and stakeholders and LDN JAO under development.) 5.2) 0 (Amendments to 5 LGU CDORB Comprehensive Land Use Plans (CLUP) developed and under review by agencies and stakeholders.)	5.1) 2 (LDN and BDFAP JAO approved.) 5.2) 5 (Amendments to 5 LGU CDORB Comprehensive Land Use Plans (CLUP) approved.)	*Means of verification:* Documentation from Department of Agriculture and Department of Environment and Natural Resources *Assumptions:* With the signing of the GEF project the Government of the Philippines commits to the project?s approach and advocated government cooperation and thus confirmed that the project remains in line with Government?s vision for the long-term transformative change in support of the LDN target/priority and BDFAP framework implementation. *Risks:* The Philippines Government will lessen or withdraw its support for LDN, SLM and BDFA and will therefore not adopt the LDN and BDFAP JAOs

	Indicator 6: UNDP capacity development scorecard scores of national and sub-national level entities involved in basin management (i.e. DA National, DA Region, DENR National, DENR Region, NCIP, Provincial Government t of Bukidnon, Municipality of Talakag, Municipality of Libona, Municipality of Baungon, Cagayan de Oro City and Iligan City)	DA National (S=31) DA Region (S=41) DENR National (S=36) DENR Region (S=33) NCIP (S=30) CDORBMC (S=30) Prov Govt of Bukidnon (S=23) Municipality of Talakag (S=23) Municipality of Libona (S=25) Municipality of Baungon (S=16) Cagayan de Oro City (S=35) Iligan City (S=24)	DA National (S=34) DA Region (S=45) DENR National (S=39) DENR Region (S=36) NCIP (S=33) CDORBMC (S=33) Prov Govt of Bukidnon (S=25) Municipality of Talakag (S=25) Municipality of Libona (S=27) Municipality of Baungon (S=18) Cagayan de Oro City (S=38) Iligan City (S=26)	DA National (S=38) DA Region (S=49) DENR National (S=44) DENR Region (S=40) NCIP (S=36) CDORBMC (S=36) Prov Govt of Bukidnon (S=28) Municipality of Talakag (S=28) Municipality of Libona (S=30) Municipality of Baungon (S=20) Cagayan de Oro City (S=42) Iligan City (S=29)	*Means of verification:* Capacity Development Scorecard survey during formulation (**Annex 19**), at mid-term and at project completion. *Assumptions:* Government institutions, as project stakeholders and partners have an interest in building their internal capacity related to LDN, SLM BDFA practices and watershed management, as well as retaining their staff. *Risks:* Lack of interest within government institutions for engaging their staff in the project?s capacity building activities. In addition, high staff turnover can reduce the long-term institutional knowledge built through project activities.

Outputs to achieve Outcome 1	**Output 1.1:** Joint Administrative Orders for i) BDFAP and ii) LDN implementation, which includes mechanisms for effective multi-sectoral coordination and mainstreaming, developed and signed by relevant entities. **Output 1.2:** Guidelines for preparing multi-sectoral LDN and BDFA projects and accessing the global LDN Fund and other funding mechanisms prepared, to increase the fund infusion for LDN and BDFA including sustainable use and conservation of important local varieties and traditional crops. **Output 1.3:** Trade-off and development strategies analysis for management options optimizing ecological, social and economic benefits at basin level developed and used by planners and practitioners in CDORB. **Output 1.4:** Existing Comprehensive Land Use Plans at CDORB level are revised and approved, so as to optimize ecological, social and economic benefits at the basin level. **Output 1.5:** Technical capacity of CDORB Management Council (CDORBMC) and other sub-national level entities is build enabling the use of decision-support tools, hereby enhancing the ability for integrated landscape management. **Output 1.6:** Technical capacity of River Basin Management Councils of five priority river basins and other relevant entities, for implementation of integrated landscape management approaches, enhanced and five strategic workplans towards enhancing the river basin management plans in the five priority river basins approved.				
Project component 2	Demonstration of sustainable land management and biodiversity friendly agricultural practices.				
Outcome 2: Improved management of 58,000 ha of cultivated landscapes ensured by small holder farmers, IP communities and multi-national companies through adoption of sustainable land management and biodiversity friendly agriculture practices.	*Indicator 7:* Percent increase in capacity survey scores of the IP communities? ability to actively engage in integrated landscape management[6].	Talaandigs (Score (S) TBD in Year 1)[7] Higaonons (Score (S) TBD in Year 1)	Talaandigs 10% Higaonons 10%	Talaandigs 20% Higaonons 20%	*Means of verification:* Capacity Development Scorecard survey Baseline within first year of project implementation, at mid-term and at project completion. *Assumptions:* Communities, as project stakeholders and partners have an interest in building their internal capacity related to LDN, SLM BDFA management to improve local resilience and livelihoods as well as to manage local watersheds. *Risks:* Lack of interest within communities for engaging in the project?s capacity building activities.

	Indicator 8: Number of households[8], involved in improved cropland management using BDFA and SLM practices, with a minimum of 10% increase in household?s income.	0	500	2,500	*Means of verification:* Reporting from engaged training entities including local extension services. *Assumptions:* local communities, as project stakeholders and partners have an interest in building their internal capacity related to LDN, SLM BDFA management to improve local resilience and livelihoods as well as to manage local watersheds. *Risks:* Lack of interest within local communities and stakeholders for engaging in the project?s capacity building activities.

	Indicator 9: Extent to which CDORB framework for PES is developed and used by LGUs and other stakeholders to develop individual mechanisms, following the framework guidance and strategic approach.	There is no PES framework developed for CDORB	A PES framework is developed under the auspices of the CDORBMC ready for use by CDORB LGUs and other interested stakeholders	At least two PES mechanisms developed by CDORB LGUs and other interested stakeholders are ready and call for proposals are made.	*Means of verification:* CDORB framework for PES published by CDORBMC *Assumptions:* CDORB stakeholders (government and non-government alike) maintain their interest, and current trend, for developing PES mechanism, which will have the aim to benefit suppliers and buyers of ecosystem services as well as the public at large in the CDORB. *Risks:* Inherited complications in developing a PES framework, as well as in developing the individual mechanisms will discourage stakeholders in bring such mechanism to fruition.
Outputs to achieve Outcome 2	**Output 2.1:** SLM and BDFA practices adopted in productive landscapes in the CDORB by government, private sector and local stakeholders. **Output 2.2:** Selected traditional agrobiodiversity farming systems demonstrated and replicated, by local stakeholders and IP communities, as viable SLM and BDFA options for managing ecosystem services and biodiversity in cropland, as well as for income generation. **Output 2.3:** Markets and marketing strategies developed, including for at least three specialty products, from traditional agrobiodiversity systems and new community-based livelihood models created. **Output 2.4:** Five SLM and BDFA related payment for ecosystem services and/or other incentive schemes developed and implemented.				
Project component 3	Gender, awareness-raising, knowledge management and monitoring and evaluation.				

Outcome 3: Capacity and awareness of stakeholders raised on LDN, SLM and BDFA practices and integrated landscape management approaches by effective gender sensitive knowledge management, and project M&E ensured	*Indicator 10:* Percent increase in awareness, knowledge, and capacity of project stakeholders [measured through changes in Knowledge, Attitudes and Practices (KAP) survey scores][9]	a) National, Regional and Provincial state actors (Score (S) TBD in Year 1) b) Municipal Local Government Units (LGU) and participating Barangays (S=TBD) c) Academe, Research, and Science Institutions in CDORB (S=TBD) d) Multinational companies, large agri-businesses etc. (S=TBD) e) Indigenous peoples and other community groups (S=TBD) f) Women and youth (S=TBD) g) NGO, CSO, Farmers? Groups, Cooperatives (S=TBD) h) Development Partners (S=TBD)	No mid-term target	a) National, Regional and Provincial state actors 20% b) Municipal Local Government Units (LGU) and participating Barangays 20% c) Academe, Research, and Science Institutions in CDORB 20% d) Multinational companies, large agri-businesses etc. 20% e) Indigenous peoples and other community groups 20% f) Women and youth 20% g) NGO, CSO, Farmers? Groups, Cooperatives 20% h) Development Partners 20%	*Means of verification:* KAP reports prepared within the first year of the project and during the last year of the project. *Assumptions:* The project?s awareness and knowledge management activities will make use of current day communication channels etc. to facilitate broad scale communication and dissemination. *Risks:* The project?s awareness and knowledge management activities do not reach beneficiaries, stakeholders and the general public in a sufficient way to effectively build awareness in a measurable way.

	Indicator 11: Number of annual platform visits to the online knowledge exchange portal.	0	500	1000	*Means of verification:* Website reports. *Assumptions:* The online knowledge exchange portal is extensively promoted, and stakeholders have an interest in obtaining LDN, SLM and BDFA Management related information. *Risks:* Government staff working on LDN, SLM and BDFA and other relevant stakeholders including farmers and research institutions are not interested in using the platform - or do not know about it, resulting in low platform visits.

	Indicator 12: Number of persons reached through the project?s learning and communication events in CDORB and the five priority river basins.	0	52,000	150,000	*Means of verification:* Consultant reports, Subcontractor reports, Office reports from local partners. Statistics from project websites and applications (Facebook, Twitter etc.) *Assumptions:* Project activities are well designed and relevant to target groups who have an interest in improving their knowledge, skill set and livelihood options *Risks:* Project activities are not deemed interesting/relevant by direct beneficiaries who will refrain from participating.
Outputs to achieve Outcome 3	**Output 3.1:** Gender, knowledge and communication products on processes, good practices, innovations, lessons learnt, and outcomes developed and disseminated to stakeholders including extension workers, NGOs, farmers, youth/students, local government officials and globally through communication and knowledge management (KM) platforms (i.e. Exposure and Panorama). **Output 3.2:** Traditional agrobiodiversity knowledge and practices, including the use of agrobiodiversity systems, assessed and documented. **Output 3.3:** Knowledge sharing events organized, including cross-farm visits, Local Government Units field trips, and IP learning exchanges to disseminate project-generated experiences, knowledge and lessons learnt to broad-based stakeholder groups. **Output 3.4:** Online knowledge exchange portal established and maintained at designated government department to ensure long-term sustainability and continuous development of the platform content. **Output 3.5:** Gender Action Plan, Environment and Social Management Framework/FPIC process, Stakeholder Engagement Plan, KAP surveys and project activities effectively implemented and monitored.				

[1] The project intervention area was determined using land use map data (Environment Science for Social Change (ESSC)/Bukidnon Environment and Natural Resources Office (BENRO) using 10-meter resolution data from the EU Copernicus Sentinel -2 satellite

[2] The project will achieve this through a mix of direct interventions, replications and policy interventions within the CDORB during the project implementation period. For further information please see Project Document **Annex 10** (*Landscape profile and situation analysis*)

[3] While the overall area of interventions has been determined (i.e. 5,000 ha), the specific site for the restoration, within the 8 sub-watersheds, will be determined through extended stakeholder consultations within the first year of the project. This will include consultations with the IP communities and these consultations will be part of the mandatory FPIC process and FPIC approval.

[4] Attain LDN in: At least 60% (4.05 M ha) of degraded forest, shrubland, and wetlands by 2030 and achieve the balance by 2040 and at least 50% (2.2 M ha) of degraded croplands by 2030 and achieve the balance by 2040.
[5] The mentioned CLUP amendment refers to the adoption of LDN, SLM and BDFA amendments in the sections of the CLUP relevant for agriculture, natural resource management, landscape management etc. not the entire CLUP.

[6] The capacity survey will be based on the UNDP Capacity Development Score Cards but adapted so that they are relevant for the IP communities and the project activities. The scorecards will be fully developed during the first year of project implementation and the scorecard exercise will be undertaken in conjunction with the mandatory FPIC process. Although to be refined a first draft of the capacity survey can be found in the Project Document **Annex 20**.

[7] As no project activities aside from consultations can/could be undertaken without the approval of a mandatory FPIC, the capacity survey can only be undertaken in conjunction with or immediately following the completion of the FPIC process.

[8] According to Philippines Statistical Agency the average household size in Region 10 in which CDORB is located was 4.5 in 2015 (latest data). Further of the total population of 4,689,302 women constated 48.9 % in 2015. https://psa.gov.ph/statistics/quickstat/regional-quickstat/2018/Region%20X%20%28Northern%20Mindanao%29

[9] KAP surveys will be conducted in the first and last year of the project implementation. For the KAP framework document please see Project Document **Annex 28**.

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

Comment	Response	Project Document Reference
GEF Secretariat Comments (17 July 2017)		
During the PPG phase, we request further examination and justification of the overall global environmental importance of the target area for intervention, including more clearly linking how proposed activities will generate biodiversity benefits across the landscape.	During the PPG phase the overall global environmental importance of the Cagayan de Oro River Basin (CDORB) has been further investigated through literary research as well as consultation with academia and government stakeholders within the CDORB. The findings have been summarized in the Project Document Annex 10 *Landscape profile and situation analysis* as well as included in the Project Document and the CEO Endorsement Request. Furthermore, the link between the project?s introduction and mainstreaming of sustainable land management (SLM) and biodiversity friendly agriculture (BDFA) and the generation of biodiversity benefits across the productive landscape including agroforestry areas within the CDORB has been further elaborated on in the CEO Endorsement Request as well as outlined in the Project Document.	Project Document Section IV: Results and Partnerships (Sub-section: Global Environmental Benefits) pages 24-27 Project Document Annex 10 *Landscape profile and situation analysis* CEO Endorsement Request Part II: Project justification sub-section 6 Global Environmental Benefits pages31-33

Comment	Response	Project Document Reference
We encourage further review of this estimate (i.e. EXACT tool) during PPG phase	During the PPG phase the carbon sequestration data was further analyzed using 2018 land cover data. The resulting detailed information on the main cropping systems in the CDORB were used to refine the EXACT tool calculations. Using the 2018 land cover data and the resulting data for land use have resulted in a new tCO2eq estimates of 5,009,136 (up from tCO2eq 3,418,697)	Project Document Section IV: Results and Partnerships (Sub-section: Global Environmental Benefits) Project Document Annex 24 *FAO EXACT Tool* CEO Endorsement Request Part I: Project information sub-section E (Project target contribution to GEF 7 core indicators), and Part II: Project justification sub-section 6 (Global Environmental Benefits).
Scientific and Technical Advisory Panel (STAP) comments (26 May 2020)		

Comment	Response	Project Document Reference
The STAP review notes that ?*Although a theory of change is not explicitly provided, there are multiple references to this and the level of project detail provides adequate assurance that this will be generated in due course*". It further notes that ?*Adequate description provided even though specific section or diagram was not included. This is noted as being part of the project development phase*.?. Finally, it notes that ?*Theory of change is referenced a few times and the project narrative is adequate in coverage. This is noted as being part of the project development phase*.?	The projects Theory of Change has been further elaborated and a Theory of Change diagram has also been included in the Project Document. Both outlines the narrative and diagram explain the causal link between the problems/barriers the project seeks to address, the intermediate steps to be taken by the project to bring about the needed change for obtaining the long-term outcomes. Assumptions and impact drivers have also been defined. The development of the project Theory of Change has been done in collaboration with project stakeholders (i.e. the project?s Technical Working Group) and followed UNDP guidance on Theory of Change development. The project further drew insight from the STAP?s theory of change primer: https://www.stapgef.org/theory-change-primer	Project Document Section III: Strategy (Sub-section: Theory of Change)
The STAP review notes that the project barriers and threats have been indirectly noted at the PIF stage.	During the PPG phase the project engaged in the further expansion of the project?s baseline information including the landscape profiling and situation analysis. Through this the current status in the CDORB were defined/refined including drivers for land degradation and ecosystem deterioration, as well as the barriers hindering change were further elaborated on. The project documentation has been further strengthened by the inclusion of a problem analysis, which highlights the project approach towards addressing the negative impacts of environment and ecosystem mismanagement.	Project Document Section II: Development Challenge Project Document Annex 10 *Landscape profile and situation analysis*

Comment	Response	Project Document Reference
Regarding whether activities will be implemented to increase the project?s resilience to climate change the STAP review notes that ?*Identified in Risk 4 and also private sector partners who will work on project have committed to climate risk and resilience development*.?	The climate and disaster risk to the project was further investigated during the PPG phase as part of the project?s stakeholder consultations. The project also reviewed the climate and disaster risk to the project using the World Bank tool https://climatescreeningtools.worldbank.org/ . The subsequent findings were used in support of the preparation of the UNDP Social and Environment Screening Procedures (SESP). As part the risk assessment, the project developed climate risk mitigation strategies specifically related to project implementation, the long-term sustainability of the project benefits and climate adaptation mal practices. Further the project?s focus on SLM and BDFA practices are closely related to climate change adaptation and climate resilience within the farming systems including those of IP communities and Conservation Based Forest Management communities. The project?s trainings (output 2.1) as well as the Project Document Annex 34 *Catalogue of SLM and BDFA practices* underlines the project approach related to this comment.	Project Document Section IV: Results and Partnerships (Sub-section: Outline of project components, outcomes and outputs) Project Document Annex 25 *World Bank Climate and Disaster Assessment* Project Document Annex 5 *Social and Environment Screening Procedures* Project Document Annex 34 *Catalogue of SLM and BDFA practices*
Regarding whether gender considerations could hinder full participation of an important stakeholder group (or groups) the STAP review notes that it possibly could. Hence triggering the question how will these obstacles be addressed?	During the PPG phase a full gender analysis and gender action plan were developed, through an extensive stakeholder consultation process. As part of this gender discrimination and potential gender-based violence were identified as project risks during the SESP process, and management measures were listed in response. The developed gender action plan has been closely aligned with the project?s activities to ensure that gender mainstreaming and empowerment of women becomes part of all project activities to the extent possible. In addition, the project?s gender engagement has been elaborated in the Project Document bringing in information from the PPG phase.	Project Document Section III: Strategy (Gender equality and Women?s Empowerment) Project Document Annex 5 *Social and Environment Screening Procedures* Project Document Annex 12 *Gender Analysis and Gender Action Plan*

Comment	Response	Project Document Reference
The STAP review notes that there (at the PIF stage) is a partial recognition of previous projects and the learning derived from them. Please discuss how this has been further improved during the PPG phase by referencing to specific text on the ProDoc	During the PPG phase the project engaged in the further expansion of the project?s baseline information including the landscape profiling and situation analysis and the policy and program analysis. These analyses further identified (and/or verified) information on project related projects and programs with which it would be beneficial for the project to engage with or draw lessons from. The main partnerships and associated project/programs have been briefly outlined in the Project Document, whereas more detailed information can be found in the Project Document annexes Annex 10 *Landscape profile and situation analysis* and Annex 11 *Policy and Program baseline*. In addition, Annex 9 *Description of project activities* also provide guidance as to how and where the project is to interact with ongoing projects and programs implemented by the Philippine Government and other stakeholders.	Project Document Section II: Development Challenge (Baseline scenario and associated projects) Project Document Section III: Strategy (Partnership) Project Document Annex 9 *Description of project activities* Project Document Annex 10 *Landscape profile and situation analysis* Project Document Annex *11 Policy and Program baseline*
Comments from Council Members		
Germany Comments (18 June 2020)		
Germany recommends addressing the implications of the ongoing Covid-19 pandemic on the implementation methodology in the full project proposal.	COVID-19 has been taken fully into account during the project development and the project?s responses and safeguards have been included into the full project proposal. The project?s Social Environmental Screening Procedures (SESP) includes a specific focus on COVID-19 and three of the project risks are related to COVID-19. In addition, a specific annex reviewing the COVID-19 situation in the Philippines and how the project?s engagements will support the building back stronger efforts of the UN and the Philippine Government is included in the Project Document as its Annex 26 COVID-19 Analysis and response.	Project Document Section IV: Results and Partnerships (Sub-section: Risk) Project Document Annex 26 *COVID-19 Analysis and response*

Comment	Response	Project Document Reference
With regards to scaling up results of pilot cases towards national policies, more details on how to achieve validity in all three main regions of the Philippines (Luzon, Visayas, Mindanao) would be welcomed.	The project will be facilitating the scaling-up of the project approaches through two distinct pathways. Through the project?s capacity building and CDORB trade-off analysis work the Local Government Units (LGU) (i.e. Municipalities of Libona, Talakag and Baungon and the cities of CDO and Iligan) will be capacitated and will thus have the tools and means to undertake similar work for other river basins (or river sections) within their auspices. Furthermore, the project will under its output 1.6 work directly with five priority river basins (i.e. Cagayan, Pampanga, Mindanao, Agusan, and Iloilo-Batiano) through their river basin management councils. The engagement with the five management councils are described in the ?Outline of project components, outcomes and outputs? sub-section of the Project Document?s Results and Partnership section, the CEO Endorsement Request section 1a. Project Description sub-section 3) the proposed alternative scenario with a brief description of expected outcomes and components of the project. Furthermore, expanded description of the project?s engagement is included in Annex 9 *Description of project activities*	Project Document Section IV: Results and Partnerships (Sub-section: Outline of project components, outcomes and outputs) CEO Endorsement Request Part I: 1a. Project Description ? sub-section 3) the proposed alternative scenario with a brief description of expected outcomes and components of the project, and Project Document Annex 9 *Description of project activities*

Comment	Response	Project Document Reference
Germany would like to highlight the important issue of mining activities in Mindanoa and many other river basins.	Limited mining operations has been operational in the CDORB, but these were closed down before 2013. During the stakeholder consultation mining was not raised as an area of contention in terms of land-use or in terms of impacting the environment (water etc.). While small scale quarrying in the river or along the banks do occur and has been reported as being a source of local livelihood, these activities would not impact on the projects SLM and BDFA interventions in the productive landscape. The quarrying of river will however have impact on the river ecology and river flow patterns. Thus, these issues are expected to be part of the project?s trade-off analysis work (output 1.3) and would/could be reflected in the local policy work under output 1.4. In this connection, the following text is included in the ?Outline of project components, outcomes and outputs? sub-section of the Project Document?s Results and Partnership section - ?*Available trade-off analysis tools for integrating ecosystem services into decision-making will be a pivoting point in the work under this output, to ensure that sound land use decisions that enhances the river basin integrity and sustain the basins ecological service and local livelihood systems. The trade-off analysis will not only look at the productive landscape, but at the basin as a whole where impacts from rural and semi-rural construction, effects of deforestation (past and present) and for instance mining and quarrying (past and present) will be looked at, where sand and gravel extraction supporting local livelihoods forms part of the latter*.? Similar text is included in the CEO Endorsement Request section 1a. Project Description subsection 3) the proposed alternative scenario with a brief description of expected outcomes and components of the project. Text to this effect is also included in Annex 9 *Description of project activities*	Project Document Section IV: Results and Partnerships (Sub-section: Outline of project components, outcomes and outputs) CEO Endorsement Request Part I: 1a. Project Description - subsection 3) the proposed alternative scenario with a brief description of expected outcomes and components of the project, and Project Document Annex 9 *Description of project activities*

Comment	Response	Project Document Reference
Further, Germany would appreciate seeing the critical role of land ownership and land tenure addressed, given the context of past violent conflicts, controversial laws and limited access to the judicial system in Mindanao.	The project will be working directly with farmers and farmer organizations (and companies) as well as Indigenous Peoples communities and Community Based Forest Management (CBFM) agreement holders. The project?s engagement with these groups, and individuals under these, will be on a voluntary basis. That said, the issue of land tenure is an important underlying issue which the project has looked at during the PPG process, including via the SESP. And while land tenure issues do not appear to be predominant within the CDORB it is still a matter to be dealt with, with caution and severity. Thus, the project will as part of its Environment and Social Management Framework (ESMF) engagement during the first year of project implementation undertake Environment and Social Impact Assessments of the main intervention landscapes (i.e. smallholder farmers, IP communities/Ancestral Domain Lands, CBFM and Multinational Companies/large agribusinesses.). As noted in the ESMF (Project Document Annex 14 *Environmental Social Management Framework ESMF)* project activities involving these landscapes (and their respective groups) cannot be initiated until, not currently addressed, safeguards and remedying actions has been put in place as prescribed in the ESIA and outlined in the Project?s Environment and Social Management Plan. The project?s use of ESMF and the need for ESIA and ESMP (to be undertaken and prepared during the first year of project implementation) is mentioned in the Project Document?s sub-section ?Outline of project components, outcomes and outputs? and the risk sub-section. The CEO Endorsement Request also makes reference to this in section 1a. Project Description sub-section 3) the proposed alternative scenario with a brief description of expected outcomes and components of the project and sub-section 5) Risk.	Project Document Section IV: Results and Partnerships (Sub-section: Outline of project components, outcomes and outputs; and Subsection: Risks) CEO Endorsement Request Part I: 1a. Project Description ? sub-section 3) the proposed alternative scenario with a brief description of expected outcomes and components of the project, and sub-section 5) Risk Project Document Annex 6 *Social and Environment Screening Procedures* Project Document Annex 14 *Environmental Social Management Framework ESMF*
France Comments (24 June 2020)		

Comment	Response	Project Document Reference
Favorable opinion with a recommendation: include a component covering enhanced water usage efficiency and agroecology in the capacity-building program: ?training focused on Sustainable Land Management (SLM) and biodiversity-friendly agricultural Practices (e.g. use and preservation of indigenous/traditional crop varieties.?	The list of anticipated trainings to be provided to local farmers, IP communities and Conservation Based Forest Management communities etc. include aspects of water usage such as: ? On farm soil and water conservation including water retention and enhanced water use efficiency. ? Protection of water resources that support agricultural systems. ? Consideration of the micro watershed as framework for planning on farm soil conservation works. Agroecology is also extensively covered under the common denominator of BDFA. The training components under the project (output 2.1) and how they are to be engaged in are briefly outlined in the Project Document and the CEO Endorsement Request with more expanded documentation in the Project Document Annex 9 *Description of project activities*. In addition, the Project Document Annex 34 *Catalogue of SLM and BDFA practices* outlines a broader sub-set of existing management options and practices in support of SLM and BDFA.	Project Document Section IV: Results and Partnerships (Subsection: Outline of project components, outcomes and outputs) Project Document Annex 9 *Description of project activities.* Project Document Annex 34 *Catalogue of SLM and BDFA practices.* CEO Endorsement Request Part II: Project justification sub-section 3) the proposed alternative scenario with a brief description of expected outcomes and components of the project.
United States Comments (2 July 2020)7/2/2020		
The United States requests that this project is circulated to the Council for a four-week review period prior to CEO endorsement.	Subsequent to the GEF SEC for CEO Endorsement request, the GEF Program Manager is expect to facilitate the relevant project documents circulation with the Council prior the CEO endorsement.	

ANNEX C: Status of Utilization of Project Preparation Grant (PPG). (Provide detailed funding amount of the PPG activities financing status in the table below:

PPG Grant Approved at PIF: **150,000**	
Project Preparation Activities Implemented	***GETF/LDCF/SCCF Amount ($)***

	Budgeted Amount	*Amount Spent Todate*	*Amount Committed*
Component A: Preparatory Technical Studies and Reviews **1.** Engagement of Local PPG Team a. ational Natural Resources Management (NRM) and Sustainable Land Management Specialist(Lead National Consultant) b. National Biodiversity and SLM Policy Specialist c. National Stakeholder Engagement and Gender Specialist d. National Environmental and Social Safeguard Specialist e. Project Coordinator	96,492.68	67,234.61	29,258.07
2. Desktop and field-based studies and data collection a. Desktop reviews b. Gender Analysis c. Environmental and Social Safeguards Assessments d. Identification of project sites e. Financial Planning f. National and Site Level Inception Workshops g. Field Missions for Data Gathering	6,553.44	6,553.44	0
Component B: Formulation of the UNDP-GEF Project Document, CEO Endorsement and Mandatory and Project Specific Annexes 1. Engagement of International Project Development Specialist who was responsible for the consolidation and finalization of all required documents (i.e., Project Document, CEO Endorsement Request, Annexes), with a specific focus on the following areas: a. Theory of Change b. Results Framework c. Monitoring and Evaluation Plan and Budget d. Stakeholder Engagement Plan e. Gender Action Plan and Budget f. Social and Environmental Standards g. GEF Core Indicators h. Project Management Arrangements i. Completion of the required official endorsement letters	39,165.00	19,582.50	19,582.50
2. Technical Working Group Meetings and other Consultation Meetings	5,378.06	0	5,378.06

Component C: Validation Workshop and Report	2,410.82	2,410.82	0
Total	150,000.00	95,781.37	54,218.63

ANNEX D: Project Map(s) and Coordinates

Please attach the geographical location of the project area, if possible.

The Cagayan de Oro river basin (CDORB) drains to the Macajalar Bay in Misamis Oriental, in Northern Mindanao region and lies between 8o31?20.58 and 7o56?10.55? North and 124?30?28.08? and 124?51?11.12? East. Please, see Figure 1 for the project area map. Full landscape profile documentation, including detailed maps of the project targeted landscapes are provided in Annex 10. In addition, please do also see Figure 3 below providing data on the CDORB 2018 land cover data.

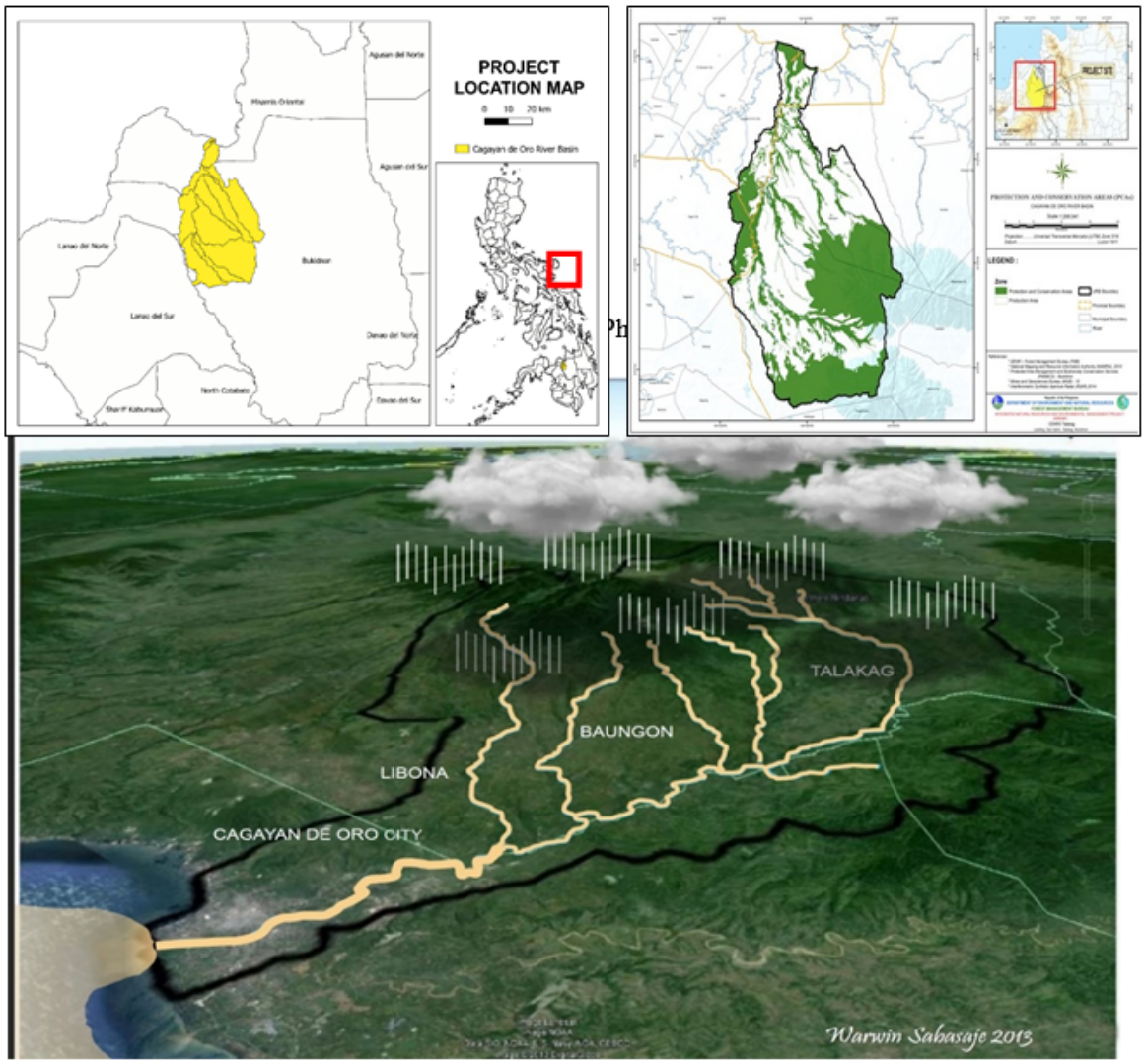

Figure 2. Perspective view of CDORB, its key tributaries and local governments entities (CDORBMC, 2020)

Figure 3: CDORB 2018 land cover data

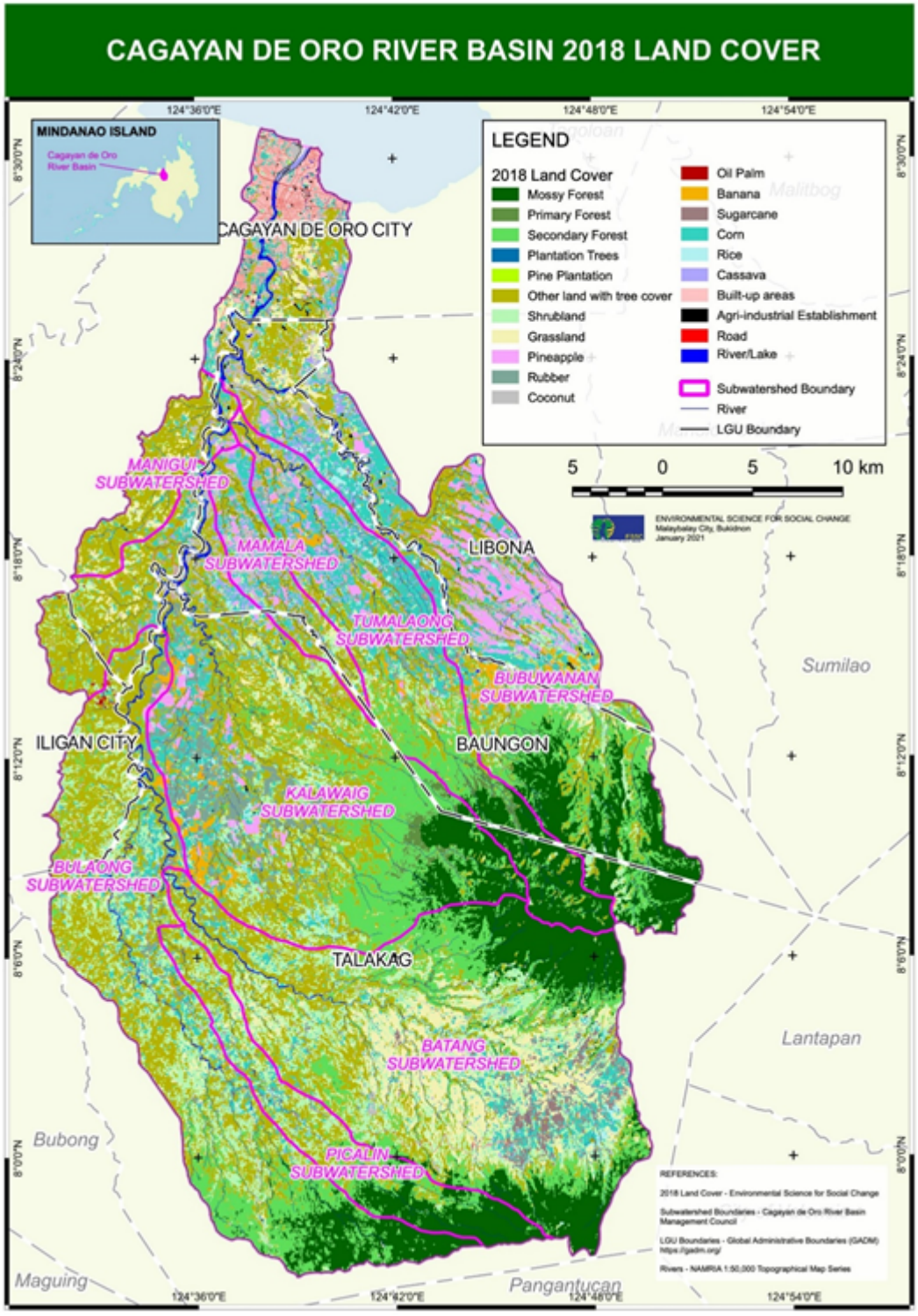

Figure 4. Artist's rendition of CDORB showing the ridge and upstream areas (left) midstream (mostly farms) and downstream and mouth of river in Cagayan de Oro City. (CDORBMC)

ANNEX E: Project Budget Table

Please attach a project budget table.

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
		Sub-component 1.1	*Sub-component 2.1*	*Sub-component 3.1*					
Equipment	These are costs of IT equipment to be procured for use of project staff at the PMU (laptops, printer/scanner, LCD, projector)						$ 10,000	$ 10,000	DA-BSWM
UNDP Execution Support	Direct Project Cost: Please see annex 2 for details (USD 5,140 year 1; 5,159 year 2; 5,599 year 3; 4,894 year 4 and 5,070 year 5) Total cost USD 25,862.						$ 25,862	$ 25,862	DA-BSWM/UNDP
Contractual services-Individual	Development Communications Specialist	$ 33,000	$ 33,000	$ 66,000	$ 132,000			$ 132,000	DA-BSWM
	Gender and ESS Specialist	$ 44,000	$ 44,000	$ 44,000	$ 132,000			$ 132,000	DA-BSWM
	Chief Technical Advisor	$ 75,000	$ 75,000	$ 30,000	$ 180,000			$ 180,000	DA-BSWM
	Admin and Finance Officer	$ 8,442	$ 8,442	$ 8,442	$ 25,326			$ 25,326	DA-BSWM
	Project Coordinator						$ 37,530	$ 37,530	DA-BSWM
	Admin and Finance Officer						$ 30,954	$ 30,954	DA-BSWM
	Project Coordinator					$ 45,870		$ 45,870	DA-BSWM
	SLM and BDFAP Specialist	$ 81,000	$ 81,000		$ 162,000			$ 162,000	DA-BSWM
Contractual Services-Company	Technical assistance by research institutions, consultancies, companies or other service providersagrobiodiversity knowledge and practices			$ 45,000	$ 45,000			$ 45,000	DA-BSWM
	Development of Knowledge Hub and provide assistance to Information Management System in CDORB			$ 81,502	$ 81,502			$ 81,502	DA-BSWM
	KAP survey			$ 31,166	$ 31,166			$ 31,166	DA-BSWM
	Free Prior and Informed Consent process with indigenous peoples communities			$ 31,250	$ 31,250			$ 31,250	DA-BSWM
	Technical assistance by research institutions, consultancies, companies or Knowledge Hub and provide assistance to Information Management System in CDORB under component 3.	$ 6,000			$ 6,000			$ 6,000	DA-BSWM
	Development the trade-off analysis approach and on coaching the LGUs and the Council on conduct of trade-off analysis and its application on local development planning and implementation processes.	$ 92,850			$ 92,850			$ 92,850	DA-BSWM
	Integrating SLM and BDFA in CLUP Planning through its five phase modular approach.	$ 53,925			$ 53,925			$ 53,925	DA-BSWM
	Development of trade-off analysis training: This is sub-contract that will be given to an academic institution working on trade-off analysis and landscape management.	$ 70,000			$ 70,000			$ 70,000	DA-BSWM
	Develop the training packages needed for SLM and BDFA on-the-ground implementation by local stakeholders.		$ 257,000		$ 257,000			$ 257,000	DA-BSWM
	Provide technical assistance for indigenous peoples planning for Ancestral Domains		$ 50,000		$ 50,000			$ 50,000	DA-BSWM
	Provide technical assistance for IPs on SLM and BDFA		$ 116,500		$ 116,500			$ 116,500	DA-BSWM
	Provide technical assistance for CBFMA holders		$ 94,500		$ 94,500			$ 94,500	DA-BSWM
	Provide technical assistance for LGUs small farmers		$ 102,500		$ 102,500			$ 102,500	DA-BSWM
	Engagement with MNCs (private sector) and large agribusiness		$ 40,000		$ 40,000			$ 40,000	DA-BSWM
	Demonstration and replication of selected traditional agrobiodiversity farming systems		$ 100,000		$ 100,000			$ 100,000	DA-BSWM
	Training in traditional farming systems		$ 50,000		$ 50,000			$ 50,000	DA-BSWM
	Conduct of market analysis and value chain work		$ 78,000		$ 78,000			$ 78,000	DA-BSWM
	Conduct of livelihood capacity building and business development		$ 92,000		$ 92,000			$ 92,000	DA-BSWM
	Farm and eco-tourism development and set-up		$ 68,000		$ 68,000			$ 68,000	DA-BSWM
	Development of PES mechanisms within CDORB		$ 94,700		$ 94,700			$ 94,700	DA-BSWM
International Consultants	Independent Environmental and Social Safeguards Specialist with international experience (to prepare the full ESIA, ESMP, SESA)			$ 25,000	$ 25,000			$ 25,000	DA-BSWM
	Midterm Review Consultant					$ 18,750		$ 18,750	DA-BSWM/UNDP
	Terminal Evaluation Consultant					$ 18,750		$ 18,750	DA-BSWM/UNDP
Local Consultants	Midterm Review Consultant					$ 15,000		$ 15,000	DA-BSWM/UNDP
	Terminal Evaluation Consultant					$ 15,000		$ 15,000	DA-BSWM/UNDP
	M&E Community Facilitator					$ 7,000		$ 7,000	DA-BSWM/UNDP
	Audio-Visual Consultant			$ 46,250	$ 46,250			$ 46,250	DA-BSWM
	Policy Specialist	$ 22,500			$ 22,500			$ 22,500	DA-BSWM
	BDFAP Certification Specialist	$ 13,500			$ 13,500			$ 13,500	DA-BSWM
	Project Development and Financing Specialist	$ 12,000			$ 12,000			$ 12,000	DA-BSWM
Training, Workshops, Meetings	Inception Workshop					$ 8,000		$ 8,000	DA-BSWM
	Technical trainings, workshops, seminars	$ 222,000		$ 54,167	$ 276,167			$ 276,167	DA-BSWM
	PMU related meetings						$ 7,000	$ 7,000	DA-BSWM
Travel	Travels Inception Workshop and Technical Components	$ 80,000	$ 33,000	$ 127,500	$ 240,500		$ 4,500	$ 245,000	DA-BSWM
	Travels for Midterm and Terminal Evaluations					$ 21,500		$ 21,500	DA-BSWM
Office Supplies	Cost of supplies in the implementation of activities and workshops such bond papers, kits, printing supplies.	$ 28,500			$ 28,500			$ 28,500	DA-BSWM
Other Operating Costs	Knowledge Management, Communication & Audio Visual Equip.	$ 49,000			$ 49,000			$ 49,000	DA-BSWM
	Printing and Audio/Visual		$ 33,138	$ 35,500	$ 68,638			$ 68,638	DA-BSWM
	Financial Audit						$ 40,000	$ 40,000	UNDP
Grand Total		$ 891,717	$ 1,450,780	$ 625,777	$ 2,968,274	$ 149,870	$ 155,846	$ 3,273,990	

ANNEX F: (For NGI only) Termsheet

Instructions. Please submit an finalized termsheet in this section. The NGI Program Call for Proposals provided a template in Annex A of the Call for Proposals that can be used by the Agency. Agencies can use their own termsheets but must add sections on Currency Risk, Co-financing Ratio and Financial Additionality as defined in the template provided in Annex A of the Call for proposals. Termsheets submitted at CEO endorsement stage should include final terms and conditions of the financing.

ANNEX G: (For NGI only) Reflows

Instructions. Please submit a reflows table as provided in Annex B of the NGI Program Call for Proposals and the Trustee excel sheet for reflows (as provided by the Secretariat or the Trustee) in the Document Section of the CEO endorsement. The Agencys is required to quantify any expected financial return/gains/interests earned on non-grant instruments that will be transferred to the GEF Trust Fund as noted in the Guidelines on the Project and Program Cycle Policy. Partner Agencies will be required to comply with the reflows procedures established in their respective Financial Procedures Agreement with the GEF Trustee. Agencies are welcomed to provide assumptions that explain expected financial reflow schedules.

ANNEX H: (For NGI only) Agency Capacity to generate reflows

Instructions. The GEF Agency submitting the CEO endorsement request is required to respond to any questions raised as part of the PIF review process that required clarifications on the Agency Capacity to manage reflows. This Annex seeks to demonstrate Agencies? capacity and eligibility to administer NGI resources as established in the Guidelines on the Project and Program Cycle Policy, GEF/C.52/Inf.06/Rev.01, June 9, 2017 (Annex 5).