

Annex B

INSTITUTIONAL AND PROJECT BENEFIT ASSESSMENT

1.0 Objectives

The institutional and project benefit assessment will be undertaken in order to:

- Assess the overall development of the People's Organizations (POs) in the various sub-projects;
- Assess the capability of the POs to pursue sustainable resource management;
- Assess the capability of the PO to sustain its livelihood initiatives;
- Identify the various issues/problems/constraints related to the development and strengthening of POs and the relevant support systems; and
- Identify immediate benefits of the project and evidences that would indicate the intermediate-term and long-term socio-economic and environmental impacts.

2.0 Framework of Analysis and Indicators

The framework for institutional development assessment and benefit monitoring of the FSP is set out in the project framework in Figure 1. The project framework defines the project's hierarchy of objectives and the suggested indicators to measure the extent the objectives are being met. Most relevant to the current study are those at the purpose and goal levels of the objectives hierarchy.

Figure 1. FSP Framework

Objectives	Objectivity Verifiable Indicators	Methods of Verification	Assumptions
<p>Goal:</p> <p>1. To improve the living standards of the target upland and coastal communities through increased opportunities to improve incomes and employment</p> <p>2. To reestablish the forest cover and thus improve the</p>	<ul style="list-style-type: none"> • Employment generation during and after the project (in site development, livelihood, others) • Increase in household incomes during and after the project • Increase in crop production from irrigation and agroforestry • Improve fishery production due to mangrove rehabilitation and protection • Improve vegetative cover (of previously 	<ul style="list-style-type: none"> • Post-project study (key informant interviews) • Institutional assessment and benefit monitoring during project implementation • Project benefit monitoring • Physical 	<ul style="list-style-type: none"> • CBFM policy will continue • No serious peace and order problems • Demand and prices for agroforestry and IGP products will remain favorable to farmers • LGU and PO will maintain infrastructure facilities after the project • LGU and other agencies are willing and have the resources to support the community • There will be no developments in the area that will negate the gains of the project

<p>quality of the upland/ forest and mangrove ecosystem in project areas</p>	<p>open/ degraded area upland and mangrove areas</p> <ul style="list-style-type: none"> • <i>Reduced soil erosion</i> • <i>Improvement in water recharge</i> • <i>Increase in the diversity and population of flora and fauna</i> 	<p>validation of outputs/ field observations</p> <ul style="list-style-type: none"> • Environmental performance monitoring by People's Organizations (PO) 	
<p>Purpose:</p> <p>1. To sustain the management of tenured areas by capable communities</p>	<ul style="list-style-type: none"> • Organizational, and technical capability of PO to implement forest management and livelihood plans • Financial viability of PO • Viability of livelihood activities • Quality of plantations • Reduced threats to or pressure on forest resources • Increased 	<ul style="list-style-type: none"> • Institutional and project benefit assessment • Physical validation of outputs 	<ul style="list-style-type: none"> • CBFM policy will remain • No prolonged drought • No serious peace and order problems • Demand and prices for agroforestry and IGGP products will remain favorable • LGU and PO will maintain infrastructure facilities after the project • LGU and other

<p>2. To improve access of PO and community to critical services/ facilities</p>	<p>adoption of soil and water conservation measures</p> <ul style="list-style-type: none"> • Improve services and facilities provided to community • Member-ship in councils/ federations/ multi-sectoral groups • Improved access to markets (better transport facilities and lower travel time) • HH with access to domestic water supply and irrigation 	<ul style="list-style-type: none"> • Institutional and project benefit assessment • Observations and measurements 	<p>agencies are willing and have resources to support the community</p>
<p>Output:</p> <p>1. To organize and strengthen People's Organizations (POs) in FSP subproject sites</p>	<ul style="list-style-type: none"> • POs formally registered • Organizational structure and management systems established in POs • Increased awareness on 	<ul style="list-style-type: none"> • Monthly status reports (AO.AP, PO and SUSIMO) • Field validation reports (TA, SUSIMO, NFDO) • Document 	<ul style="list-style-type: none"> • No prolonged drought • No serious peace and order problems • Demand and prices for agroforestry and IGP

	<p>CBFM, forestry policies and related concerns</p> <ul style="list-style-type: none"> • Competencies developed 	<ul style="list-style-type: none"> • review NGO physical validation 	<p>products will remain favorable</p> <ul style="list-style-type: none"> • LGU will support the project
2. To provide POs with legal tenure over the area they are to manage	<ul style="list-style-type: none"> • POs with CBFMA • Area covered by tenure • CRMF affirmation 		
3. To rehabilitate about 80,000 hectares of forestlands (uplands and mangrove)	<ul style="list-style-type: none"> • Area planted/developed • Survival rate • Quality of maintenance activities 		
4. To establish livelihood activities and develop PO capability to manage these	<ul style="list-style-type: none"> • Feasibility studies conducted • Livelihood projects established • Investments in livelihood • Management systems established for livelihood projects 		
5. To provide infrastructure support to	<ul style="list-style-type: none"> • Infrastructure projects completed 		

forest protection and livelihood			
Inputs: JBIC Loan - TA services - CO contracts (AO and AP) - CSD contracts - M and E contracts - Equipment - Training GOP Counterpart - Staff services (all levels) - SUSIMO operations	<ul style="list-style-type: none"> • Total disbursements (P) • Loan utilization rate (P) • Contract (CO, CSD, M and E) payments (P) • TA deployment (person-months) • Equipment procurement (types and P) • Training/ IEC programs held) • SUSIMO staffing levels 	<ul style="list-style-type: none"> • SOE reports (from field units) • Monthly TA reports • Financial reports of NFDO Accounting Division 	Funding is available when required

Note: a. Some indicators listed in the purpose and goal levels of the logframe have several sub-indicators and verifying evidences so actual data requirements will be more than the items listed in the logframe.
 b. Indicators in italics will not be measurable within the project period. The POs, being the long-term managers of the CBFMA area will be encouraged to establish their own environmental monitoring performance systems so they can document these long-term changes.

The PO capability assessment will look into the organizational, financial and technical capability (skills) of the PO to carry on its long-term responsibility as forest resource managers. The project benefit assessment, on the other hand, will identify the

immediate benefits of the FSP and evidences that will indicate the project's long-term socio-economic and environmental impacts. As identified in the logical framework, the benefit indicators will include:

- Short-term employment and long-term employment mainly from site development and livelihood activities;
- Increased incomes;
- Increased crop production due to irrigation (if provided by the project);
- Production potentials from agroforestry (projections over a 10 year period);
- Potential increase in fishery production from mangrove rehabilitation and protection;
- Improved services and facilities provided to PO and community due to presence of project and linking efforts of PO, including access to domestic water supply and irrigation, if provided by the project;
- Improve access to markets through better transport facilities and shorter travel time, if roads improvements is included in the project;
- Change in resource use/land use (better utilization of forestlands and other forest resources);
- Change in land cover (increased vegetative cover);
- Increased adoption of soil and water conservation measures;
- Reduced threats to or pressure on forest resources;

Both the institutional development and benefit indicators are integrated into the Criteria and Indicators (C and I) for Sustainable Forest Management (SFM) that have been developed for community-based forest management units. The C and I will therefore be used as the main instrument in the conduct of the study.

The C and I for SFM consists of two sets of indicators:

- On the organizational, social and economic development of POs. These look at the PO's organizational structure, policies and practices, the financial viability of the organization, PO members' access to opportunities, the distribution of benefits among members and the benefits of the project to the community.
- On sustainable resource use and development. These deal with the PO's efforts to rehabilitate degraded areas, to manage and protect natural forests and plantations, to promote sustainable farming/ agroforestry methods, to practice sustainable harvesting and efficient processing of forest products, and to reduce the pressure on the threats to forest resources

The complete list of these C and I, including the specific validation and measurement methods, is provided as Annex C of these guidelines.

3.0 Composition of the Assessment Team

The NGO Assessment Team will be composed of five (5) Specialists from the NGO and at least two representatives from the DENR. The NGO Team should be multi-disciplinary, with the members having expertise in the following fields:

Community Organizing/Community Development
Forestry
Agroforestry
Enterprise Development
Financial Management (for POs)
Socio-economics

The DENR will be represented by a senior officer from the NFDO, FMB, FASPO or the Regional Office (FRDD, CBFMO or Planning and Management Division). The participation of other

sectors of DENR or any proposal to increase the membership of the team will be considered by the NFDO on a case-to-case basis. The expenses of the DENR representatives to the assessment will be shouldered by the DENR.

The LGU will be informed of the activity and will be invited to participate in the discussions. The LGU may be represented by the MPDC, the Municipal ENR Officer (if existing) or the Chair of the Environment Committee of the Sangguniang Bayan.

The Team Members, including those from the DENR, can be assigned to work on specific criteria and indicators, as individual specialists or as sub-teams.

In sub-project sites with four or more POs, the NGO may increase the number of some of its specialist to shorten the assessment period.

4.0 Key Activities

The whole process will be a consultative one, which means that frequent and close interaction between the Assessment Team and the PO members and SUSIMO staff, is expected throughout the assessment period. The key activities of the assessment are as follows:

- Pre-assessment meeting with the PO and SUSIMO.

For the initial assessment, it will be necessary to explain to the PO the objectives of the exercise and the assessment process, including the criteria and indicators to be used. The Team should be able to provide a tentative schedule, which is expected to be finalized with the PO and SUSIMO during the meeting.

In the end-of-project assessment, the objectives of the exercise and the assessment process will have to be reiterated. This meeting will also be used to briefly go through the previous

assessment findings and to finalize with the PO and SUSIMO the arrangements and schedules for the current assessment.

- Data collection and preliminary assessment

This will entail the review of available documents/reports, the conduct of key informant interviews and focused group discussions, and field visits. At the end of the given period for this activity, the Specialist/sub-teams should have a preliminary assessment of the C and I assigned to them. Necessarily, data/information regarding the immediate and projected benefits of the project shall have been collected.

- Formulation of findings and recommendations

The team members will have to agree on the findings on each of the SFM criteria and indicators and come up with their recommendations. Two types of recommendations will be adopted in the assessment:

- a. Conditions or the “musts” that the PO must follow as such are extremely necessary or are required in the current contract, existing DENR policies and the project design.
- b. The “optional” or proposed actions that the PO may consider to take to further enhance its performance or capability.

The Team will have to make a distinction between the two types of recommendations in their report. The recommendations must have a timeframe for their implementation.

In sub-project sites with two or more POs, the findings and recommendations must be PO-specific, unless the findings and recommendations apply to all POs in the sub-project. The particular PO which is to take the recommended actions must be clearly identified.

- Integration and preparation of draft report

The individual/sub-team assessments will be reviewed for consistency with the findings of other specialists on the other sectors. The Team will then have to agree on the type, scope and timeframe of the recommendations. A draft report will then be produced.

- Presentation of the draft report

The Team will be required to present their draft report to the PO, DENR (SUSIMO, CENRO, PENRO, Regional Office, NFDO) and LGU in a meeting. Each recommendation will have to be explained. At the end of the meeting, it is expected that there will be agreement among the PO, DENR and Team on the recommended actions.

The NGO and DENR are expected to document the discussions during the presentation, taking note of both the agreements reached and the points of disagreement.

The PO and DENR will be given a week, after the presentation of the report, to review the written report and to submit their comments to the NGO.

- Preparation and submission of the final report

The final report should be submitted two weeks after the presentation of the draft report. It shall incorporate corrections and other comments made by the PO and DENR to the draft report.

5.0 Report

There will only be one report per sub-project but as stated in the previous section, the report must clearly show the findings

and recommendations per PO to allow the overall assessment of the individual POs.

The report will follow the suggested outline found in these guidelines. Six (6) copies will be submitted to the DENR Regional Office. These copies will be for the PO, SUSIMO, CENRO, PENRO, Regional Office and NFDO.

Report Outline

Table of Contents

Fact Sheet (This will be a standard one-page briefer on the sub-project, containing basic information about the site and the PO – location, area coverage, date of CBFMA issuance, name of PO, date registered, CSD contract, etc. Where there are multiple POs, there will be one fact sheet per PO.)

Major Recommendations (Identify the “musts” that have been agreed upon, including the responsibility centers and timeframe. Present this in matrix form.)

I. Introduction (this will contain information on the period of the assessment, the composition of the Team and the major activities undertaken. Any limitations encountered in the conduct of the study should be mentioned.)

II. Findings and Recommendations (The report will follow the sequence of the criteria and indicators. At the start of each section, the criteria and indicator statement will be presented. This will be followed by a short discussion on the important findings and of the recommendations. The recommendations will be categorized either as musts or optional. An example is shown below.

Example:

<p>Criteria: <u>Appropriate agroforestry and sustainable farming methods are practiced</u></p> <p>Indicator 1: Adoption of SWC measures has increased</p> <p>Findings: Despite the good intentions of the PO, some upland farmers are still managing their farms inappropriately. The Team noted crops planted in very steep slopes and a coffee farm where the farmer cut down and burned an old plantation. The PO gave this farmer loan to help with planting coffee. The PO has no clear controls or program in place to influence better management of farms by subsistence farmers.</p> <p>Recommendations:</p> <p>Musts:</p> <ol style="list-style-type: none">1. Within the next six months, establish a policy and program for promoting proper agroforestry practices within the CBFMA area. Train selected farmers who can serve as farmer-trainers.2. When giving production loans to farmers, require farm planning and adoption of sustainable farming methods. <p>Optional:</p> <ol style="list-style-type: none">1. Establish model farms to showcase proper agroforestry practices and different SWC methods.

III. Overall Conclusion (This will contain the conclusion of the Assessment Team regarding the overall level of development of the PO. In the second assessment, the TEAM should assess the POs' compliance with the recommendations in the previous assessment. Significant

positive developments should be highlighted. Important reasons for non-compliance should be cited. This section will also include the team's evaluation of the overall PO performance compared to the previous period.)

Annex: Summary of Project Results. (This will summarize the data generated on the indicators used in the assessment. The summary will include both quantitative and qualitative data. Follow-up assessments to be done by the NFDO and by the NGO, at the end of the project period, will update this data set to keep track of the changes that are occurring between assessment periods. In case the sub-project covers more than one PO, the findings will have a separate column for each PO.)

Sub-Project:
Assessment Period:

Indicator	Findings	Remarks
<p><i>Result 1: Tenure over forestland is assured</i></p> <ul style="list-style-type: none"> • Date CBFMA issued • Area of CBFMA • Date CRMF affirmed • Area covered by IPR (if pursued by PO) 		
<p><i>Result 2: POs have the capability to conduct sustainable forest management</i></p> <ul style="list-style-type: none"> • Organization 		<p><i>Indicate if fully or partially</i></p>

<ul style="list-style-type: none"> • Total capital build up to date (P) • Estimated value of total assets to date (P) • Total investments in livelihood projects to date (P) • Investments in forest management activities to date, addition to CSD (P) • Viable livelihood projects or business operations 		<p><i>Identify projects</i></p>
<p><i>Result 4: PO and community have better access to information, technology and services/facilities</i></p> <ul style="list-style-type: none"> • Transport facilities available after improvement/rehabilitation of road • Travel time to market/center after improvement/rehabilitation of road • Households with access to domestic water supply 		<p><i>Indicate in Remarks transport facilities and travel time before the improvement of road; also households with domestic water supply before the provision of water supply project</i></p>

<ul style="list-style-type: none"> • Area serviced by irrigation system • Farmers benefited by irrigation system • Access to credit facilities and other funding assistance • Support by LGU • Services and facilities provided to PO and community by LGU and other agencies (e.g., extension services) • Membership of PO in federations, multi-sectoral organizations, etc, if any 		<p><i>Indicate source and amount</i></p> <p><i>Indicate if strong, weak, LGU indifferent</i></p> <p><i>Identify service/facility and source of assistance</i></p>
<p><i>Result 5: PO members and community have more opportunities for employment and higher incomes</i></p> <ul style="list-style-type: none"> • Employment in CSD <ul style="list-style-type: none"> - % of members employed in CSD - % of employed who are non-members 		

<ul style="list-style-type: none"> - % women and youth employed in CSD • Total amount of wages paid in CSD • Average total wages per employed or household • % of members active or employed in IGPs • Estimated employment in planned IGPs • Estimated employment in planned IGPs • Cropping intensity with irrigation system • Increase in production with irrigation • Agroforestry area developed to date • High value agroforestry crops introduced and area planted • Projected production level and income from agroforestry at 10 years from establishment 		<p><i>Identify IGP</i></p> <p><i>Indicate in remarks cropping intensity before irrigation</i></p>
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<ul style="list-style-type: none"> • Estimated increase in fish production due to rehabilitation of mangrove area at year 5 or 10 since establishment • PO assistance to community 		<p><i>Indicate forms of assistance</i></p>
<p><i>Result 6: The vegetative cover of previously open/ denuded and degraded areas is improved</i></p> <ul style="list-style-type: none"> • Area planted/ developed to date • Ave. survival rate • Quality of plantations or the vegetative cover • Area planted/ developed to date as % of CSD targets • Area planted/ developed to date as % of open/ denuded areas in CBFMA area • Silvicultural treatments in residual forests, if any 		

<ul style="list-style-type: none">• Prevalence of illegal fishing• Increase in population in barangay/sitio/ CBFMA area since project start		<i>decreasing</i>
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