ANNUAL PROGRESS REPORT[1]

YEAR 2022

Empowered lives.
Resilient nations.

A. BASIC INFORMATION

Project ID / Output ID	**128629 / 122575**	**Reporting Date**:	**1/5/2023**
Full Title:	**Strengthening Institutions and Localities against Disasters and Climate Change (SHIELD)**		
Start Date:	**6/15/2022**	**Completion Date** (and approved extension, if any)**:**	**9/30/2028**
Total Project Fund (and fund revisions, if any)**:**	USD 13,148,283	**Annual Project Fund: AWP Budget (2022)**	USD 680,874.35
Implementing Partner:	**United Nations Development Programme, National Resilience Council, Philippine Business for Social Progress, Consortium of Bangsamoro Civil Society, United Nations Human Settlement Programme**		
Donor/s:	**Australia -Department of Foreign Affairs and Trade**		
Responsible Parties:	**United Nations Development Programme**		
Project Description	The Philippines is the third most disaster-prone and fifth most exposed to climate change impacts globally. Climate change is exacerbating the impacts of weather-related events in the Philippines. With 7,000+ islands and major coastal population centres, it is highly exposed to rising sea levels and extreme weather events, and associated storm surges and flooding. The Philippines is one of the fastest growing economies in Southeast Asia and plays an important role in the stability of the region. Environmental degradation and more frequent climatic events are likely to be key political, economic, and security disrupters over the longer term. Humanitarian crises can undermine growth, reverse development gains, increase poverty, and cause instability that can last for decades. The nexus between gender equity, disability, and social inclusion (GEDSI), disaster risk reduction and management (DRRM), and climate change adaptation (CCA) is a well- established human development issue. Climate change and inequality interlink to create a vicious vulnerability-poverty cycle. Socio-economic inequalities are a key determinant in the disproportionate adverse effects of climate hazards on marginalized people and these impacts in turn create greater inequality and marginalisation. At the same time, disasters and conflict are integrally linked to the broader national development context in which they occur and can contribute to each other by making a situation better or worse The Government of Australia (GOA) is investing AUD18 million in the Strengthening Institutions and Empowering Localities Against Disasters and Climate Change (SHIELD) Program to support the Government of the Philippines (GPH) in building institutional and community resilience to climate change and natural hazards. The goal of the SHIELD Program is to make all people in target communities safer and more resilient to the impacts of natural hazard events and climate change. Following the Call for Proposals by DFAT which led to the identification of a UNDP-led consortium of partners, the objective of the Initiation Plan is to conduct the inception phase and prepare the Project Document for the SHIELD Program. ***Guidance:*** *Provide a brief introduction of the project so that even someone who is not familiar with the project (e.g. staff in donors' HQs) will get a good sense of what the project is about and what it is trying to change—i.e. results it is trying to produce. [2000 characters max]*		
Target Group	**Local governments, national agencies**		

[1] UNDP CO Template for project Annual Progress Reporting; Updated: September 2018.
Deadlines: Draft APR due November 30th and Final APR due January 15th of the following year.

B. INDICATIVE/EMERGING RESULTS OF THE PROJECT and LESSONS LEARNED

B.1 CPD Outcome alignment	2: Urbanisation, economic growth, and climate change actions are converging for a resilient, equitable, and sustainable development path for communities.
B.2 CPD Output indicator alignment *[Choose between 1-3 applicable indicators]*	*2.1.1 Number of UNDP-assisted LGUs with risk-informed development and investment plans, integrating solutions for disaster risk reduction (DRR) and climate change adaptation and mitigation [IRRF 2.3.1.1]* *2.2.1 Extent to which low emission and climate-resilient development targets are reflected in national plans, strategies, and budgets, local development plans, strategies, and budgets, and private sector business plans and strategies [IRRF 2.1.1.1]* Choose an item.

- *Provide quarterly updates (quantitative or qualitative) for each CPD output indicator selected (e.g. No. and name of LGUs for indicator 1.1.1).*
- *Describe key CPD output level results that were achieved as planned. Explain why output-level results were not achieved as planned*
- *Reflect on external factors that constrained performance*

[1000 characters max. per CPD output]

For 2.1.1. and 2.2.1: +0 LGUs for the 3rd quarter of 2022, noting that the SHIELD Programme is still in its inception/initial phase. However the provinces of Albay and Agusan Del Sur have been covered by scoping missions within the quarter, and the scoping missions are meant to identify entry points and appropriate interventions by the Programme that are aligned with these indicators/results, as the SHIELD Programme intends to support LGUs in enhancing their resilience and leveraging finance to implement resilience actions.

Indicator statement: *2.1.1 Number of UNDP-assisted LGUs with risk-informed development and investment plans, integrating solutions for disaster risk reduction (DRR) and climate change adaptation and mitigation [IRRF 2.3.1.1]*

Baseline		**Target**	**Result**	**End of Project Target**
Year	**Quantity/ Points /Rating**	**2022 (Cumulative)**	**2022 (Cumulative)**	**2028 (cumulative)**
2020	**9 provinces/cities**	**0 provinces/cities**	**0 provinces/cities**	**12 provnces/cities**

Indicator statement: *2.2.1 Extent to which low emission and climate-resilient development targets are reflected in national plans, strategies, and budgets, local development plans, strategies, and budgets, and private sector business plans and strategies [IRRF 2.1.1.1]*

Baseline		**Target**	**Result**	**End of Project Target**

Year	Quantity/ Points /Rating	2022 (Cumulative)	2022 (Cumulative)	2028 (cumulative)
2020	9 provinces/cities	0 provinces/cities	0 provinces/cities	12 provnces/cities

B.3 SP Output Alignment	*Indicate other applicable SP output indicators outside the CPD. See [link] for full list of indicators.*

B.4 Top three key results achieved in 2022

Guidance: *Use the following criteria for selection of key project outcome/output-level results i) results that directly contribute to CPD outputs; ii) results that contribute to gender equality; iii) results that contribute to capacity development or policy making; iv) result in which significant proportion of the annual budget is spent; and v)) any other result that is important for the project for that year.* ***In selecting key results, think about what your team is most proud of achieving during the year****. Disaggregated data (sex, age, social group, etc) must be used to the extent possible when reporting on beneficiaries. [1,500 characters max. per key result]*

2022 was a challenging year for project implementation, as challenges related to the securing of the Special Presidential Authority (SPA) hindered implementation until the second half of the year. Despite this, UNDP continued to finalize and deliver the final project document (portfolio document) and recruit a dedicated Programme Manager to oversee the day to day operations and implementation of the project. UNDP was also able to secure the SPA around the same time (June 2022), which formally allowed implementation activities to start. UNDP also inked a Memorandum of Understanding with the Department of the Interior and Local Government (DILG) on 28 June 2022, formalizing the project's partnership with the government.

During the second half of 2022, internal activities were concentrated to facilitating the release of funds to consortium partners so they can implement the activities, and in parallel setting up the project and its implementation structures. Highlights/key results for 2022 include a) the set-up of program management and decision making structures; b) formalization of partnerships with 2 of 4 targeted priority provinces for the year; and c) support to national government policies on climate change adaptation and disaster risk reduction.

Set-up of program management and decision making structures

After fulfilling the administrative requirements to start programme implementation, UNDP promptly acted to assemble a project team to oversee the day-to-day operations and management of SHIELD. Starting with the recruitment of the Interim Programme Adviser in June, onboarding of other key personnel continued throughout the year until December 2022. Similarly, Consortium Partners gradually staffed up their own project teams in 2022. By end of 2022, a total of 6 of 11 identified staffing positions have been filled.

The Executive Committee and Program Board were also convened in August and September 2022, respectively, which established the decision-making structures for SHIELD. The Program Board approved the SHIELD Work Plan and budget for July 2022 to June 2023. The Board also agreed on its Terms of Reference (TOR) which defined the purpose, composition, responsibility and scope of authority of the Board.

One of the early challenges in programme implementation was the lack of clarity on the governance and coordination arrangements among Consortium Partners. While the Partnership Cooperation Arrangements details what each Partner will deliver, it was discussed among Consortium Partners to have an accompanying document that lists down some of the operational details of the partnership. To address this, a Harmonization Workshop was conducted in 8-11 November 2022 to agree on the roles and responsibilities of Partners, scope and manner of arriving at decisions as a Consortium, coordination with government partners and other stakeholders, communications and visibility. The results of the workshop served as building blocks in developing an Operations Manual of the Consortium.

Formalization of partnerships with 2 of 4 targeted priority provinces

UNDP signed Memorandum of Understanding (MOU) with Agusan del Sur and Northern Samar in December 2022. Through the MOU, SHIELD and the provinces agreed to jointly conceptualize, design and implement projects that will build the resilience of communities against disasters and climate change.

The engagement with the provinces started with the scoping missions conducted between September to November 2022. A mission team consisting of members from the Department of the Interior and Local Governance (DILG) and the SHIELD consortium (which includes UNDP, UN-Habitat, National Resilience Council, Philippine Business for Social Progress, and Consortium of Bangsamoro Civil Society) has been assembled to carry out the scoping missions– representatives from the Australian Embassy also took part in these missions. The scoping missions set out to understand the challenges, opportunities, and capacities that exist in the provinces, particularly in the areas of:

- *Risk-based planning, investment programming, and access to climate and disaster financing opportunities;*
- *Establishment and implementation of Multistakeholder Partnerships;*
- *Design and implementation of Value Chain Systems and Analysis and Business*
- *Continuity Planning;*
- *Establishment and management of data ecosystems to support resilience actions and decision-making;*
- *Addressing capacity development needs;*
- *Establishment of Monitoring, Evaluation, and Learning systems.*

Results of the mission informed the development of an engagement strategy in the provinces, particularly on Outcome 1. Potential program focus was also identified for each province:

- *Agusan del Sur - Resilient enterprise or livelihood development to support their poverty reduction priorities;*
- *Northern Samar - Risk-informed planning and decision making;*
- *Albay - Use of predictive analytics for real-time forecast and decision making;*
- *Cebu - Potential capacity building on land use planning to low-income municipalities, if there's uptake from the province*

Following the MOU signing, action planning exercises were scheduled in early 2023 in Agusan del Sur and Norther Samar. SHIELD Technical Working Group were also organized as counterpart to the SHIELD Consortium and to lead program activities in these provinces.

The change in political leadership in Albay put on hold the activities of SHIELD in the province, including the planned MOU signing in December 2022. A courtesy call with the new Albay governor and the governor of Cebu were planned in first quarter 2023.

A consultation workshop was also conducted in BARMM in December 2022 where 41 representatives from government, civil society and academe (i.e., Ministry of Interior and Local Government, Bangsamoro Women's Commission, Kalimudan sa Ranao Foundation, Inc., Women's' Organization of Rajah Mamalu Descendants, Ministry of Indigenous Peoples' Affairs, Ministry of Agriculture, Fisheries and Agrarian Reform, Bangsamoro Planning and Development Authority, Office of Civil Defense – BARMM, Ministry of Social Srvices and Development, Institute for Peace and Development – Mindanao State University) actively participated. Results of the workshop showed that the BARMM has a variety of valuable resources including human and natural resources, funding, tourist attractions, existing disaster risk reduction and management plans, and a clear government structure. Ongoing projects include the updating and formulation of DRRM plans, training, information campaigns, and community response teams. However, additional funding is needed for specialized DRRM training, social protection, and agri-fishery projects.

The partnership with DILG facilitated the outreach to provinces. DILG organized regional and provincial SHIELD focal persons to coordinate SHIELD's interaction with provincial officials and functionaries. To prepare for the scoping missions, UNDP conducted two batches of orientation for the DILG focal persons in August 2022. A total of 44 regional and

provincial focal persons participated. The activity clarified the coordination arrangements and responsibilities of the DILG focals and the Consortium Partners. The familiarity of DILG focals on the socio-political conditions of the provinces greatly informed the mission's design and itinerary.

Support to national government policies on climate change adaptation and disaster risk reduction.
SHIELD partially supported the conduct of the Mid-term Review of the Sendai Framework of Action and Short-term Review of the NDRRM Plan. The review was completed and presented to the National Disaster Risk Reduction and Management (NDRRMC) council in October 2022. The results of the review may be utilized in DRR-related policy recommendations in the country, program directions for NDRRMP programs, projects and activities and updating of the Philippine Development Plan (PDP).

None of the planned studies and assessments were accomplished in 2022 because of several factors. Foremost is the lack of staff complement in the SSU to manage the simultaneous priorities SHIELD. Nonetheless, a research firm was contracted in December 2022 to undertake a series of assessments and analyses on the various dimensions of LGU capacities such as i) political economy, ii) data governance and digitization/e-government, iii) risk-informed planning, investment programming, and funding/financing, iv) program monitoring, evaluation, and learning, and v) private sector engagement, value chains, and business continuity of the four priority provinces. The study will commence in 2023 and will inform the formulation of strategies and interventions that will be delivered by SHIELD.

A TOR was also drafted for the conducted of the Humanitarian-Development-Peace (HDP) Nexus Analysis in BARMM. The study will commence in 2023, which will inform the selection of priority LGUs in BARMM and strategies and interventions that will be delivered by SHIELD.

B.5 Lessons learned and ways forward

Guidance: *Mention the key lessons learned from project implementation, and how these lessons will guide us in the future. Please mention any "best" practices which UNDP should be aware of. Please be specific. [2,000 characters max.]*

Consortium approach in programme implementation allows SHIELD to leverage the expertise and network of each Consortium Partner to achieve the overall goal of helping communities and institutions build resilience to disasters and climate change. In principle, this enables the programme to reach a wider base of stakeholders and achieve more impact. However, as each individual partner has its own mandate, management system and interest, there are challenges to maximize the benefits of a consortium approach. This includes: alignment of implementation strategies, unclear roles and responsibilities of each stakeholder, undefined decision-making processes, and communication and branding strategy as a consortium. Moving forward next quarter, the SHIELD Consortium will jointly develop a terms of reference that will clarify and address these challenges. The TOR should address real and potential challenges of a consortium approach, such as those pertaining to:

- Purpose of the consortium, to capture agreements and commitments reached during the design phase of the programme
- Partners Roles and Responsibilities – clarify lead and support roles of each consortium partne
- Decision-making processes and structures – what type of decisions should be done as a consortium, and what can be done individually?

Communication and Branding – what are the protocols for branding knowledge products produced through the partnership? How do we ensure common messaging across partners?

C. TECHNICAL ACCOMPLISHMENTS

- *Evidence-based reporting – include relevant reports/publications and/or photo-documentation (description, date, location) as an annex.*
- *Quarterly financial performance is reported in the FACE Form. Please ensure consistency of technical accomplishments with the submitted Quarter FACE form and the AWP.*
- *Interim annual financial performance data is reported in the APR.*

EXPECTED OUTPUTS

Output 1. *Technical reports prepared*

OUTPUT NARRATIVE

Guidance: Highlight results achieved from outputs below. If the result for output indictors are not met /achieved, please explain the probable reasons behind this result. [1,500 characters]

In continuation of the Project Initiation Phase (PIP), for 2022 the Programme aimed to deliver the final Project Document (portfolio document). This involved the convening of the Technical Working Group composed of representatives from Consortium Partners, together with the Initiation Plan Team and its pool of technical consultants to produce the project document and move the Programme out of the PIP stage to implementation.

There was an agreement within the Consortium to reevaluate and update the background documents and material used during the development of the proposal, as well as updating the information from the Investment Design Development (IDD) stage from the donor (DFAT) to make the Project Document more relevant and responsive to the current circumstances. For Output 1, the studies/components integrating into the document, such as GEDSI and SESP, were prepared. As there has been a growing recognition of the pandemic as a shock affecting the resiliency of systems, the PIP also supported a study on greening the country's recovery strategy, which was seen to complement SHIELD's eventual implementation on the ground. The study resulted into a comprehensive report providing the evidence base for adopting green and resilient recovery framework that is seen to drive positive development outcomes. Overall, the technical assessments upon which the Project Document is built have been completed, to be transformed as key annexes of the final Project Document for submission and approval (see Outputs 2 and 3).

Project Output Indicator/s[2]	Baseline		QUARTER Result[3]	Annual Target (Annual)	Cumulative Result (from Start Year) Start year: 2021	Cumulative Target for the year (from Start Year) Start year: 2021	End-of-Project Target End year: 2022
1.1 Technical assessments meet requirements of ProDoc	**2020**	**Technical assessments completed during IDD preparation stage**	**Technical assessments updated and ProDoc completed and signed**	**Technical assessments completed during IDD**	**Technical assessments updated for ProDoc**	**Technical assessments completed during IDD**	**Technical assessments completed during IDD**

[2] Please ensure consistency with ProDoc and AWP indicators.

[3] Use traffic light to indicate progress vis-à-vis annual output targets in AWP: Green (Completed), Yellow (Ongoing), Red (Delayed/Not started). Data provided can be qualitative or quantitative based on the nature of the output indicator [UNDP PHL CO Data Clean-up Guidelines].

								preparation stage updated for ProDoc development	submission and approval	preparation stage updated for ProDoc development	preparation stage updated for ProDoc development
	Physical Performance			Financial Performance							
Activity/Sub-Activity Description	**Activity Target[4]**	**Activity-level Accomplishment for the QUARTER**	**Status of Activity[5]**	**Planned Budget**	**Donor and Budget Code**	**Expenditure** *Expense + commitment + advances*	**Delivery Rate** *(cumulative expenditure/ planned budget) *100*	**REMARKS** • *Explain if expenditure and budget deviation exceeds 10%* • *Mention bottlenecks and plans to address them* • *Explain why activity indicator targets were not met*			
Planned Activity 1.1 Organize TWG	Technical working group for SHIELD created, with representation from consortium members and stakeholders from national government	Completed in Q2		22,000.00	11854/64300	21,969.00	99.86%				
Planned Activity 1.2 Identify entry points for COVID-19 Recovery and Resilience	Mapping of entry points for integration of COVID-19 recovery and resilience in SHIELD program	Completed in Q2		22,989.58	11854/71300	12,992.51	56.51%				
Planned Activity 1.3 Review and update GEDSI analysis undertaken at IDD stage	Updated GEDSI analysis/report/section on ProDoc	Completed in Q2		25,502.96	11854/71400	25,502.96	100.00%				
Planned Activity 1.4 Review and update SESP	Updated SESP analysis/report/section on ProDoc	Completed in Q2		62,573.72	11854/71600	46,839.14	74.85%				

[4] Specify units, e.g., number of trainings, number of participants, number of representations, etc.
[5] Use traffic light to indicate progress vis-à-vis timelines assigned for planned activities.

undertaken during IDD stage								
Planned Activity 1.5 **Review prioritization criteria of LGUs, conduct consultations and identify year 1 priority sites**	Updated prioritization and phasing of target LGUs	Completed in Q2		149,204.43	11854/72100	758.77	0.51%	
Planned Activity 1.6 **Review and update the political economy analysis done in the IDD stage**	Updated political economy analysis/report/section on ProDoc	Completed the procurement of a consulting firm (Philippine Society for Public Administration) to conduct the Political Economy analysis, Capacity Assessment, and Engagement Strategy (Contract between PSPA and UNDP has been signed)		2,733.79	11854/72500	855.44	31.29%	
Planned Activity 1.7 **Conduct the humanitarian, development, and peace nexus analysis for BARMM**	Analysis on humanitarian, development and peace nexus for BARMM	Ongoing discussions with Consortium of Bangsamoro Civil Society and key BARMM partners on the planning/TOR for the HDP analysis.		7,000.14	11854/74200	0.00	0.00%	

Planned Activity 1.8 Implementation activities for 2022	2022 Consortium Program Implementation Plan created	Conducted a planning workshop with Consortium members which resulted into the creation of the 2022 AWP, Consortium Roles and Responsibilities Framework, Scoping Mission Design, LGU + BARMM Engagement Plan, and MSP TOR which will set up the fundamental activities of the project in future years		17,380.43	11854/74500	9,466.98	54.47%	
	Presentation to government partners (DILG, OCD, and DOST) conducted	Conducted a Partners' Meeting with key government agencies which involved the presentation of the 2022 work plan, Program Board meeting agenda, and proposed Program Board composition & TOR to secure buy-in and support.		14,081.80	11854/75100	10,719.22	76.12%	
	DILG Regional Coordinators convened and oriented on roles and responsibilities	DILG Regional Coordinators from Regions 1, 2, 3 4A, 5, 7, 8, 11 13, Metro Manila, and BARMM were		15,580.99	11854/75700	10,635.46	68.26%	

		convened and comprehensively orientated on SHIELD to facilitate coordination between the project/Consortium members, which will result in smoother on-ground implementation.						
	First Executive Committee (Execomm) and Program Board (PB) Meetings conducted	The initial set of high-level meetings (Executive Committee among UNDP, DILG, and DFAT, and Program Board among 11 agencies) was conducted to discuss the responsibilities of the two governance mechanisms and secure conditional approval of the 2022-2023 AWP. Key agreements made were the approval of a 10% tolerance threshold for the budget, representation of MSPs at the PB, and the conduct of an annual SHIELD learning exchange forum. These executive meetings formally provided						

		the green light for ground implementation activities to commence.						
	Scoping missions in the four priority provinces (Albay, Agusan Del Sur, Cebu, Northern Samar) and one special region (BARMM) conducted with Consortium partners	Scoping Missions in the Province of Albay (Sept. 12-15), Agusan Del Sur (Sept. 21-24), Cebu (Oct. 03-05), Northern Samar (Oct. 18-21), and the BARMM region (Dec. 01-03) were sequentially conducted and potential entry points and interventions identified.						
	SSU together with the Consortium partners held a Ceremonial Signing of the Memorandum of Understanding (MOU) with the Province of Northern Samar and Agusan del Sur	Institutionalized the partnership between UNDP-SHIELD and the Province of Agusan del Sur and Northern Samar through a Memorandum of Understanding. The ceremonial signing with the provinces were held on Dec. 09 and December 12, respectively.						
	First SHIELD Consortium	The SSU organized a Harmonization Workshop with the						

	Harmonization Workshop conducted	Consortium Partners which resulted in the consortium's alignment of activities and initiatives, the refinement of the work and financial plan for 2023 and the drafting of the Consortium Standard Operating Procedures and implementing guidelines.						
	SHIELD Year-end Review and 2023 Work and Financial Planning	The SSU conducted a Year-end review and Work planning for the 2023 Annual Work Plan. The existing bottlenecks and potential roadblocks that may impede the efficient implementation of the project were identified and given proper solutions. Moreover, the 2023 AWP was drafted and is currently being finalized for submission.						

EXPECTED OUTPUTS

Output 2. *ProDoc and mandatory annexes prepared and approved*

OUTPUT NARRATIVE

Guidance: Highlight results achieved from outputs below. If the result for output indictors are not met /achieved, please explain the probable reasons behind this result. [1,500 characters]

Building on the results achieved from Output 1, the Initiation Plan Team undertook the initial series of consultations with stakeholders to validate the technical assessments, which also entailed iterations of work and budget planning to feed into the final Project Document. The final Project Document, including the multiyear/phased work and financial plan, as well as the technical annexes have been completed. Consortium Partners have undergone the necessary assessments required from Implementing partners for UNDP projects, and the project entries have been entered into Atlas.

Project Output Indicator/s	Baseline		QUARTER Result	Annual Target (Annual)	Cumulative Result (from Start Year) Start year: 2021	Cumulative Target for the year (from Start Year) Start year: 2021	End-of-Project Target End year: 2022
2.1 ProDoc with complete annexes completed	**2020**	**DFAT IDD and UNDP proposal completed**	**ProDoc meeting quality criteria and ready for submission to LPAC**	**ProDoc meeting quality criteria and ready for submission to LPAC**	**ProDoc met quality criteria and submitted to LPAC**	**ProDoc meeting quality criteria and ready for submission to LPAC**	**ProDoc meeting quality criteria and ready for submission to LPAC**

	Physical Performance			Financial Performance				
Activity/Sub-Activity Description	**Activity Target**	**Activity-level Accomplishment for the QUARTER**	**Status of Activity**	**Planned Budget**	**Donor and Budget Code**	**Expenditure** *Expense + commitment + advances*	**Delivery Rate** *(cumulative expenditure/ planned budget) *100*	**REMARKS** • *Explain if expenditure and budget deviation exceeds 10%* • *Mention bottlenecks and plans to address them* • *Explain why activity indicator targets were not met*
Planned Activity 2.1 Review background documents (IDD, technical annexes, and technical reports)	Reference documents compiled and reviewed for updating	Completed in Q2		17,975.00	11854/64300	17,975.00	100.00%	
Planned Activity 2.2 Conduct consultations with stakeholders	At least 4 consultations	Completed in Q2		11,432.35	11854/71300	68.08	0.60%	

Planned Activity 2.3 Conduct activity and financial planning	1 planning workshop	Completed in Q2		725.89	11854/71400	725.89	100.00%	
	Work and Financial Planning with the Office of Civil Defense (OCD)	Conducted a planning workshop with the OCD which involved the preparation and presentation of the Work and Financial plan for the OCD-led activities under Component 2 from November 2022- January 2023.						
Planned Activity 2.4 Prepare Draft ProDoc and Annexes	Draft ProDoc with complete draft annexes	Completed in Q2		4,731.66	11854/71600	4,731.66	100.00%	
Planned Activity 2.5 Conduct TWG review meetings	At least 3 TWG review meetings	Completed in Q2		160.93	11854/72500	43.62	27.10%	
Planned Activity 2.6 Undertake capacity assessment of partners using Partner Capacity Assessment Tool (PCAT)	Completed PCAT for 4 consortium members	Completed in Q2		13,661.89	11854/74500	7,704.00	56.39%	
Planned Activity 2.7 Undertake Harmonized Approach to Cash Transfer (HACT) assessment of partners	Completed HACT microassessment for 3 consortium members	Ongoing procurement of service provider for spot checks; microassessment was completed in 2021		2,663.74	11854/75100	2,632.01	98.81%	
Planned Activity 2.8 Perform QA on Project Design	QA for design phase completed	Completed in Q2		3,202.91	11854/75700	1,676.66	52.35%	

EXPECTED OUTPUTS

Output 3. *ProDoc and mandatory annexes prepared and approved*

OUTPUT NARRATIVE

Guidance: Highlight results achieved from outputs below. If the result for output indictors are not met /achieved, please explain the probable reasons behind this result. [1,500 characters]

The Project Document has been signed on 17 June 2022, subjected to the standard vetting and appraisal procedures.

Project Output Indicator/s	Baseline		QUARTER Result	Annual Target (Annual)	Cumulative Result (from Start Year) Start year: 2021	Cumulative Target for the year (from Start Year) Start year: 2021	End-of-Project Target End year: 2022
3.1 ProDoc ready for LPAC	**2020**	**DFAT IDD and UNDP proposal submitted**	**Signed ProDoc**	**Signed ProDoc**	**ProDoc approved and signed**	**Signed ProDoc**	**Signed ProDoc**

	Physical Performance			Financial Performance				
Activity/Sub-Activity Description	**Activity Target**	**Activity-level Accomplishment for the QUARTER**	**Status of Activity**	**Planned Budget**	**Donor and Budget Code**	**Expenditure** *Expense + commitment + advances*	**Delivery Rate** *(cumulative expenditure/ planned budget) *100*	**REMARKS** • *Explain if expenditure and budget deviation exceeds 10%* • *Mention bottlenecks and plans to address them* • *Explain why activity indicator targets were not met*
Planned Activity 3.1 Conduct validation workshop	1 validation workshop with stakeholders			4,000.00	11854/64300	3,958.00	98.95%	
Planned Activity 3.2 Organize LPAC	1 LPAC meeting			29,716.29	11854/71300	29,715.69	100.00%	
Planned Activity 3.3 Prepare LPAC documentation and submit ProDoc for signing	Final ProDoc with complete final annexes			13,878.29	11854/71600	12,678.33	91.35%	
				1,700.00	11854/74500	1,696.00	99.76%	

				5,000.00	11854/75100	5,691.17	113.82%	
				3,000.00	11854/75700	2,075.84	69.19%	
				24,000.00	11854/77300	23,132.66	96.39%	

EXPECTED OUTPUTS

Output 4. *ProDoc and mandatory annexes prepared and approved*

OUTPUT NARRATIVE

Guidance: Highlight results achieved from outputs below. If the result for output indictors are not met /achieved, please explain the probable reasons behind this result. [1,500 characters]

Project Output Indicator/s	Baseline		QUARTER Result	Annual Target (Annual)	Cumulative Result (from Start Year) Start year: 2021	Cumulative Target for the year (from Start Year) Start year: 2021	End-of-Project Target End year: 2022
4.1 Extent to which recovery and resilience-building interventions implemented in disaster-affected areas are more responsive due to improved PDNA and planning	**2020**	**Not adequately – Absence of PDNA-informed recovery and resilience-building plans**	**Largely – Recovery and resilience-building interventions implemented in disaster-affected areas are more responsive due to improved PDNA and planning**	**Largely – Recovery and resilience-building interventions implemented in disaster-affected areas are more responsive due to improved PDNA and planning**	**Largely – Recovery and resilience-building interventions implemented in disaster-affected areas are more responsive due to improved PDNA and planning**	**Largely – Recovery and resilience-building interventions implemented in disaster-affected areas are more responsive due to improved PDNA and planning**	**Largely – Recovery and resilience-building interventions implemented in disaster-affected areas are more responsive due to improved PDNA and planning**

	Physical Performance	Financial Performance	

Activity/Sub-Activity Description	Activity Target	Activity-level Accomplishment for the QUARTER	Status of Activity	Planned Budget	Donor and Budget Code	Expenditure *Expense + commitment + advances*	Delivery Rate *(cumulative expenditure/ planned budget) *100*	**REMARKS** • *Explain if expenditure and budget deviation exceeds 10%* • *Mention bottlenecks and plans to address them* • *Explain why activity indicator targets were not met*
Planned Activity 3.1 Conduct of post-disaster needs assessment in target areas	Post-disaster needs assessment report in target areas	Completed		115,616.71	11854/71300	99,551.04	86.10%	
Planned Activity 3.2 Prepare Recovery, Rehabilitation and Resilience Plan	Local recovery, rehabilitation and resilience plans developed	Completed		7,105.04	11854/74100	5,488.30	77.25%	
Planned Activity 3.3 Support to implementation of priority recovery and resilience activities	Recovery and resilience interventions implemented	Completed		47,000.00	11854/72100	46,920.00	99.83%	
				10.00	11854/72400	9.61	96.10%	
				35.12	11854/72500	35.12	100.00%	
				27,644.94	11854/72800	22,331.81	80.78%	
				8,500.00	11854/74100	8,386.60	98.67%	
				65.75	11854/74500	0.00	0%	

D. PARTNERSHIPS

Name of Partner	Type	Description of partnership and how it has contributed to project results or sustainability
Provincial Government of Northern Samar	Local Government Unit	Memorandum of Understanding between UNDP/SHIELD and the provincial government for the implementation of the project and its activities. The MOU serves as a formal cooperation agreement (short of a Memorandum of Agreement, but without the transfer or commitment of financial resources) between the parties, defining the scope and areas of collaboration.
Provincial Government of Agusan del Sur	Local Government Unit	Memorandum of Understanding between UNDP/SHIELD and the provincial government for the implementation of the project and its activities. The MOU serves as a formal cooperation agreement (short of a Memorandum of Agreement, but without the transfer or commitment of financial resources) between the parties, defining the scope and areas of collaboration.

Was South-South and Triangular Cooperation promoted and utilized through the project?	☐ **Yes** ☒ **No**
If yes, briefly explain how. List down countries engaged.	**[500 characters]**

E. INFORMATION, COMMUNICATION, EDUCATION, AND KNOWLEDGE MANAGEMENT

IEC/Knowledge Product Produced in 2022	Type	Date Published/Produced	Target audience	**Link** (if available)
SHIELD Program video	Video	**6/30/2022**	Public	
SHIELD project brief	Brochure	**6/30/2022**	Public	

Was the project cited/quoted/featured in media reports/articles? *If yes, please provide link to article/video.*	DILG and UNDP sign MOU to strengthen local and community-level disaster and #climateresilience July 1, 2022 https://www.undp.org/philippines/press-releases/dilg-and-undp-sign-mou-strengthen-local-and-community-level-disaster-and-climate-resilience

	https://www.facebook.com/undp.ph/posts/pfbid0MQqWrQRQ1o22ix9ewVM4D6j3ctqgN2DuwofmSDsrYiTqq3pYSkou9HiqMKKUYYr6l https://www.instagram.com/p/CfdTHJwpcde/ https://twitter.com/UNDPPH/status/1542739387850448896?cxt=HHwWgICjnZXT9OgqAAAA https://www.pressreader.com/philippines/businessmirror/20220707/281852942273583 #NDRM2022: We are working with our #PartnersAtCore to strengthen disaster and #climateresilience in the Philippines! Under the **Strengthening Institutions and Empowering Localities Against Disasters and Climate Change** (SHIELD) Programme, we target to accelerate #resiliencebuilding efforts against natural hazards and #climatechange by empowering local governments and communities. July 14, 2022 https://www.facebook.com/watch/?v=7717312385005969 https://twitter.com/UNDPPH/status/1547526627420418053?cxt=HHwWisDRvZfR9fkqAAAA SHIELD signing of Memorandum of Understanding (MOU) with Northern Samar December 12, 2022 https://www.undp.org/philippines/press-releases/undp-officially-inks-shield-partnership-northern-samar https://www.facebook.com/undp.ph/posts/pfbid0AufRZvWXZzGv6dAsuzyNV2NumLF4eT7tmhHLx8Sd4ERpM5iKGrYGh1vCfWfBwNUJl https://www.instagram.com/p/CmD0u3BPSZK/ https://twitter.com/UNDPPH/status/1602205828022685696?cxt=HHwWgMDSxcbtlrwsAAAA https://tribune.net.ph/2022/12/10/undp-beefs-up-northern-samar-disaster-resiliency/ https://www.leytesamardailynews.com/northern-samar-in-2022-sustaining-progress-in-2023/ SHIELD signing of Memorandum of Understanding (MOU) with Agusan del Sur December 15, 2022 https://www.undp.org/philippines/press-releases/undp-forges-collaborative-shield-partnership-agusan-del-sur https://www.facebook.com/undp.ph/posts/pfbid02JjsFBbZ3EGRJStJGFNxukZQpRQhNufYfbo6ZvgBcm3uPvFnPuSUdoXNnzEwS26kTl https://www.instagram.com/p/CmLP5U4PoO6/ https://twitter.com/UNDPPH/status/1603250744928661505?cxt=HHwWgsDTldyD8r8sAAAA https://www.undp.org/philippines/press-releases/australia-and-undp-reaffirm-their-support-protect-albay-communities-against-disasters

F. ACTIONS TAKEN REGARDING AUDIT AND/OR SPOT CHECK FINDINGS

Describe actions taken to address the findings from the audit/spot check as applicable.

Audit/Spot Check Recommendation/s	Action Taken	Responsible Person	Implementation Date

Philippine Business for Social Progress (PBSP)			
Delay in the billing of expenditures incurred. It took months before the project was billed by the IP for the services rendered by its core personnel for the project for July-September. As a result, recording in the accounting system was delayed. Recommendation to employ strict monthly billing of cost recovery.	*Explained as oversight on part of partner program staff, however strict monthly billing of cost recovery is now being implemented.*	Julieta Labayan, Project Manager, SHIELD-PBSP	**12/31/2023**
Sourcing of suppliers not properly followed for air travel. No comparison of pricing from both airlines (PAL & Cebu Pacific) was provided and booking was made to PAL, hence no validation of most economical price paid for the service done. Recommendation to follow canvassing procedures.	*SCM to review the procurement policy with Airline operations and its implementation this 2023 and to check manpower complement for the canvassing requirement.*	Julieta Labayan, Project Manager, SHIELD-PBSP	**12/31/2023**
Delay in the liquidation of cash advance made. Recommendation to follow timely liquidation of cash advances.	*Liquidation of CA within 7 working days shall be strictly implemented.*	Julieta Labayan, Project Manager, SHIELD-PBSP	**12/31/2023**
Non-stamping of PAID for some financial documents. Recommendation to duly tag as PAID to avoid reuse of supporting documents/double counting/payment.	*All CVs and attachments shall be stamped "PAID".*	Julieta Labayan, Project Manager, SHIELD-PBSP	**12/31/2023**
Consortium of Bangsamoro Civil Society (CBCS)			
Non-segregation of duties. An instance of cash advance was issued to the bookkeeper who made the payment/distribution of the same. Recommendation to follow proper segregation of duties and checks and balances in the conduct of financial transactions.	*Future financial transactions will be made by program staff and will take effect immediately.*	Wilhelmina Aquino, Project Manager, SHIELD-CBCS	**12/31/2023**
All the supporting documents except the Disbursement Vouchers (DV) are not stamped "PAID". Recommendation to duly tag as PAID to avoid reuse of supporting documents/double counting/payment.	*Recording of all financial transactions for the SHIELD Project in the Quickbooks will be complied.*	Wilhelmina Aquino, Project Manager, SHIELD-CBCS	**12/31/2023**
Insufficient Documentation. Incomplete details indicated in supporting documents. Recommendation to enhance exercise of due diligence in observance of procedures and controls.	*Enhanced due diligence to ensure that correct financial and accounting procedures will be given to transactions of this project.*	Wilhelmina Aquino, Project Manager, SHIELD-CBCS	**12/31/2023**
Non-Compliance with the procurement policies and procedures. Recommendation to strictly follow proper documentation and ensure adequate/complete supporting documents.	*Due diligence will be given by the PM in ensuring the adequateness or completeness of supporting documents required for CA and liquidations. This is on top of the work of the Finance Officer and Admin Officer.*	Wilhelmina Aquino, Project Manager, SHIELD-CBCS	**12/31/2023**

Incorrect usage of Financial forms/ Contracts. Recommendation to use the appropriate form for specific transactions.	*This project will review the forms being used currently and will comply to use appropriate forms for the project.*	Wilhelmina Aquino, Project Manager, SHIELD-CBCS	**12/31/2023**
Bank reconciliation for the SHIELD fund does not tally with FACE report balance as of the quarter. Recommendation to clarify and use the appropriate/specific bank account for downloading of funds to project/partner.	*Downloading of funds to the submitted bank account in the Vendor's Profile will ensure easier tracking of funds and making the Bank Reconciliation. JVs to be included for the next reporting period.*	Wilhelmina Aquino, Project Manager, SHIELD-CBCS	**12/31/2023**
National Resilience Council (NRC)			
Some expenditures were not properly supported to warrant validity, reasonableness, accuracy, and completeness of the transactions. Recommendation to provide the adequate supporting documentation.	*The matter will be part of the year-end reflection and planning session, and a related memo will be issued. And if it is deemed necessary to review and enhance the existing related policies.*	Christopher Estallo, Project Manager, SHIELD-NRC	**12/31/2023**
All the supporting documents except the Disbursement Vouchers (DV) are not stamped "PAID". Recommendation to duly tag as PAID to avoid reuse of supporting documents/double counting/payment.	*NRC will review the related internal control and look into any process gaps. And shall rectify it and that all supporting documents shall be stamped as "PAID".*	Christopher Estallo, Project Manager, SHIELD-NRC	**12/31/2023**
The Disbursement Voucher (DV) has no signature to signify approval. Only stamped as approved for payment. Recommendation to identify appropriate signatories and ensure that documents have the necessary approvals.	*All related and succeeding DVs shall be signed digitally and stamped as approved for payment. The matter will be discussed in the staff meeting i.e., year-end reflection and planning session and a memo will be issued concerning the matter particularly the usage of the digital signature of the designated signatories.*	Christopher Estallo, Project Manager, SHIELD-NRC	**12/31/2023**
Some attachments are photocopies only and not originals. Recommendation to keep originals available for financial audit purposes.	*NRC will ensure that original copies will be presented in the succeeding spot-check exercises or any auditing exercises.*	Christopher Estallo, Project Manager, SHIELD-NRC	**12/31/2023**

G. RISK LOG UPDATE

- *Assess identified risks and record new risks that may affect project implementation.*
- *Include risks identified in the Project's Social and Environmental Screening, if any.*

No.	Description	Date Identified	Type	Status	Countermeasures/Management Response *(What actions have been taken/will be taken to counter this risk)*

1	If activities are not planned and coordinated well with partners and stakeholders for 2022, projected expenses will slide and liquidations will not be done quarterly, which will slow down financial delivery by 3 months.	**7/1/2022**	Financial	Ongoing	Programme management is implementing scheduled follow up meetings to track delivery and liquidations.

H. MONITORING & EVALUATION

Total Spent on Monitoring in Reporting Year ***Guidance:*** *Costs associated with UNDP/project staff, consultants, project partners, supporting national statistical systems in designing project specific data collection methodologies (qualitative and quantitative), monitoring methods including stakeholder surveys and other qualitative methods, collection of data, analysis and dissemination of the findings to inform a project, either with project partners or to fulfill specific UNDP/project requirements (preferably the former).*	NA	**Total spent on Decentralized Evaluations in Reporting Year (Mid Term / Final)** ***Guidance:*** *Costs associated in designing, implementing and disseminating evaluations for specific projects*	NA
Is the project's M&E Plan being adequately implemented? Are progress data against indicators in the project's RRF being reported regularly using credible data sources and collected according to the frequency stated in the M&E Plan?			☒ **Yes** ☐ **No**

I. QUALITY OF RESULTS

Please answer when applicable to the project of concern.

Sustainability: *Do the benefits of the achieved results have potential to last? What does the project plan to do to ensure sustainability?*	As the project is still in its initial stages, there is no observable data or evidence yet about program results. However, the scoping missions and design of interventions integrate sustainability concerns. This is also aligned with the scope of the capacity assessment and engagement strategy for the provinces that surfaced in the individual scoping missions/discussions with partner provinces. As the project moves forward, development on this area will be captured and reported. In terms of general sustainability, the project targets to achieve this through the strengthening or establishment of MSPs in the overall implementation of SHIELD. By capacitating and building the MSPs in a holistic manner, it is envisioned that they will be able to carry on the work and

	build on the gains that will be created and achieved through the project. With respect to fortifying sustainability in SHIELD's MOUs, the project spared no effort in ensuring that the formulation of the MOUs was participatory and in direct collaboration with the provinces—given that this undertaking is participatory in nature, it has provided the PLGUs with a better sense of ownership and responsibility for the outcomes/ deliverables of SHIELD, which in turn will be the bedrock for the project's success and sustainability. SHIELD program interventions and activities at the provincial level are aligned with the mandated plans of the local government, namely their Provincial Development and Physical Framework Plan (PDPFP) and Local Development Investment Program (LDIP). This approach enhances sustainability and also contributes to program relevance and effectiveness.
National Capacity: *Did the project help strengthen national institutions?*	To date, there is no observable data or impact yet on the project's contributions towards strengthening national capacities. For 2022, the main objective of SHIELD is to launch the program and begin implementation, following a protracted process of finalizing the Project Document and complying with the documentary requirements of the Philippine Government. Considering that the actual implementation period only started in the 3rd quarter of 2022, the project made significant efforts in frontloading applicable activities during the remainder of 2022 to position the project well ahead of full-blast implementation. Consortium Partners worked to align expectations, strategies, activities, and intended results for the remainder of 2022/beginning of the project's implementation period. The Consortium held several discussions and workshops on both the substantive and operational aspects of running the project through a Consortium approach. The convening of the Executive Committee and the Program Board Meeting to be governed and run such as the terms of reference of the program board, representation of Multi-stakeholder Partnerships (MSPs), and approval of the 2022 and 2023 work plans. The project was able to engage and connect with provincial governments and through a consultative process, gained an understanding of the respective needs and potential areas for collaboration towards building resilience. The scoping activities resulted to two MOUs that are both a statement of commitment and buy-in of the provincial government partner to the goals and advocacies of SHIELD. The convening and early onboarding of DILG SHIELD Focals were also instrumental in the smoother on-the-ground coordination and engagement with provincial officials and functionaries. Despite delays and challenges in the beginning, the project was able to gain momentum in terms of project governance and operations, and on-the-ground engagement with provincial

	partners. The work on Components 2 and 3 will accelerate in 2023 as UNDP will continuously engage with national government counterparts such as OCD and DOST, to firm up the parameters of the collaboration.
Civic Engagement: *Please select the type of civic engagement promoted [Select all applicable]*	☒ Civic engagement in policy and legislative processes ☒ Civic engagement to promote accountability of state institutions ☐ Civic engagement for service delivery ☒ Civic engagement for advocacy and/or to raise awareness and promote social norm/behaviour change
Youth Opportunities: *How did the project support youth in contributing to sustainable human development and peace? [Select all applicable]*	☐ Supported youth civic engagement and political participation ☐ Supported youth economic empowerment ☐ Supported youth as agents for community resilience and peacebuilding ☐ Supported the involvement of young people as partners in SDG implementation, monitoring and accountability *No data yet on specific youth involvement, but this may be a potential area to be explored and leveraged in the course of implementation.

J. INNOVATION

Were innovation initiatives implemented in the project?

What innovative methods were applied or tested?	☐ Alternative Finance (including Social Impact Investment/Pay for Success) ☐ Behavioural Insights ☐ Blockchain ☐ Challenge Prizes ☐ Crowdsourcing ☐ Crowdfunding ☐ Foresight ☐ Games for Social Good ☐ Hackathon ☒ Human-Centered Design	☐ Innovation Camp ☐ Innovation Lab ☐ Micronarratives ☐ Mobile-Based Feedback Mechanism ☐ Positive Deviance ☐ New and Emerging Data (including Big Data) ☐ Randomized Controlled-Trial/Parallel Testing ☐ Real-Time Monitoring ☐ Remote Sensing/Unmanned Aerial Vehicles (UAVs) ☐ Other (please specify)
Briefly explain how the innovative method selected above was used	The Discovery Workshops during the scoping missions with provinces employed elements of human-centered design and design thinking. The scoping missions involved a focused exchange between the project and stakeholders – a guided but open (encouraged as much as possible) discussion on their thoughts about the program, clarifications, and other concerns that would help them “discover” SHIELD and how it may help their province. Participants were engaged in an activity wherein they were shown a map of their province and were asked to plot what they think are major assets and resources, threats, potential interventions in particular areas using flaglets. The activity placed real stakeholders at the	

	center of the "discovery" process, in an attempt to draw out potential areas of intervention for SHIELD that are deemed viable and responsive to stakeholders' needs.

K. MAINSTREAMING GENDER EQUALITY

Incorporation of gender perspectives in various outputs and activities by giving emphasis on gender-sensitive concerns especially in leadership roles, decision-making processes, capacity-building and protection of women, including the children and elderly

UNDP Gender Marker [link]	GEN2

1. Classification of Gender responsiveness[6]

Classification of gender-responsiveness: **Project Implementation, Management, Monitoring and Evaluation (PIMME)** *Select one*		**A:** Project is **gender-responsive** (15.0-20.0)
		B: Project is **gender-sensitive** (8.0-14.9)
		C: Project has **promising** GAD prospects (4.0-7.9)
		D: Gender and development (GAD) is **invisible** in the proposed project (0-3.9)

2. Qualitative description

- **In Governance Mechanisms**

Guidance: participation in project board, including representation of PCW, TWGs, experts' group and other governance mechanisms set up by the project, e.g. national multi-sectoral committees)

Representation of PCW is ensured in project governance mechanisms.

- **In Capacity Building and Policy, Planning and Programming**

No results yet as project is to start ground implementation in 2023.

- **Women's Empowerment Key Results**

Guidance: Describe results achieved by the project in promoting gender equality and women's empowerment. Please highlight gender results achieved which have brought about changes in men's and women's lives, gender relations, gender roles and division of labor, status of inequality and exclusion of specific groups, etc.. Please provide quantitative data wherever possible. Include qualitative case studies and success stories to illustrate the most significant changes brought about by your project's contributions.

No significant results yet as project is to start ground implementation in 2023.

[6] Scoring based on Box 16 and 17 of the Harmonized Gender and Development Guidelines on Project Development, Implementation, Monitoring, and Evaluation, 2nd ed. (download here).

3. Gender issues

No	Gender issues identified	How the project is addressing identified gender issues
1	***NA***	***NA***

4. Disaggregation of data of Beneficiaries/Participants of Activities conducted under the Project

Project Activities	Number of beneficiaries/participants	Gender disaggregation	Remarks (if any)
Provincial Discovery Workshop in Cebu	63	30 female, 33 male	
Provincial Discovery Workshop in Northern Samar	38	16 female, 22 male	
Regional Discovery Workshop in Northern Samar	35	14 female, 21 male	
UNDP-OCD Component 2 Work Planning	18	9 female, 9 male	
SHIELD Consortium Work and Financial Plan and Harmonization Workshop	16	10 female, 6 male	
SHIELD-Northern Samar MOU Signing	19	6 female, 13 male	
SHIELD-Agusan Del Sur MOU Signing	57	34 female, 23 male	
SHIELD Year-end Review and Work Planning for 2023	7	5 female, 2 male	

Prepared by: _____ Signature: _____ Date: _____

Programme Manager

Noted by: _____ Signature: _____ Date: _____

Programme Team Leader
UNDP

ANNEX

L. SAMPLE RISK LOG UPDATE

***[After you update the project risk in Atlas, please go to** Projects Risk Dashboard - Power BI | C. **Project Risk Treatment Tab** and download your updated risk matrix and paste it here]*

M. Reference: Types of Risks[7]

Environmental	Financial	Organizational	Political	Operational	Regulatory	Strategic	Other
Natural Disasters: storms, flooding, earthquakes	EXTERNAL economic factors: interest rates, exchange rate fluctuation, inflation	Institutional Arrangements	Corruption	Complex Design (size: larger/multi-country project; technical complexity; innovativeness, multiple funding sources)	New unexpected regulations, policies	Partnerships failing to deliver	Other risks that do not fit in any of the other categories
Pollution incidents	INTERNAL:	Institutional/ Execution Capacity	Government Commitment	Project Management	Critical policies or legislation fails to pass or progress in the legislative process	Strategic Vision, Planning and Communication	Might refer to socioeconomic factors such as: population pressures; encroachment – illegal invasions; poaching/illegal hunting or fishing
Social and Cultural	Co-financing difficulties	Implementation arrangements	Political Will	Human Error/Incompetence		Leadership and Management	
Security/Safety	Use of financing mechanisms	Country Office Capacity (specific elements limiting CO capacity)	Political Instability	Infrastructure Failure		Programme Alignment	
Economic	Funding (Financial Resources)	Governance	Change in Government	Safety being compromised		Competition	
	Reserve Adequacy	Culture, Code of Conduct and Ethics	Armed Conflict and Instability	Poor monitoring and evaluation		Stakeholder Relations	

[7] UNDP Programme and Operations Policies and Procedures (POPP)

	Currency	Accountability and Compensation	Adverse Public opinion/media intervention	Delivery		Reputation	
	Receivables	Succession Planning and Talent Management		Programme Management		UN Coordination	
	Accounting/Financial Reporting	Human resources Processes and Procedures		Process Efficiency		UN Reform	
	Budget Allocation and Management			Internal Controls			
	Cash Management/Reconciliation			Internal and External Fraud			
	Pricing/Cost Recovery			Compliance and Legal			
				Procurement			
				Technology			
				Physical Assets			